

# REQUEST FOR PROPOSALS

## PROSPECT PLAZA

OCEAN HILL, BROOKLYN



Issue Date | [December 20, 2011](#)

Pre-Submission Conference | [January 17, 2012](#)

Proposal Due Date | [March 30, 2012](#)

**Michael R. Bloomberg, Mayor**

Robert K. Steel, Deputy Mayor for Economic Development



John B. Rhea, Chairman  
[nyc.gov/nycha](http://nyc.gov/nycha)



Mathew M. Wambua, Commissioner  
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## I. INTRODUCTION

The New York City Housing Authority (“NYCHA”) and the New York City Department of Housing Preservation and Development (“HPD”) invite Applicants (“Applicants”) to submit proposals (“Proposals”) for the design, construction and operation of a high-quality mixed-use development (collectively, the “Project”) on three separate parcels in the Ocean Hill neighborhood of Brooklyn. The Project is to include a mix of affordable housing and Public Housing units, ground-floor retail, community facility space, and open space. The Project should serve as an outstanding example of high-quality, sustainable design and construction that is financially feasible and responsive to the community’s needs.

This Request for Proposals (“RFP”) is the latest in a series of NYCHA and HPD collaborative projects for the development of affordable housing in New York City. The Project is part of the Mayor’s *New Housing Marketplace* (the “Plan”) and the United States Department of Housing and Urban Development’s (“HUD”) HOPE VI Program. The *New Housing Marketplace* Plan was created to respond to the changing housing needs of the City’s communities by committing to the new construction or rehabilitation of 165,000 housing units by 2014. The Project serves the Plan’s critical goals of creating needed rental opportunities, providing affordable housing, and, in turn, enhancing the City’s and NYCHA’s community revitalization efforts. The HOPE VI Program enables HUD and local Public Housing Authorities to eradicate severely distressed public housing through physical improvements, management improvements, and social and community services.

The Project will be constructed on three sites (each a “Site”, or collectively, the “Sites” or “Prospect Plaza Sites”) currently owned by NYCHA. The Sites are located in Brooklyn Community District 16 and together comprise approximately 197,451 square feet. The Sites are bound within the blocks of St. Mark’s Avenue to the north, Saratoga Avenue to the east, Sterling Place to the south, and Howard Avenue to the west (see Development Site Maps in [Exhibit A](#) and Section IV(A)):

- Prospect Place North Site, corresponds to Block 1458, Lot 52, and comprises approximately 60,868 SF (“Prospect Place North Site”).
- Prospect Place South Site, corresponds to Block 1463, Lots 16 and 41, and comprises approximately 79,899 SF (“Prospect Place South Site”).
- Saratoga Site, corresponds to Block 1467, Lot 35, and comprises approximately 56,684 SF (“Saratoga Site”).

In addition, a vacant City-owned parcel on Block 1467, Lot 22, (the “City-Owned Site”) adjacent to the Saratoga Site, is available for development as a recreational area that would serve this Project and the wider community. While this parcel would remain under City ownership, Applicants may include in their Proposal an appropriate open space design for the City-Owned Site.

The Prospect Place North Site and the Prospect Place South Site currently contain three vacant residential buildings that comprised part of the Prospect Plaza Public Housing development. The buildings were vacated between 2001 and 2003 in order to facilitate the 1999 Prospect Plaza HOPE VI Revitalization Plan as approved by HUD. The 1999 Revitalization Plan included the

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demolition of a fourth building on the Saratoga Site and the proposed rehabilitation of the three remaining buildings on the Prospect Place North and Prospect Place South Sites. However, the proposed rehabilitation on the Prospect Place North and Prospect Place South Sites was not carried out, and today the three existing towers remain vacant and unrenovated. The building on the Saratoga Site was demolished in 2005 and the Site now consists of vacant land. In October 2009, due to the high cost of rehabilitation of the towers, NYCHA determined that the three remaining buildings should be demolished and that NYCHA should work in collaboration with former Prospect Plaza residents to formulate a new plan for the redevelopment of the Prospect Plaza sites. In June 2010, NYCHA held the *Re-Vision Prospect Plaza Community Planning Workshop*, with over 100 participants, including former Prospect Plaza residents, neighbors, local leaders, and representatives of elected officials and City agencies, who worked together to develop the *Re-Vision Prospect Plaza Community Plan* (the “Community Plan”), which is attached as [Exhibit B](#).

The *Re-Vision Prospect Plaza Community Plan* consists of affordable housing, retail space, a community facility, and open space. The Project is to include a minimum of 360 affordable rental units, of which at least 80 must be Public Housing units. Demolition of the three remaining Prospect Plaza buildings will be completed by NYCHA prior to the conveyance of the Sites. The Project will be developed in three phases of construction in the following order of Sites: 1) Prospect Place South Site; 2) Prospect Place North Site; and 3) Saratoga Site. The Public Housing units must be included in the earliest phases and distributed over two Sites: Prospect Place South and Prospect Place North Sites. The Saratoga Site will include ground floor retail space along Saratoga Avenue and community facility space. Open space is to be developed as an integral part of the Project.

To further NYCHA’s and the City’s goals of incorporating the latest green building technologies into upcoming projects and promoting design excellence, all buildings in the Project must comply with the Enterprise Community Partner’s *Green Communities* program. See [Exhibit C](#) - HPD / Enterprise *Green Communities* Criteria.

A Phase I Environmental Site Assessment for the Sites was completed in April 2011. An executive summary of the Phase I Environmental Site Assessment is attached as [Exhibit D](#). The summary, which is for preliminary review only, is not intended to substitute for a review of the entire Phase I Environmental Site Assessment, and should not be relied upon for any purpose. An electronic copy of the full Phase I Environmental Assessment Statement is available on HPD’s website. See Section IV(M) “Environmental Review” for further details.

NYCHA and HPD will award all three Sites to one Applicant. The Sites will be developed sequentially over three fiscal years. NYCHA will convey the Sites to the selected Developer as follows: the Prospect Place South and Prospect Place North Sites will be ground leased to the Developer for one dollar (\$1) per year per Site for a period not to exceed 99 years; the Saratoga Site will be conveyed to the Developer for a nominal fee of one dollar (\$1).

A minimum of 80 rental units must be operated under the HUD Annual Contributions Contract (“ACC”), and the balance of units must be affordable to households earning up to 60% of the Area Median Income (“AMI”), as adjusted for household size.

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The Developer will be responsible for securing all necessary construction and permanent sources of financing. The redevelopment of the Sites will require financing from a combination of private and public sources. NYCHA will provide up to \$15,500,000 in HOPE VI Program subsidy from HUD for the development of the Public Housing units. Approximately \$8,400,000 in City Reso A capital funding is expected to be available to finance development of non-residential uses at the Saratoga Site. Additional public financing may be available from the New York City Housing Development Corporation (“HDC”) or HPD, or other sources. Additional information may be found in Section IV(J)“Financing.”

All Applicants must adhere to the requirements of this RFP. NYCHA and HPD will select a Developer based on, among other things, an evaluation of the Applicant’s professional qualifications and prior performance, experience in development of large mixed-use projects, experience in mixed finance development of Public Housing units, feasibility of the Proposal, affordability of residential units, subsidy need, quality of design, and sustainability practices. See Section VI “Developer Selection Criteria.” Applicants are responsible for assembling a Development Team (as defined in Section II) and for undertaking the design, construction, marketing, and management of the residential units and retail/commercial and community facility space.

This RFP does not represent any obligation or agreement whatsoever on the part of NYCHA or the City to the Applicants. Any obligation or agreement on the part of the City or NYCHA may only be incurred after NYCHA and the City enter into a written agreement with a Developer that has been approved by the Mayor, the NYCHA Board and NYCHA Law Department, HPD and the New York City Law Department, and HUD.

A pre-submission conference will be held on January 17, 2012 at 10:00AM at NYCHA, 250 Broadway, 12<sup>th</sup> Floor Board Room, New York, NY. Every Applicant wishing to submit a Proposal in response to this RFP is encouraged to attend.

Proposals must be hand delivered by March 30, 2012, no later than 4:00PM to:

New York City Housing Authority  
Department for Development  
250 Broadway, 24<sup>th</sup> Floor  
New York, NY 10007  
Attention: David Downs

## II. DEFINITIONS

Terms not otherwise defined in Section I are defined as follows:

### Applicant

An individual, partnership, limited liability company, corporation, joint venture, or other entity that submits a Proposal in response to this RFP.

### Area Median Income (AMI)

Area Median Income shall mean the median income levels as modified by household size for the New York metropolitan statistical area as determined from time to time by HUD. For 2011, 100% of the AMI is \$81,800 for a family of four in the New York Metropolitan Statistical Area and \$57,300 for a single person.

### Authorized NYCHA Resident

Resident who is on the lease at a NYCHA Public Housing development and can therefore be counted toward Section 3 and other NYCHA resident hiring goals. NYCHA's Office of Resident Economic Empowerment and Sustainability (REES) will confirm if a candidate is an Authorized NYCHA Resident.

### Developer

The person, entity, or entities selected by NYCHA and HPD to commence negotiations regarding the development of the Sites offered through this RFP. The entity or entities will provide equity, secure financing, assemble a Development Team, design, develop, build, market, rent up, and manage the Project.

### Development Site(s) or Prospect Plaza Sites

The property to be developed in relation to this RFP, as shown in Exhibit A.

### Development Team

The Developer and the professional, technical, and construction entities (e.g. general contractor, architect, engineer, legal counsel, not-for-profit organization, marketing agent, and managing agent) that will participate in the design, development, construction, marketing, and/or management of the Project.

### Ground Lease

Long-term ground lease between NYCHA and the selected Developer for the Prospect Place North and Prospect Place South Sites.

### Mixed-Finance or Mixed-Financing

Refers to the combined use of public and private sources of funds for development of housing that includes Public Housing units, in accordance with Section 35 of the United States Housing Act of 1937, as codified at 42 U.S.C. § 1437z-7, as may be amended from time to time.

### Negotiation Letter

The letter sent to the selected Developer by NYCHA and HPD regarding the commencement of negotiations of the Project.

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### Operating Subsidy

Funding from HUD to cover all or part of the difference between the operating income and operating expenses of the Public Housing units in the Project. Funding is provided pursuant to Section 9 of the United States Housing Act of 1937, as codified at 42 U.S.C. § 1437g, as may be amended from time to time. The availability of Operating Subsidy is subject to annual appropriations from Congress.

### Principal

An individual, partnership, limited liability company, limited liability partnership, corporation, or other not-for-profit or for-profit entity that will act as the general partner, officer, or managing member of the Applicant, or any entity, known limited partner, or other member that has at least a 10% ownership interest in the Applicant.

### Public Housing

Low-income housing and all necessary appurtenances thereto, assisted under the United States Housing Act of 1937, codified at 42 U.S.C. § 1437 et. seq., as amended from time to time, that receives capital or operating subsidy from HUD. The term “Public Housing” includes dwelling units in a Mixed-Finance project that are assisted by a Public Housing Authority with capital or operating subsidy.

### Re-Vision Prospect Plaza Workshop

The 3-day community-based planning workshop that former Prospect Plaza residents, neighbors, local leaders, and representatives of elected officials and city agencies who worked together to develop the *Re-Vision Prospect Plaza* Community Plan.

### Section 3

Section 3 of the Housing and Urban Development Act of 1968 [12 U.S.C. 1701u and 24 CFR Part 135], represents HUD’s policy to ensure that employment and other economic opportunities generated by HUD financial assistance shall, to the greatest extent feasible, and consistent with existing Federal, State and local laws and regulations, be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons.

### Section 18 Disposition Approval

Disposition of Public Housing property requires HUD approval under Section 18 of the United States Housing Act of 1937, as amended from time to time and codified at 42 U.S.C. § 1437p. HUD has promulgated regulations at 24 C.F.R. Part 970, detailing the administrative steps required to perform demolition/disposition activity in accordance with the Act. The Section 18 regulations may be found at:

[http://www.hud.gov/offices/pih/centers/sac/demo\\_dispo/24cfr970.pdf](http://www.hud.gov/offices/pih/centers/sac/demo_dispo/24cfr970.pdf)

Uniform Land Use Review Process (“ULURP”)

The process, set forth in the City Charter, prescribing the City’s land use review process, including public hearings and several levels of government approvals. Actions requiring ULURP include, among others, changes to the City Map, designation or change of zoning districts, Special Permits within the New York City Zoning Resolution requiring approval of the City Planning Commission (CPC), and disposition of any City-owned property.

### III. SITE HISTORY AND NEIGHBORHOOD CONTEXT

#### A. Site History

##### Prospect Plaza HOPE VI Revitalization Program

In the mid 1990s NYCHA worked with Prospect Plaza residents to formulate an application for a HOPE VI Revitalization Grant. NYCHA's Prospect Plaza development included four towers with 365 apartments. The towers were identified as a HOPE VI project due to their deteriorated condition, inefficient apartment design and isolation from the surrounding community. In 1998 HUD awarded a \$731,000 HOPE VI Demolition Grant for the demolition of one of the towers formerly known as 430 Saratoga Avenue, which was located on the Saratoga Site. The building's foundation had been undermined by ground water and replacing the structure was deemed to be less costly than repair. In 1999 HUD awarded a \$21.4 million HOPE VI Implementation Grant to revitalize the Prospect Plaza sites by rehabilitating the towers, constructing new rental and homeownership units, building new community and recreation facilities, and providing social services for residents. In 1999 HUD approved the Prospect Plaza HOPE VI Revitalization Plan, which included the towers and several vacant City-owned sites. Prospect Plaza families were relocated between 2001 and 2003. Most families moved to other Public Housing developments in Brooklyn.

In 2005, Settlement Housing Fund built 37 two-family homes for first time buyers on scattered City-owned parcels on Saratoga Avenue, Dean Street and Sterling Place. In 2009, L&M Equities built 150 rental units on Park Place, on a City-owned parcel adjacent to Prospect Plaza. Relocated Prospect Plaza residents were offered a right of first refusal to buy or rent, as provided by the HOPE VI Plan. Social services were made available to relocated residents. Between 2004 and 2007, Goodwill Industries provided a variety of services and, beginning in 2007, NYCHA Resident Employment Services began providing services through a three-year Sustainability Plan. In addition, during 2004 and 2005, the New York Mortgage Coalition led homeownership training sessions to aid the placement of public housing residents in the homeownership units.

In 2002, a Request for Qualifications was issued to rehabilitate the Prospect Plaza towers, construct a community facility space, and rental housing. A development company was designated in 2003 and terminated in 2007. NYCHA demolished the 430 Saratoga Avenue building on the Saratoga Site in 2005.

##### 2010 Re-Vision Prospect Plaza Community Plan

In Fall 2009, NYCHA prioritized the redevelopment and revitalization of the Prospect Plaza sites. To help achieve this goal, NYCHA held a three-day community planning workshop in June 2010, with more than 100 participants, including former Prospect Plaza residents, neighbors, local leaders, and representatives of elected officials and city agencies. The workshop gathered input from participants on vision, goals, designs, and implementation steps that provide a blueprint to re-make Prospect Plaza into a vibrant place to live. The result of this collaboration was shared at the workshop's final presentation and will guide the redevelopment of Prospect Plaza, as reflected in this RFP.

The 2010 *Re-Vision Prospect Plaza* Community Plan includes a mix of housing types, open space, community facilities, and retail space to replace the remaining vacant Prospect Plaza tower sites and the vacant City-Owned Site located along Saratoga Avenue between Park Place and Sterling Place. A detailed description of the Community Plan is provided in [Exhibit B](#).

#### Design Principles of the Community Plan

- Demolish existing three vacant towers: build approximately 360 new housing units
- Maintain the neighborhood scale
- Allow for housing type diversity: elevator and walk-up buildings
- Create safe streets: provide more entrances at grade
- Integrate green spaces into each site: pocket parks and green backyards
- Allow for quality retail spaces: supermarket and other neighborhood stores
- Incorporate sustainable design: materials, systems, building layouts

## **B. Neighborhood Context**

### Ocean Hill – Brownsville History

Prospect Plaza is located in Brooklyn Community District 16 (“CD 16”), which includes the Ocean Hill and Brownsville neighborhoods. Ocean Hill is located to the north and Brownsville to the south of East New York Avenue.

Ocean Hill, where Prospect Plaza is located, started growing in the late 19th century. Prior to 1873, the area was part of the property owned by the Jacobus Lott family. In 1873, the Lott property was subdivided and portions of what are now Saratoga and Howard Avenues were developed. By the early 1900s, department stores, theaters and some industrial facilities were common along Broadway and Rockaway Avenues soon to be followed by residential development between Saratoga and Howard Avenues. Ocean Hill continued to grow and prosper after the completion of the New Lots branch of Interborough Rapid Transit (IRT) in 1922.

The Brownsville neighborhood formed around 1883 when Charles S. Brown built 250 frame houses for workers who commuted by trolley to Manhattan factories. Simultaneously, manufacturers from Manhattan, particularly those in the garment trades, saw an opportunity in Brownsville to expand their businesses. By the 1880s, a garment factory on Watkins Avenue had 100 employees. By the late 1960s, the Ocean Hill-Brownsville and the adjacent Bedford-Stuyvesant neighborhoods formed one of the largest African-American communities in the United States.

During the blackout of 1977, many buildings in Ocean Hill and Brownsville were burned and abandoned, with many stores along Broadway destroyed. Since the late 1980s, however, CD 16 has seen a significant increase in the number of housing units as a result of an infusion of capital through government-assisted housing programs. An increasing number of professionals are moving into the area, attracted in part by lower housing costs relative to the rest of Central Brooklyn. Today, the Ocean Hill and Brownsville neighborhoods reflect this transformation with signs of ongoing revitalization throughout the community.

The first Public Housing development in CD 16 was Brownsville Houses (1948), a cluster of six-story buildings with 1,337 housing units. Eleven NYCHA developments (more than 6,000 apartments) were built in CD 16 during the 1950s, 60s, and 70s. Today, NYCHA houses 20,814 people, or almost 20% of CD 16's total population of 116,740 in 22 developments, which is the highest concentration of Public Housing in New York City.

NOTE: For locations referenced below and other detailed maps, see Volume I of the *Re-Vision Prospect Plaza Community Plan*, attached as Exhibit B.

### Land Use

The predominant land use in the area surrounding the Prospect Plaza Sites, bounded by Atlantic Avenue, Eastern Parkway, Thomas S. Boyland Street and Ralph Avenue, is residential. On these blocks, one and two-family homes alternate with multi-family walk-up buildings. The area is also served by community facilities, neighborhood retail stores, and two parks.

While some blocks contain one and two-family homes built between 1890 and 1930, much of the area's housing stock fell into disrepair, was demolished in the 1960s and 1970s, and reverted to ownership by the City of New York. Since the late 1980s, many of the vacant City-owned parcels have been redeveloped with rental housing and two-family homes. Most recently in 2009, the City-owned parcel adjacent to the existing towers was redeveloped by L&M Equities as 150 affordable rental units. This site was part of the Prospect Plaza Hope VI Plan – Phase II, planned to be developed with low-density buildings comprised of affordable rental units.

On Atlantic Avenue to the north, there are a few large industrial warehouses, and many smaller, automobile-related businesses and shops. Pitkin Avenue to the south is the main commercial corridor in Ocean Hill-Brownsville. Saratoga Avenue on the east offers smaller neighborhood retail stores. Some of the stores are currently closed. St. John's Place has scattered retail stores including a new neighborhood grocery, Food Bazaar, which opened in late-2009.

Community facilities in the area include two public schools, P.S. 12 and P.S. 178. An annex of P.S. 178 is adjacent to the Saratoga Site and offers both a Pre-K and Kindergarten program. The area is also home to many churches, social service providers, and two parks: Pacific Playground located along Howard Avenue between Pacific and Dean Streets and Saratoga Ballfields located at Thomas S. Boyland Street between Dean and Pacific Streets.

### Community Resources

Community facilities in the area surrounding the Prospect Plaza Sites include public schools, organizations providing social, health and public safety services, parkland and other open space.

The Prospect Plaza Sites are located in the City's Department of Education District #23. Area schools include: P.S. 178 - Saint Claire McKelway School (grades Pre-Kindergarten to

8), located three blocks north of the Sites on Dean Street; and P.S. 178 Annex (grades Pre-Kindergarten and Kindergarten), located on Park Place between Saratoga and Howard Avenues. Also nearby in adjacent District #17 is P.S. 12 - Ronald Edmonds Learning Center II, which is located at the corner of Howard Avenue and Prospect Place. Brooklyn Collegiate High School, at the corner of Thomas S. Boyland Street and Bergen Street, opened in 2009. There are no public libraries in the area.

Pacific Playground, located on Howard Avenue between Pacific Street and Dean Street, was renovated in 2002 and includes basketball courts, playgrounds and spray showers. Saratoga Ballfields, located on Thomas S. Boyland Street between Pacific Street and Dean Street and adjacent to P.S. 178, includes playground facilities. There are several community gardens located throughout the Ocean Hill neighborhood. Religious organizations in the area provide a variety of social services.

#### Public Transportation and Major Traffic Routes

The area around the Prospect Plaza Sites has a fair transportation network providing access to most parts of the City. The New York City Metropolitan Transit Authority's ("MTA") A/C subway route runs along Fulton Street with stops at Ralph Avenue and Rockaway Avenue, which are approximately 10-15 minutes walking distance from the Prospect Plaza Sites. The No. 3 elevated subway route runs south of the Sites along Livonia Avenue with stops at Sutter Avenue / Rutland Road, Saratoga Avenue, and Rockaway Avenue, which are 15-20 minutes walking distance from the Sites. The Sites are also served by MTA bus route No. 7 along Saratoga Avenue, bus route No. 12 along East New York Avenue, and bus route No. 14 along Eastern Parkway and Pitkin Avenue. Other MTA bus routes within a 5-10 minute walking distance from the Sites include: Nos. 15, 25, 45, 47, 60, and 65. Major traffic routes that provide access to the Sites include: Eastern Parkway, East New York Avenue, Atlantic Avenue, Fulton Street, and Rockaway Avenue.

#### Demographics

Approximately 36% of Community District 16's population is 19 years old or younger. Women comprise approximately 60% of population over 18. Approximately 26% of the population is foreign born and have lived in the U.S. for over 10 years. The neighborhood's median household income is just over \$26,000 annually and approximately 74% of households earn under \$50,000 annually. Additional demographic information is available in Volume I of the *Re-Vision Prospect Plaza Community Plan*, attached as Exhibit B.

#### IV. SITES DESCRIPTIONS AND PROGRAM REQUIREMENTS

##### A. Site Descriptions

The Prospect Plaza Sites are comprised of approximately 197,451 square feet, or 4.5 acres. Demolition of the three existing towers on the Prospect Plaza Sites will be completed by NYCHA prior to the conveyance of the Sites. The Sites consist of three parcels – comprised of four tax lots, two of which are adjacent – on the blocks bounded by St. Mark's Avenue to the north, Saratoga Avenue to the east, Sterling Place to the south, and Howard Avenue to the west (see Development Site Map in [Exhibit A](#)):

*Figure 1: Prospect Plaza Sites*



*Prospect Place North Site:* Block 1458, Lot 52

*Prospect Place South Site:* Block 1463, Lots 16 and 41

*Saratoga Site:* Block 1467, Lot 35

*City-Owned Site:* Block 1467, Lot 22

1. Prospect Place North Site

The Prospect Place North Site is located on the block bounded by St. Mark's Avenue, Saratoga Avenue, Prospect Place, and Howard Avenue. The Site has 470 feet of frontage along Prospect Place and is approximately 60,868 SF. The Prospect Place North Site is currently owned by NYCHA and will be vacant land when the Site is conveyed to the selected Developer.

Zoning

The Prospect Place North Site is currently zoned R6 with a C1-3 overlay along Prospect Place (to a depth of 130 feet).

2. Prospect Place South Site

The Prospect Place South Site is located on the block bounded by Prospect Place, Saratoga Avenue, Park Place, and Howard Avenue. The Site has 560 feet of frontage along Prospect Place, approximately 156 feet of frontage along Saratoga Avenue and is approximately 79,899 SF. The Prospect Place South Site is currently owned by NYCHA and will be vacant land when the Site is conveyed to the selected Developer.

Zoning

The Prospect Place South Site is currently zoned R6 with a C1-3 overlay along Prospect Place and Saratoga Avenue (to a depth of 130 feet).

3. Saratoga Site

The Saratoga Site is located on the block bounded by Park Place, Saratoga Avenue, Sterling Place, and Howard Avenue. The Site has 175 feet of frontage along Park Place, 255 feet of frontage along Saratoga Avenue, 125 feet of frontage along Sterling Place, and occupies approximately 56,684 SF. The Saratoga Site is currently owned by NYCHA and will be vacant land when the Site is disposed to the selected Developer.

Zoning

The Saratoga Site is currently zoned R6 with a C2-3 overlay along Saratoga Avenue (to a depth of 150 feet), allowing for a mix of residential, community facility, commercial, and parking uses.

The vacant City-Owned Site adjacent to the Saratoga Site is available for development as a recreation area. This mid-block Site is approximately 30,000 square feet and is part of Block 1467, Lot 22 with frontage on both Park Place and Sterling Place. The Site is currently under HPD jurisdiction and is expected to remain in City ownership. Development of a recreation area in this location is not a requirement of this RFP, but may be proposed by Applicants, if desired.

## B. Phasing of Project

The Project will be developed in three phases of construction in the following order:

- 1) Prospect Place South Site
- 2) Prospect Place North Site
- 3) Saratoga Site

Phasing is preferred in this sequence in order to develop the Public Housing units in the first two phases of the Project (Prospect Place South and Prospect Place North Site). The Saratoga Site, as the third and final phase, is expected to incorporate mixed uses (residential and non-residential) that will be better supported once the earlier residential phases are in place.

Given the proposed phasing for the Project, pre-development for the second phase (Prospect Place North Site) should be underway during construction of the first phase (Prospect Place South). Pre-development for the third phase (Saratoga Site) should be underway during the construction of the second phase (Prospect Place North Site). Pre-development activities and start of construction on all Prospect Plaza Sites should occur within a 36-month timeframe from the date of issuance of the Negotiation Letter.

## C. Development Program

The development program for the Project is intended to include a minimum of 360 residential units, ground floor commercial/retail space, community facility space and open space.

### 1. Residential Components

Proposals must provide 50% of all units as family-sized units (two or more bedrooms). The distribution of units by number of bedrooms should be similar among the Public Housing units and the Affordable Housing units.

- a. Public Housing: A minimum of 80 residential units must be made available as Public Housing units. The Public Housing units may not exceed 35% of the total housing units in either the Prospect Place North Site or Prospect Place South Site, calculated separately. Preference will be given to Projects that increase the total number of Public Housing units.
- b. Affordable Housing: A minimum of 280 residential units must be made affordable to households with incomes not exceeding 60% of AMI. All units must comply with the terms of any subsidy programs that are utilized.

### 2. Retail/Commercial Component

The proposed Development must include a retail or commercial component on the Saratoga Site, whose feasibility is clearly demonstrated in the Proposal. Preference

will be given to those that include a grocery store, pharmacy, and/or other neighborhood retail stores that would serve the future needs of Project Residents (the “Project Residents”) and the Ocean Hill community. See Exhibit E, “Prospect Plaza Retail Market Feasibility Study”, for detailed analysis of the area’s retail market. Development Teams may propose a partnership with a party responsible for the leasing and management of the retail space.

### 3. Community Facility Component

An approximately 10,000 square foot community facility space is required on the Saratoga Site to serve Project Residents and the Ocean Hill community. Preference is for an adaptable, multi-purpose space that can accommodate social, cultural and light recreational activities for a diversity of age groups. Amenities may include, for example, meeting rooms, classrooms, computer room, small performance spaces, restrooms, and kitchen. Space configuration should be suitable for the intended programming of the space. Programming must provide a clear benefit to the residents and community. See Section VII(C), Tab I for submission requirements.

The Developer (with, if applicable, any non-profit partners) is responsible for the capital cost of the community facility space, as well as the costs of utilities, maintenance, and programming. Ownership of the space may be transferred to a community facility operator or retained by the Developer, but the use of the space as a community facility must be guaranteed in perpetuity.

### 4. Open Space

a. Prospect Place North and Prospect Place South Sites: The Project must incorporate dedicated open space on the Prospect Place North and Prospect Place South Sites to be maintained by the Developer. The open space uses should be appropriately sized to accommodate the tenants in the new residential buildings.

b. City-Owned Site: The vacant City-Owned Site (currently under HPD jurisdiction) on Block 1467, Lot 22 is available for development as a recreation area. A recreation area in this location would be expected to serve this Project as well as the Ocean Hill community. While the land would remain under City jurisdiction, Applicants may include appropriate open space designs for the City-Owned Site with their Proposals. In addition, Applicants may include estimated development and operating budgets. Please note that Department of Parks and Recreation funding should not be expected for the City-Owned Site. See Section VII(C), Tab J for submission requirements.

### 5. Parking

Parking for all uses, including residential, commercial, and community facility uses, must comply with the New York City Zoning Resolution requirements.

## D. Number of Developers

The Project, including the three Development Sites, will be awarded to and developed by one Developer, who is responsible for assembling a Development Team, including at least a contractor, planner/architect/engineer, managing agent, and other partners.

## E. Rents and Long Term Affordability

**Rent:** Rent for Public Housing units should be assumed to be 30% of household income and to include electricity and cooking gas. For purposes of this RFP, applicants should assume that incomes of Public Housing tenants will average 38% of AMI.

Rents for non-Public Housing units may be proposed by the applicant, as long as they comply with AMI limitations stated in Section IV(C) in this RFP, and any limitations imposed by any subsidy program(s) proposed by the applicant.

**Long Term Affordability:** The minimum affordability term for non-Public Housing units is 50 years. Preference will be given to Proposals with affordability terms of 60 years or longer. Throughout the affordability term, rents will be based on specified AMIs (as adjusted from time to time by HUD) in addition to limitations imposed by the Rent Stabilization system (see Section IV(N) "Rent Stabilization"). Public Housing units shall remain as Public Housing for as long as there is subsidy available from HUD.

## F. Design Guidelines

Applicants should take into consideration the design principles that emerged from the *Re-Vision Prospect Plaza* community planning workshop. See Section III(A) for a list of design principles from the community plan. Applicants have flexibility in proposing a Project that appropriately incorporates all development program uses and complements the surrounding neighborhood context.

### 1. Zoning

Proposals must conform with current zoning and with the Quality Housing Program of the New York City Zoning Resolution.

### 2. HPD Design Guidelines

The Project must conform to the design guidelines outlined in Exhibit F (HPD Design Guidelines for New Construction), as well as the current New York City Zoning Resolution and Building Code, and all other applicable laws and regulations including, but not limited to, the Americans with Disabilities Act.

### 3. Energy Efficiency and Green Design

Proposals must achieve Certification through the Enterprise *Green Communities* Program, which is a comprehensive green building framework for affordable housing

that provides cost-effective standards for creating healthy and energy-efficient homes. Enterprise *Green Communities* offers an online certification process for affordable housing developments built using these criteria. The *Green Communities* Checklist can be found in [Exhibit C](#).

For affordable housing developments funded by the City of New York, instructions can be found online at:

[http://www.greencommunitiesonline.org/tools/certification/nyc\\_hpd\\_certification.asp](http://www.greencommunitiesonline.org/tools/certification/nyc_hpd_certification.asp).

In addition to the documentation requirements of the *Green Communities* Program, the designated Developer will be required to periodically provide budgets that identify project costs specifically related to green design, energy efficiency measures and building operations, upon HPD's or NYCHA's request.

4. Uniform Federal Accessibility Standards

Public Housing units must meet the Uniform Federal Accessibility Standards (UFAS), which are described on the website of the United States Access Board:

<http://www.access-board.gov/ufas/ufas-html/ufas.htm>.

5. Accessibility

The design of the Project must also comply with all laws regarding the design and construction of multiple dwellings in New York City, including the Building Code, the Zoning Resolution, the Multiple Dwelling Law, the Fair Housing Act, and Section 504 of the Rehabilitation Act of 1973.

**G. Role of NYCHA**

1. Coordinator for Demolition

NYCHA will demolish the three remaining Prospect Plaza towers prior to the conveyance of the Sites to the Developer.

2. Land Owner of Prospect Place North and Prospect Place South Sites

NYCHA will ground lease the land comprising the Prospect Place North and Prospect Place South Sites to a new entity that will be responsible for developing and operating the Project. See Section IV(I) "Disposition and Ground Lease" for further details.

3. Provider of Capital Subsidy

NYCHA expects to provide up to \$15,500,000 in HUD HOPE VI Program subsidy for the development of at least 80 Public Housing units at the Prospect Place North and Prospect Place South Sites. NYCHA expects to also provide Reso A funds totaling up

to \$8,400,000 for development of non-residential uses at the Saratoga Site. See Section IV(J) "Financing" for further details.

4. Provider of Operating Subsidy

NYCHA will make financial contributions toward the cost of operating the Public Housing units in the form of federal operating subsidies from HUD subject to HUD's approval and Congressional allocation. The terms for providing operating subsidies will be contained in an agreement that will be negotiated between NYCHA, the Developer, and other involved City and State agencies. See Section IV(J) "Financing" for further details.

5. Liaison to HUD

NYCHA will have primary responsibility for submitting required applications to HUD for funding and disposition approvals. All submittals to HUD will be prepared in collaboration with the Developer. To receive capital and operating subsidies from HUD, NYCHA, with the assistance of the Developer, must submit a Mixed-Finance project proposal, including HOPE VI funds, to HUD for review and approval. The Developer will not be finally designated until HUD approval of the Mixed-Finance proposal. NYCHA will obtain Section 18 disposition approval from HUD and the removal of the Site's Declaration of Trust, both of which are required prior to closing. Please note that a Declaration of Restrictive Covenants will be recorded against the Sites containing Public Housing units to ensure the operation of the required Public Housing units.

## **H. Obligations of the Selected Developer**

1. Development Team

The Developer will be responsible for assembling a Development Team (including at least a contractor, planner/architect/engineer, managing agent, and other partners), securing all necessary construction and permanent financing, and undertaking site planning, building design, site preparation, construction, rent-up and management of the completed buildings.

2. Outreach Meetings

NYCHA expects to meet with former Prospect Plaza residents on a regular basis and the selected Developer will be expected to participate in these meetings to present the Project and provide periodic updates.

3. Design

The Developer will be responsible for preparing preliminary site and architectural plans, zoning analysis, elevations, cost estimates, engineering and on-site environmental studies, testing and/or remediation as may be required by NYCHA and

HPD and by construction lenders. The Project will undergo design review by NYCHA and HPD; HUD will review plans for general site planning and accessibility requirements.

#### 4. Pre-Development and Construction Timetables

The Developer will be required to submit plans and specifications to NYCHA and HPD for review and approval within six (6) months of selection of the Developer and be prepared to commence construction no later than twelve (12) months from the date of issuance of the Negotiation Letter. The Developer must provide a development schedule and phasing plan, including benchmarks for commencement and completion of plans and drawings, site preparation, construction, marketing, and occupancy of the Project. In addition, the Developer must provide ongoing status reports regarding development, financing, construction timetables, marketing, and leasing of the retail and community facility spaces.

Developers will be held accountable for the schedules outlined in their response to this RFP. Strict timelines and penalties may be imposed in the event that pre-development and build out exceeds an overall thirty-six (36) month project timeline for the first phase of the Project.

#### 5. Equity and Financing

The Developer must cover pre-development costs, secure construction and permanent financing, provide any equity contributions and personal guarantees required and meet any other terms and conditions required by private lenders, HPD, and NYCHA. The Developer must pay any transfer taxes and mortgage related taxes, as applicable, associated with the disposition and redevelopment of the Prospect Plaza Sites. Please refer to Section IV(J) "Financing" for more information.

#### 6. Subcontracting

When issuing solicitations for subcontractors, the selected Developer will be required to take affirmative steps to target minority- and women-owned business enterprises ("MWBE"). The Developer will, in all solicitations or advertisements for bids for subcontractors placed by or on behalf of the Developer, state that all qualified applicants will receive consideration for subcontracts without regard to race, color, religion, sex, national origin, disability, age, handicap, marital status, or military service.

The Developer will be required to submit written evidence or other proof demonstrating that, to the greatest extent feasible, 20% of all firms sought for consideration for award of subcontracts for services and/or products have been MWBE firms. Evidence of outreach efforts shall be submitted to the NYCHA Department of Equal Opportunity ("DEO") within two weeks of any awarded subcontract. The NYCHA Subcontractor Outreach Report Form is available for review as [Exhibit G](#).

NYCHA's MWBE outreach policy will be included in an agreement. A list of MWBE firms will be furnished for the Developer by NYCHA DEO on request. However, this list shall not be the sole source of the Developer's outreach efforts. In an effort to identify new firms to participate in subcontracting activities, the Developer will agree to attend at least two MWBE outreach events upon execution of an agreement. NYCHA DEO will notify the Developer of various outreach events.

#### 7. Section 3 Compliance

The Developer must comply with Section 3 of the Housing and Urban Development Act of 1968 [12 U.S.C. 1701u and 24 CFR Part 135], which represents HUD's policy to ensure that employment and other economic opportunities generated by HUD financial assistance shall, to the greatest extent feasible, and consistent with existing Federal, State and local laws and regulations, be directed to low- and very low-income persons, particularly those who are recipients of government assistance for housing, and to business concerns which provide economic opportunities to low- and very low-income persons. Employment preferences under Section 3 are targeted first to Public Housing residents and, secondarily, to other low- and very low-income residents in the metropolitan area in which the Section 3 covered assistance is expended.

The use of HUD HOPE VI funds provided by NYCHA triggers the need for Section 3 compliance in the first and second phases of development at the Prospect Place South and Prospect Place North Sites.

The NYCHA Office of Resident Economic Empowerment and Sustainability ("REES") is currently working to assemble a pool of NYCHA residents qualified for jobs generated by development projects using NYCHA land and/or funding. The initiatives include the NYCHA Resident Training Academy and other partnerships with proven job training organizations, as well as working with unions to increase access for Public Housing residents. With these efforts, it is anticipated that there will be a substantial number of qualified job candidates from which the Developer may hire by the beginning of the construction of the first phase of the Project.

#### 8. Davis-Bacon

Every contract for the construction of buildings that contain 12 or more units assisted with federal funds will be required to comply with Davis-Bacon and the Contract Work Hours and Safety Standards Acts.

If the Developer uses any portion of NYCHA's \$15,500,000 in HUD HOPE VI Program funding or other federal funding sources, each phase using HOPE VI funds or other Federal funds will need to comply with Davis-Bacon regulations.

## 9. Marketing

The Developer will be required to market the residential units in accordance with NYCHA and HPD requirements. More information on the marketing requirements can be found in Section IV(K) "Marketing and Tenant Preferences."

## 10. Resident Services

The Developer must provide social services to all residents for at least the first five years of Project operation. Examples of these services include, but are not limited to, referrals, counseling, job readiness or training, financial management training, and youth-oriented or education services.

## 11. Equal Opportunity Requirements

Agreements resulting from this RFP will be subject to the provisions of Executive Order 50 and its implementing regulations as stated in Exhibit H (Equal Opportunity Requirements). A representative from the Developer and each entity with which the Developer partners will be required to attend a class administered by HPD outlining the requirements of Executive Order 50 and to submit Equal Opportunity forms provided by HPD verifying their compliance with its provisions.

### I. Disposition and Ground Lease

Prospect Place South and Prospect Place North Sites: the Prospect Place South and Prospect Place North Sites will be ground leased to the Developer for one dollar (\$1) per year per Site for a period of 99 years.

Saratoga Site: the Saratoga Site will be conveyed by NYCHA to the Developer for a nominal fee of one dollar (\$1).

Disposition by sale or ground lease is subject to HUD approval pursuant to Section 18 of the U.S. Housing Act of 1937, as amended, and disposition regulations in 24 CFR Part 970, and all other applicable laws and regulations. Lease and conveyance, as applicable, of the Sites will be subject to covenants requiring that the Sites be developed, operated and maintained in accordance with the purposes outlined herein and upon which HUD's approval of such dispositions will be conditioned. HUD requires remedies to non-compliance of the covenants, including NYCHA exercising its right to recapture the Site(s) after it has been conveyed. In addition to reversionary interests in favor of NYCHA, disposition of the Sites may be subject to use restrictions, affordability requirements and subordination of the Developer or its lender's interests in the property.

No ULURP action is required in connection with the disposition and ground lease of NYCHA-owned Sites.

The Sites will be delivered to the Developer vacant and in "as-is" condition, including, without limitation, all environmental conditions and hazards. Neither NYCHA nor HPD

makes any representation or warranty whatsoever regarding the condition of the Sites or the suitability of the Sites' uses contemplated by this RFP.

## **J. Financing**

### **1. Equity**

The amount of the Developer's equity will be determined by the construction lender(s).

### **2. Mixed-Finance Public Housing Subsidy**

#### **a. HUD Mixed-Finance Program Overview**

HUD's Mixed-Finance program allows for the combination of public, private, and non-profit funds to develop and operate housing developments. New developments may be made up of a variety of housing types, including rental and Public Housing and are designed to fit into the surrounding community. Public Housing units created under the Mixed-Finance program will remain as public housing for as long as there is operating subsidy available from HUD.

A Mixed-Finance rental term sheet shall be submitted by NYCHA on behalf of the Developer. The Mixed-Finance term sheet consists of four sections that are to be filled out by NYCHA and the Developer as part of the Mixed-Finance project proposal and submitted to a HUD grant manager for presentation to HUD's project review panel.

To download a copy of the HUD Mixed-Finance rental term sheet, please refer to the following website:

[http://portal.hud.gov/hudportal/documents/huddoc?id=DOC\\_11830.doc](http://portal.hud.gov/hudportal/documents/huddoc?id=DOC_11830.doc)

As part of the Mixed-Finance capital structure for the Project, NYCHA will make available HUD HOPE VI funds up to \$15,500,000. Actual grant funds shall be determined by HUD's Capital Subsidy formula for Public Housing units based on a combination of: 1) the total number of Public Housing units; 2) the proposed unit mix (number of one-bedroom, two-bedroom, three-bedroom, etc.); 3) building construction type (new construction vs. rehabilitation; elevator building vs. walk-up); and 4) the location of the project.

For example, according to the most recent version of the HUD Capital Subsidy formula for Mixed-Finance projects to be completed in New York City, TDC limits for new construction projects range from approximately \$210,000 for a one bedroom unit to approximately \$451,000 for a four bedroom unit.

To download the HUD Capital Subsidy Calculator, please refer to the following website:

<http://www.hud.gov/offices/pih/programs/ph/hope6/mfph/tdcinstructions.xls>

The HUD Capital Subsidy may be subject to reduction pending any changes to the Federal budget between the date that the RFP is released and the close of the Project's construction financing.

b. HUD Operating Subsidy

The HUD Mixed-Finance program for Public Housing units also features an operating subsidy in the form of a HUD Annual Contributions Contract ("ACC").

The HUD Operating Subsidy is calculated on an annual basis and is based on a variety of factors including: age of project, the total number of Public Housing units, mix of unit sizes, occupancy type (senior citizen vs. family), and the location of the project. It factors in typical operating expenses, utility costs, and "add-ons" such as asset management. Then it deducts actual rents and makes various other adjustments to arrive at actual Operating Subsidy. HUD does not currently provide an on-line calculator for NYCHA projects. Applicants are asked to use the assumptions in the following paragraph for modeling their projects.

The maximum HUD Operating Subsidy available for this Project is the lesser of \$375 per Public Housing unit per month and the operating shortfall created by Public Housing tenant rents minus actual Public Housing operating expenses. Should Public Housing tenant rents exceed actual Public Housing operating costs, HUD will not provide Operating Subsidy to the Project for that year. Excess Public Housing tenant rents shall be available to the Developer for alternative uses, but should not be assumed to be able to support permanent debt. HUD Operating Subsidy cannot be used for any use other than to fund operating shortfalls associated with Public Housing unit operating expenses.

3. Reso A Funds

NYCHA currently has an allocation of \$8.4 million in City Reso A funds available for the development of the Project. Reso A funds may be used for the build out of the ground floor commercial and community facility space at the Saratoga Site, and/or other nonresidential uses.

4. NYCHA Fees

- a. NYCHA Development Fee: NYCHA shall be paid a development fee equal to 1% of the Project's total development fees paid on each phase to cover the costs associated with NYCHA's planning consultation, financial advisory services, NYCHA tenant wait list administration, HUD regulatory compliance requirements, and community outreach.
- b. NYCHA Administration Fee: NYCHA shall be paid an administration fee equal to 1.5% of the HUD HOPE VI funds used to finance any phase of the Project. The administration fee will cover the HUD grant origination fee plus all transaction

costs incurred by NYCHA including but not limited to legal fees, banking fees, and third-party report costs.

## 5. Other Potential Sources of Financing

It is the responsibility of the Developer to obtain construction and permanent financing, whether by loan(s) or grant(s), and real estate tax abatements and/or exemptions, in amounts consistent with the Proposal. Although NYCHA and HPD make no representations or warranties regarding the financing that will be available at the time of construction or that the Project will qualify for any specific type or amount of financing, it is currently anticipated that the development of the Sites may be eligible for allocations of public and private financing as outlined below.

### **Residential Sources**

HDC: Applicants may (but are not required to) propose financing that utilizes HDC's Low-Income Affordable Marketplace Program (LAMP). Proposed use of HDC programs must conform to HDC term sheets. Note that HDC subsidy may only be used for non-Public Housing units.

HPD: Applicants may (but are not required to) propose use of HPD's Low-Income Rental Program (LIRP). Proposed use of HPD subsidy must conform to HPD term sheets, but in no case may proposed HPD subsidy exceed \$17,000,000 for all the combined Prospect Plaza Sites. HPD subsidy may be applied to both Public Housing and non-Public Housing units. Competitive preference will be given to proposals that request the least amount of City subsidy.

Other: Applicants may propose other applicable City, State, or Federal sources of financing, including Low Income Housing Tax Credits (LIHTC). All proposed financing must meet underwriting requirements of the funders as described in relevant term sheets.

### **Retail Sources**

Applicants may propose other applicable City, State, Federal or private sources of financing for the retail component of the Project. Review Exhibit E "Prospect Plaza Retail Market Feasibility Study" for more information on the following incentive programs:

- New York City Food Retail Expansion to Support Health ("FRESH") Program: this City-sponsored program is designed to encourage supermarket development through a package of tax and zoning incentives administered through the New York City Industrial Development Agency.
- New York City Economic Development Corporation Capital Access Program: Provides up to a 40% guarantee on loans for qualified City micro (up to 20 employees) and small (between 21 to 100 employees) businesses experiencing difficulty in accessing loans.

- New York State Healthy Food and Healthy Communities Fund: this \$30,000,000 statewide program was created to encourage food market development in underserved communities throughout the State by providing financing for capital and real estate expenses.
- New Markets Tax Credits: this program attracts investment capital to low-income communities by permitting individual and corporate investors to receive a tax credit against their Federal income tax return in exchange for making equity investments in specialized financial institutions called Community Development Entities (CDEs).

**Letters of Interest**

A letter of interest must be included in the Proposal from any source of funds other than HPD, HDC, or NYCHA that the Developer anticipates using. This includes letters of interest from credit enhancers of bond funds, and from tax credit equity syndicators/investors. Additionally, the letters of interest should reflect the multi-phase financing required by the Project.

Applicants should indicate if they plan to apply for financing sources awarded on a competitive basis and therefore cannot include a letter of interest. **Any Proposal that assumes competitive financing must submit an alternate scenario using non-competitive financing sources, and must provide appropriate letters of interest from the alternate sources.**

Within one hundred twenty (120) days of issuance of the Negotiation Letter, the Developer(s) will be required to submit a signed term sheet from a private lender for construction financing for the Sites. HPD or NYCHA may terminate negotiations with the Developer if the required term sheet is not submitted within one hundred twenty (120) days. Alternatively, the Developer may submit proof of liquid assets necessary to self-finance the Project(s).

6. Self-Financing Requirements

If the Developer contributes their own funds towards development instead of obtaining a construction loan from an institutional lender(s) and/or grants sufficient to cover the development costs, the following applies:

a. Construction Loan Servicer

The Developer(s) must identify a construction loan servicer acceptable to NYCHA and HPD.

b. Equity

At the construction loan closing, the Developer must deposit in escrow with the construction loan servicer the full amount of the self-financed portion of the construction loan.

## 7. Background Reviews

The source(s) of private funding may be subject to HPD's sponsor review and NYCHA Full Disclosure Review, standard credit references and New York City Inspector-General reviews.

## K. Marketing and Tenant Preferences

### 1. Public Housing Units

- a) Former Prospect Plaza Residents: The Public Housing units created as part of the Project must first be offered to former Prospect Plaza residents who are currently in good standing at NYCHA and who demonstrate a consistent rent payment history. Beginning in July 2011, NYCHA initiated a 3-year Financial Management and Education Program in coordination with two nonprofit organizations, Credit Where Credit Is Due and the Brownsville Partnership, to assist former Prospect Plaza residents to become financially positioned to return to the redeveloped Prospect Plaza and to meet reasonable screening and credit standards of the Developer. As of the date of issuance of this RFP, NYCHA is currently in communication with 237 former Prospect Plaza resident households of which a smaller number has expressed interest in returning.
- b) NYCHA Waiting List: Any remaining Public Housing units will be offered to families on NYCHA's waiting list for Public Housing. The Developer has the right to screen and select tenants from among the qualified applicants from NYCHA's waiting list.

### 2. Affordable Housing Units

The marketing and rent-up of the remaining (non-Public Housing) apartments to eligible tenants is the sole responsibility of the Developer. In carrying out these functions, the Developer must comply with the marketing requirements of NYCHA and HPD, which are designed to ensure that the availability of the apartments is disseminated as widely and fairly as possible. HPD Marketing Guidelines are attached as Exhibit I. The marketing requirements will be part of an agreement and Ground Lease that the Developer will execute with NYCHA at construction closing. Marketing will be monitored by NYCHA, HPD and/or HDC staff to ensure compliance with these requirements. The tenant preferences for affordable housing units are as follows in this order:

- a) NYCHA Preference: At the time of lease-up, current NYCHA households and households on the waitlist for Conventional Public Housing and Section 8 Housing will have preference for 25% of the low-income units. In its referrals, NYCHA will give the highest priority to former Prospect Plaza residents.

- b) Community Board 16 Preference: Current residents of Community District 16 in Brooklyn at the time of lease-up will have preference for 50% of all units remaining after the NYCHA preferences are satisfied.

## **L. Land Use Approvals**

1. Uniform Land Use Review Procedure (ULURP)

The proposed Project is expected to comply with current zoning and will not require any type of land use actions requiring approval under ULURP for development of the Sites.

2. Board of Standards and Appeals

A portion of the Saratoga Site lies within 30 feet of the mapped street bed of Eastern Parkway. A provision in the New York City Administrative Code restricts development in the portion of the Site that falls within this area. See Exhibit A (Development Site Maps) to review the area. The RFP encourages Proposals to utilize this portion of the Site. Following Developer selection, a discretionary approval by the New York City Board of Standards and Appeals (“BSA”) is required to permit development within the restricted area. NYCHA and HPD will work with the selected Developer to support any discretionary BSA review. The selected Developer must initiate the required BSA filings with the support of NYCHA and HPD.

## **M. Environmental Review**

The proposed Project is subject to the environmental review requirements of the National Environmental Policy Act (NEPA) as well as the New York State Environmental Quality Review Act (SEQRA).

1. Environmental Assessments per NEPA and SEQRA

NYCHA is undertaking Environmental Assessments of the proposed demolition and new development pursuant to NEPA and SEQRA. It is anticipated that a SEQRA negative declaration and a NEPA Finding of No Significant Impact (FONSI) will be issued prior to the selection of a Developer. Any measures identified in the environmental review as necessary to avoid significant adverse environmental impacts will be a condition of the environmental approval and will be part of an agreement between NYCHA and the selected Developer of the Sites. If elements of the Developer’s Proposal exceed the scope of those of the development program analyzed in the environmental review, then the Developer will be responsible for any additional environmental review that may be necessary. As part of the environmental review, several key studies have been performed and are further elaborated on below.

## 2. Phase I Environmental Site Assessment

A Phase I Environmental Site Assessment for the Prospect Plaza Sites was completed in March 2011. An executive summary of the Phase I Environmental Site Assessment is attached as Exhibit D. The summary will be for preliminary review only and is not intended to substitute for a review of the entire Phase I Environmental Site Assessment. An electronic copy of the full Phase I Environmental Assessment Statement is available on HPD's website. Neither NYCHA nor HPD makes any representation or warranty whatsoever regarding the condition of the property or the suitability of the property for the uses contemplated by this RFP.

## 3. Limited Phase II Environmental Site Investigation

NYCHA engaged a consultant to undertake limited Phase II sampling at the Sites. The Phase II testing was completed in September 2011. An electronic copy of the Phase II report is available on HPD's website. Additional Phase II testing will need to be undertaken by the Developer. It is anticipated that the Developer will be required to develop a Remedial Action Plan ("RAP") and Construction Health and Safety Plan ("CHASP") for review and approval by an authorized federal, State (i.e. New York State Department of Environmental Conservation or local entity (i.e. New York City Department of Environmental Protection or Mayor's Office of Environmental Remediation) prior to closing and construction.

## 4. Noise Assessment

NYCHA engaged a consultant to perform noise assessment and monitoring at several locations and determined noise attenuation is warranted on a portion of the project site. To ensure that interior noise levels within the newly constructed buildings meet HUD standards, the new buildings on the Prospect Place South Site and the Saratoga Site must be constructed to provide 28 dB of window-wall attenuation.

Historic Resources: NYCHA engaged a consultant to perform a Phase 1A historic resource assessment (documentary study). The Phase 1A study found that in order to avoid any potential adverse construction-related impacts to a historic building at 425 Howard Avenue, located within 90 feet of the Prospect Place North Site, the selected developer will be required to develop a Construction Protection Plan in consultation with LPC and SHPO. In addition, as recommended in the Phase 1A study, NYCHA's consultant is undertaking additional Phase 1B archeological testing to evaluate potential archeological resources on a western portion of the Prospect Place South Site identified as archaeologically sensitive, specifically historic lots 16-19 on Block 1463. The results of this evaluation will be presented as an addendum to the RFP.

## **N. Rent Stabilization**

For all non-Public Housing, initial rents will be established in accordance with the regulatory agreement consistent with the income requirements outlined in this RFP.

Prior to initial occupancy all non-Public Housing units must be entered into the New York State Rent Stabilization system at rents specified in the regulatory agreement. Units must remain in the system for the duration of the Project, but in no case less than fifty (50) years.

## **O. Real Property Taxes**

The Prospect Plaza Sites, including those that are ground-leased, are subject to New York City Real Property Taxes and charges. However, the tax exemptions described below may be available for eligible projects. Specific benefits may vary depending on the characteristics of the project. For details of each program, it is necessary to consult the relevant statute and rules. Applicants should indicate in the Project Narrative which tax exemption program(s), if any, they plan to utilize. It is the responsibility of the Developer to apply for and meet the requirements of the specific tax benefit program(s). **NYCHA and HPD make no representations or warranties as to the continued availability of these benefits or as to the Project's eligibility to receive these benefits.**

The 421-a partial tax exemption for new multiple dwellings provides an exemption from the New York City Real Property Tax on the increase in assessed valuation resulting from the improvement to the property. The full amount of New York City Real Property Tax on the assessed valuation of the property in the tax year preceding the tax year in which construction commences must be paid each year. In addition, New York City Real Property Tax must also be paid for any commercial, community facility, or accessory uses that in total exceed 12% of the aggregate floor area of the project. The 421-a partial tax exemption allows up to three (3) years of construction period exemption, and up to twenty-five (25) years of post-construction exemption, including a gradual phase-in of full taxes over the last four (4) years of the exemption.

The 420-c tax exemption provides an exemption from New York City Real Property Tax for up to sixty (60) years for housing financed or previously financed in part with Federal Low Income Housing Tax Credits. Projects must be owned or leased for at least thirty (30) years by a corporation, partnership, or limited liability company, of which at least fifty percent (50%) of the controlling interest is held by a charitable organization with 501(c)(3) or (4) tax exempt status whose purposes include low income housing, or a wholly-owned and wholly-controlled subsidiary of such a charitable organization. HPD must approve a regulatory agreement that requires use as low-income housing and that may require a payment in lieu of taxes ("PILOT").

## V. REQUEST FOR PROPOSAL PROCESS

### A. Submission

On or before the submission deadline, the Applicant must submit a complete Proposal in accordance with the instructions and attachments contained in this RFP, as well as in any addenda that may be issued to the RFP.

#### 1. Complete Submissions

Proposals that are not complete or not in conformance with the requirements of this RFP will be eliminated from further consideration. Applicants must comply with the submission requirements listed below in Section VII, "Submission Requirements."

After submission, NYCHA and HPD will not accept additions or changes to the Proposals. Upon review, however, NYCHA and HPD, at their discretion, may notify an Applicant that additional information or clarification is necessary. Applicants must comply with all requests for information and, if requested by NYCHA and HPD, appear for discussion.

#### 2. RFP Addenda

NYCHA and HPD reserve the right to amend or withdraw this RFP at any time. In order to be considered, Proposals must conform to any amendments that may be issued to this RFP. Amendments may include, without limitation, changes to any requirements and terms or conditions contained in this RFP. NYCHA and HPD will advise each party that has requested a copy of this RFP of any clarifications, revisions, or amendments.

If, in NYCHA's or HPD's judgment, additional time is required for Applicants to prepare their proposals, NYCHA and HPD reserve the right to grant an extension of the deadline for submission of a Proposal, and such extension will then be granted to all Applicants.

#### 3. References and Requests for Further Information

Submission of a Proposal shall constitute permission from the Applicant for NYCHA and HPD to make such inquiries concerning the Applicant as NYCHA and HPD deem necessary. NYCHA and HPD reserve the right to communicate with any of the Applicants, but NYCHA and HPD are not obligated to do so. NYCHA and HPD may discuss the Proposals of any Applicants concurrently or sequentially, as NYCHA or HPD may determine to be in its or their best interest. No Applicant has any rights against NYCHA and HPD arising from any such invitation to a discussion, or from any negotiations that may arise pursuant to the discussions.

Applicants must comply with all requests for information and, if requested by NYCHA or HPD, appear for discussions. If any Applicant fails to do so within the time period

given (or within any time extension that NYCHA and HPD may grant), NYCHA and HPD may deem the failure to be an act of non-conformance with the RFP requirements, which will permit NYCHA and HPD to select another Applicant or to solicit new Proposals. In furtherance and not in limitation of the foregoing, before a final selection is made, an Applicant may be required to submit more detailed information concerning the professional background of those persons who own and manage such Applicant, a report on the financial background of such Applicant, and information concerning the nature and status of any past, pending or threatened charges or actions (including lawsuits, criminal or disciplinary actions, administrative proceedings by any governmental or regulatory agency or bankruptcy action) against such Applicant or any of its partners, directors, officers, employees, shareholders, subsidiaries, or affiliates, as the case may be.

## **B. Review**

Each Proposal will be reviewed according to the Threshold Requirements detailed in Section VI(A) "Threshold Requirements." Proposals that fail to meet the Threshold Requirements will not be further evaluated.

Proposals that pass the Threshold Requirements will be evaluated and ranked based on the Competitive Selection Criteria detailed in Section VI( B) "Competitive Selection Criteria." NYCHA and HPD may request additional information, site visits, interviews, or other presentations by the Development Team. NYCHA and HPD may disapprove the inclusion of any member of the Applicant's Development Team and/or require the selected Applicant to substitute other individuals or firms.

## **C. Selection**

Selection of a Developer under this RFP means only that NYCHA and HPD will commence negotiations with such Applicant regarding the Proposal for the Project.

### **1. Negotiation Letter**

Upon such selection, NYCHA and HPD will send a letter to the Developer regarding the commencement of negotiations ("Negotiation Letter" or "Letter"). This Negotiation Letter will set forth certain information regarding the Project and procedures that will form the basis for such negotiation.

Exhibit J, Form A-2 - "Applicant's Letter" contains an Applicant's Letter that describes this process. Each Proposal must include this letter signed on behalf of the Applicant by a Principal. NYCHA and HPD reserve the right to terminate negotiations with or without cause after the issuance of such Negotiation Letter.

### **2. Pre-Development Timetable**

The Negotiation Letter will include a development schedule setting out the major actions and timeframes necessary to accomplish a construction start twelve (12)

months from the date of the Letter for Phase I. Failure of the Developer to follow the development schedule may result in the termination of negotiations and the selection of another Developer.

The selected Applicant must begin pre-development work for Phase I within thirty (30) days of the date of the Negotiation Letter. The Applicant must commence construction no later than twelve (12) months from the date of issuance of the Negotiation Letter. The maximum pre-development timetable shall not exceed the timetables presented in Section IV(H) "Obligations of Selected Developer," except in extraordinary circumstances under which NYCHA and HPD determine the Developer may require longer timetables.

### 3. Disclosure

The Developer that receives a Negotiation Letter from NYCHA and HPD must thereafter disclose all previous participation with government-assisted projects. Such entity and all principals thereof will each be required to submit completed Entity and Individual Disclosure Statements to NYCHA and HPD, including the NYCHA Business Entity Questionnaire to NYCHA, which will be forwarded to the Developer. NYCHA and HPD will provide copies of these forms upon request to any Applicant.

### 4. No Obligation

This RFP does not represent any obligation or agreement whatsoever on the part of NYCHA or HPD. Any obligation or agreement on the part of NYCHA or HPD may only be incurred after NYCHA and/or HPD enters into a written agreement approved by the Mayor, the NYCHA Board and NYCHA Law Department, HPD and the New York City Law Department, and HUD. NYCHA and HPD are under no legal obligation to convey the Sites through a competitive process. NYCHA and HPD may use the Proposals submitted pursuant to this RFP as a basis for negotiation with Applicants as they deem appropriate. NYCHA and HPD may reject at any time any or all Proposals, amend or withdraw this RFP in whole or in part, negotiate with one or more Applicants, and/or negotiate and dispose of the Sites on terms other than those set forth herein (including to parties other than those responding to this RFP). NYCHA and HPD may also, at any time, waive compliance with, or change any of the terms and conditions of this RFP, entertain modifications or additions to selected Proposals, or withdraw or add individual Sites and/or parcels from or to this RFP.

## **VI. DEVELOPER SELECTION CRITERIA**

NYCHA and HPD will evaluate each Proposal and each Applicant according to the threshold requirements (“Threshold Requirements”) below, taking into account the information provided in the Proposal, references, and any other information about the Applicant’s performance available to NYCHA and HPD. Proposals that are not complete or do not conform with the threshold requirements of this RFP will be eliminated from further consideration.

### **A. Threshold Requirements**

#### **1. Completeness of Proposal**

The Proposal must contain all documentation required under Section VII “Submission Requirements.” All of the required forms must be fully completed and all application requirements met at the time of submission. Upon review, however, NYCHA and HPD, at their discretion, may notify an Applicant that additional information or clarification is necessary. Exhibit J - Form A-1 provides a “Completeness Checklist” to assist Applicants in preparing the Proposal submission.

#### **2. Comparable Development Experience**

At least one Principal of the Applicant must have had prior development experience, as Principal, by successfully completing new construction of at least one project of comparable size and scope to the one proposed in this RFP. “Development Experience” is defined as the successful completion of construction within the past ten (10) years of:

- a) At least one mixed-use new construction project; and
- b) At least one new construction project with 200 residential units (residential units can be completed over multiple phases).

#### **3. Comparable Management Experience**

At least one Principal of the Applicant or the proposed managing agent must have comparable rental management experience. “Comparable Management Experience” is defined as the successful management of at least one hundred (100) residential units in New York City within the past ten (10) years. The Principal must have been the owner and manager, or the owner acting through a management entity, to fulfill this qualification. No changes in managing agent may be made without prior NYCHA and HPD approval.

#### **4. Development Capacity and Current Workload**

Applicants must be capable of meeting the construction timeline presented in Section IV(H) “Obligations of Selected Developer.” An Applicant’s current workload and other pending project obligations will be considered in assessing capacity for

undertaking the Project proposed by the Applicant within NYCHA and HPD's proposed timeframe prescribed for the Project.

5. Conformance with RFP

Proposed Projects must meet all minimum requirements outlined in Section IV "Site Descriptions and Program Requirements."

6. Ability to Finance

Applicants must demonstrate adequate financial resources to develop a project of the scope proposed in their submission. NYCHA and HPD will evaluate the Applicant's assets, bank or other lender references, and current commitments in order to assess the Applicant's capacity to secure construction and permanent financing, meet construction lender's equity requirements, absorb any cost overruns, and commence and complete construction of Applicant's entire Project in a timely manner.

7. Feasibility of Development Proposal

The Applicant's financing plan must be considered feasible. Estimated Project costs must be within current industry parameters. Proposed rents for the housing units must be deemed realistic based upon Proposal information and market conditions. An estimate of the square footage construction costs using both net and gross square footage must be provided along with the Project budget.

8. No Adverse Findings

An Applicant's Proposal will be rejected at any time during the evaluation process and thereafter if there are any adverse findings that would prevent NYCHA from conveying the Sites to the Applicant or any person or entity associated with the Applicant. Such adverse findings include, but are not limited to:

- Negative findings from the Inspector General's Office
- Arson conviction or pending case;
- Harassment conviction or pending case;
- City, State, Federal or private mortgage arrears, default, or foreclosure proceedings;
- In rem foreclosure; sale of tax lien or substantial tax arrears;
- Fair Housing violations or current litigation;
- Defaults under any Federal, State or City-sponsored program;
- A record of substantial building code violations or litigation against properties owned and/or managed by the Applicant or by any entity or individual that comprises the Applicant;
- Past or pending voluntary or involuntary bankruptcy proceeding;
- Conviction for fraud, bribery or grand larceny, or
- Debarment by HUD.

## B. Competitive Selection Criteria

Proposals that satisfy the Threshold Requirements above will be evaluated and ranked according to the Competitive Selection Criteria described below. In evaluating Proposals under these criteria, the combined experience and resources of all Principals of the Applicant will be considered. NYCHA and HPD may request additional information, site visits, interviews, or presentations by the Development Team.

### 1. Strength of Development Team (20 percent)

#### a. Development Experience and Capacity

Previous development experience (beyond minimum threshold requirements) with mixed-use projects including residential, retail, and community facility uses will be evaluated as it reflects the Applicant's demonstrated ability to successfully carry out a quality project of this type, size, and complexity in a timely manner. Among the factors that will be considered are:

- Extent of the Applicant's experience, in terms of number, size, type, and scale of projects completed within the last ten (10) years.
- History of delivering quality projects on time and within budget.
- Quality of construction and design in projects completed or currently being built by the Applicant and/or its Principals.
- Development of Mixed-Finance projects with Public Housing units.
- Applicant's current workload, staff capacity, and other pending project obligations and their potential impact on ability of Applicant to complete Project within the prescribed timeframe.
- Applicant's experience developing in New York City.

#### b. Management Experience

The Applicant's previous experience in managing rental housing (beyond minimum threshold requirements), either directly or through a managing agent, and the experience of any managing agent proposing to manage the rental component of the Project, will be evaluated as an indicator of the Applicant's ability to operate and maintain the property to the satisfaction of the tenants, in a financially sustainable manner, and in compliance with all applicable laws. Among the factors that will be considered are:

- The number of buildings and units currently managed by the Applicant, and those managed by the Applicant over the past ten (10) years.
- The quality of maintenance provided by the Applicant.
- The effectiveness of tenant relations, measured in part by the number and types of tenant complaints made in regard to property managed by the Applicant.
- Experience in rent-up and management of rental housing for low-income persons, including track record of compliance with eligibility, record-keeping, and reporting requirements of subsidy programs for such tenants.

- Experience with managing and/or leasing retail spaces within the last ten (10) years.
- Experience with managing Mixed-Finance projects with Public Housing units and/or Section 8 Units.

2. Financing (25 percent)

a. Least Subsidy

Proposals that require the least amount of City subsidy will be ranked higher. For evaluation purposes, City subsidy shall include all HPD and HDC grants or loans, as determined by NYCHA and HPD. In no case may proposed HPD subsidy exceed \$17,000,000 for the combined Prospect Plaza Sites.

b. Achievability of Proposed Financing

Preference will be given to Proposals with proposed funding sources that have a high likelihood of being available.

3. Program (30 percent)

a. Public Housing Units

Proposals that provide more than the minimum required number of Public Housing units will be given preference.

b. Retail Plan

Proposals will be evaluated on the Applicant's ability to develop, lease, and manage the retail space(s) proposed at the Saratoga Site. Applicants must submit a Retail Plan indicating the Developer's strategy for marketing and leasing the ground floor retail space (see Section VII(C) Tab H for submission requirements). As a minimum, the Retail Plan must include a pro forma and the overall strategy for managing the retail space, including a business attraction and retention strategy. Additional preference will be given to Proposals that:

- Include a grocery store, pharmacy and/or other neighborhood retail stores that benefit the Project's residents and surrounding community.
- Include Letters of Interest from retailers.
- Demonstrate a high level of financial feasibility.

c. Community Facility

Proposals will be evaluated on the Applicant's ability to develop, lease, and manage the community facility space proposed at the Saratoga Site. Applicants must submit a Community Facility Plan indicating the Developer's strategy for operating or leasing the community facility (see Section VII(C), Tab I for submission requirements). As a minimum, the Community Facility Plan must

include a narrative that describes in detail the plans for the community facility. Proposals that include Letters of Interest from operators will be given preference.

d. Recreation Area

Proposals that provide a strategy for developing and operating a recreation area with active recreation uses (i.e. playground, ball court, water feature, and/or other components) on the City-Owned Site will be given preference.

e. Hiring of NYCHA Residents

Pursuant to NYCHA's goal of generating economic opportunities for its residents, applicants must submit a plan for hiring authorized NYCHA residents. Preference will be given to Applicants who provide a detailed strategy to prioritize qualified NYCHA residents for all vacant positions.

NYCHA's Resident Economic Empowerment and Sustainability's (REES) referral can be included as one source of recruiting qualified NYCHA residents for employment. Additional points will be given to Applicants who propose additional strategies to identify and hire qualified NYCHA residents outside of NYCHA's referrals.

f. Resident Services Plan

Proposals that include a feasible and beneficial Resident Services Plan will be given preference. Applicants may propose services considered appropriate for the expected residents. To qualify for this preference, the plan must specify services to be provided, staffing and/or partners who will provide the services, operating budget and funding sources. Applicants should also describe prior experience operating projects with resident services.

g. Long Term Affordability

Proposals that provide an affordability term of 60 years or more will be given preference.

4. Design (25 percent)

a. Quality of Design Proposal

Overall quality of design and construction will be given significant consideration. The submitted projects will be evaluated for responsiveness to the design principles of the *Re-Vision Prospect Plaza* Community Plan (See Section III(A) for a list of design principles), as well as for design quality, extent to which they demonstrate creativity and insight in their solution to the design problem, relationship to the Sites and surrounding environment, constructability,

innovative use of materials and construction technology, sustainability, and potential long-term viability within reasonable cost parameters. Site planning, street wall elevations, interior layouts, building materials, amenities, and streetscape treatment will be considered. Street trees adjacent to the Sites should be preserved.

b. Design Experience

Design qualifications of the Applicant will be taken into consideration. Applicants must provide a portfolio of projects, as described in Section VII(C) Tab N “Design Team Experience.” Previous experience, including experience with mixed-use development and sustainable design, as evidenced by this portfolio, will be used in ranking under this criterion.

c. Sustainable Design and Development Criteria

To the maximum extent possible, Proposals should incorporate green building, sustainable development, and “smart building” concepts and technologies in order to enhance overall design and construction, integration of high technology into units, and the long-term marketability of the units, while simultaneously making the buildings environmentally responsible. Additional points will be awarded to Proposals that maximize incorporation of such concepts. While all Applicants must meet the minimum HPD / Enterprise *Green Communities* Criteria included in Exhibit C, Proposals that exceed the minimum Green Communities requirement of 35 points for new construction projects will receive preference.

d. Safety and Security Plan

Safety and security plans for the Project will be considered in ranking design proposals, with preference given to stronger plans. Proposals should describe measures to achieve security and safety within the Project’s buildings and open spaces. See Exhibit K for a list of suggested measures that may be considered for inclusion in the Safety and Security plans.

## VII. SUBMISSION REQUIREMENTS

### A. Pre-Submission Information and Inquiries

A pre-submission conference will be held on January 17, 2012, at 10AM at NYCHA, 250 Broadway, 12th Floor Board Room, New York, NY. All potential Applicants are encouraged to attend this conference as this will be the only opportunity to ask questions and receive answers in person. People with disabilities requiring special accommodations to attend or participate in the pre-submission conference should email ProspectPlazaRFP@nycha.nyc.gov .

All inquiries regarding this RFP should be directed to:

E-mail: ProspectPlazaRFP@nycha.nyc.gov

All questions should be submitted by March 1, 2012 to be included in the RFP addendum.

### B. General Requirements

#### Time and Place of Submission

**Proposals must be delivered by hand no later than 4:00 PM on March 30, 2012 to:**

New York City Housing Authority  
Department for Development  
250 Broadway, 24th Floor  
New York, NY 10007  
Attention: David Downs

**Late submissions will not be accepted.**

#### Format of Proposal

Each Proposal must consist of one (1) bound original and eight (8) bound copies. All Proposals must be bound in three-ring binders of an appropriate size. An authorized representative of the Applicant must sign the original Proposal.

**Proposal packages must also include a CD with a PDF of the full Proposal as well as MS-Excel files for the following forms:**

- Form D-1: Residential Development Experience and Current Workload
- Form D-2: Residential Management Experience
- Form D-3: Retail / Commercial Management Experience
- Form F: Rental Pro Forma

Each original and copy must contain a label showing the following information:

- Re-Vision Prospect Plaza RFP
- Name of Applicant
- Date of submission

#### REQUESTS FOR PROPOSALS

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Each Proposal must be tabbed as indicated below. The tabs must run down the right hand side of the Proposal. All architectural plans and drawings must be shown on 11"x17" paper and be included in the bound submission.

#### Modifications

An Applicant may submit a complete modified Proposal up until the submission deadline of **March 30, 2012**. NYCHA and HPD staff will not insert pages or otherwise modify the Applicant's Proposal. The Applicant has the full responsibility of ensuring that the final Proposal has been submitted in the desired form by the submission deadline. The front cover of a modified Proposal must identify the submission as a modified Proposal and include the final date of submission.

All submissions become the property of NYCHA and HPD. Submission of a Proposal will be deemed to be permission for NYCHA and HPD to make such inquiries concerning the Proposal and the Applicant as they deem necessary. If NYCHA or HPD determines, upon review of a Proposal, that any items are missing and/or incomplete, NYCHA or HPD, in its sole discretion, may notify the Applicant to provide such items. Failure to provide complete information in a timely fashion could result in rejection of the Proposal.

### **C. Contents of Proposal and Tabbing**

Note: All Forms can be found in Exhibit J ("Proposal Forms").

#### **TAB A - Applicant's Letter and Completeness Checklist**

The Completeness Checklist (Form A-1) and Applicant's Letter (Form A-2) should be included in this tab.

#### **TAB B - Narrative Overview**

Include a narrative of one or more pages that describes the Proposal. The narrative must include, at a minimum, the following:

- Proposed uses
- Income and rent levels contemplated
- Number and size of units
- Average size of units
- Phasing plan
- Sources and amounts of financing, **including any proposed tax exemption or abatement programs**
- Brief description of the most relevant development experience, **including management of commercial space and/or a community facility**, of at least the principal(s) who would manage the Project.

#### **TAB C - Applicant Description**

All Applicants must complete the Applicant Description Form (Form C-1 and Form C-2). Applicants that include a not-for-profit organization as a Principal of the Developer or a member of the Development Team must also complete the not-for-profit section of the Applicant Description. If the Applicant is a joint venture, the Principals of each entity

that comprises the joint venture must be identified, and a Principal of each entity must sign the Form.

Applicants are encouraged to include a resume in this tab as well as any additional information that would be helpful to NYCHA or HPD in the review process. This information may include information regarding projects that the Applicant has developed in the vicinity of the Sites or clarification of information provided in the forms included in the Proposal.

#### **TAB D - Experience**

The following forms, fully completed, shall be provided by each Principal of the Applicant. If an individual has no experience, this shall be indicated by including a form marked "None." These forms should be submitted as Excel files in original formatting on disc.

##### Residential Development Experience and Current Workload (Form D-1)

A separate form shall be provided for each Principal. Care should be taken to provide accurate information about references.

##### Residential Management Experience (Form D-2)

A form shall be provided for a Principal or managing agent proposed to manage the Project.

##### Retail/Commercial Management Experience (Form D-3)

A form shall be provided for a Principal or managing agent proposed to manage the Project.

##### Management Questionnaire (Form D-4)

A form shall be provided for a Principal or managing agent proposed to manage the Project.

#### **TAB E - Assets Statement**

Each Proposal must contain a completed Assets Statement (Form E), for at least one Principal of the Developer. An Audited or Certified Financial Statement prepared according to Generally Accepted Accounting Principles (GAAP) may substitute for Form E, provided it is not more than one (1) year old. Please note that the total unencumbered assets of the Principal or Principals must be at least equal to the greater of the amount of equity required by the construction lender or proposed in the application.

#### **TAB F - Financing Proposal**

Rental Pro Forma (Form F): Applicants must submit a separate Form F for each phase of the Project. Specific information about the superintendent's unit(s) should be included as appropriate in Form F. If the superintendent is not located on-site, a letter explaining alternative provisions for janitorial services that satisfy the Housing Maintenance Code must be included in this tab.

## **TAB G - Letters of Interest for Private and Public Funds**

Private Financing – If private financing is proposed, a letter or letters of interest from a private lender or lenders must be included. Letters must be dated no earlier than two (2) months from the date of submission of the Applicant’s Proposal. The letter(s) must indicate a willingness to provide construction and permanent financing in amounts and with terms consistent with the Proposal, and must include the following:

### Construction Loan

- The amount of financing that the lender would consider based on the lender’s preliminary determination of feasibility, based on expected development costs, and rent levels and/or sales prices; and
- The interest rate, fixed or variable, the equity requirement and other terms under which the lender would provide construction financing.

### Permanent Loan

- The amount of financing that the lender would consider based on the lender’s preliminary determination of feasibility, based on expected development costs and rent levels; and
- The maximum loan to value ratio and other underwriting criteria, including treatment of rental income, minimum maintenance and operating expenses, and debt service coverage requirements.

The letters must be provided on the lender's letterhead, signed by a representative of the lender, and must state the amount and terms of the financing. Applicants may use different private lenders for construction and permanent financing.

Public Financing: If HDC bond financing is proposed, a letter of interest from HDC is NOT required. **However, a letter of interest from a credit enhancer acceptable to HDC must be provided.** The letter of interest must outline the underlying credit terms such as the amount of the letter of credit, the terms of the agreement, applicable fees, and other conditions.

If the use of public funds from sources other than NYCHA, HPD, or HDC is proposed, a written indication of interest, e.g. a letter of interest, a commitment letter or an award letter, dated no earlier than two (2) months from the date of submission of the Applicant’s Proposal, must be included. Each letter must be on the organization’s letterhead and signed by a representative of that organization.

Tax Credit Equity: If tax credit equity is proposed, a letter of interest from the tax credit syndicator/investor is required. The letter of interest must include the expected terms of the equity investment such as the total amount of equity, the pricing of tax credits, the timing of equity contributions, and other conditions.

Competitive Sources: Any Proposal that includes funding or financing that is awarded on a separate competitive basis must submit an alternate scenario using non-competitively awarded sources and must provide appropriate letters of interest from those sources.

### **TAB H - Retail Plan**

All Proposals must include a narrative that describes in detail the plans for developing, marketing, and leasing the retail space(s). The narrative must include, at a minimum, the overall vision and strategy for the retail space at Prospect Plaza, the business attraction and retention strategy, and the management plan outlining how the retail space(s) will be managed to ensure the space retains retail tenants, and a proposed tenant mix, which is feasible and responsive to the community's needs. The narrative may also describe the proposed general legal structure(s) for executing development of the retail space(s). Include a description of any proposed special purpose entity to undertake the development of the retail space(s) and prospective partners of that entity.

Proposals may include Letters of Interest from retailers. If available, applicants should provide a description of the proposed operator's retail network (number of stores and locations) and evidence of financial strength and capacity. Proposals may include additional information conveying the strategy for developing, leasing and managing the retail space(s). Provide a description of experience in applying for and utilizing any economic development incentives or subsidies for commercial development.

### Pro Forma

All Proposals must include a pro forma that includes a detailed development cost budget for the retail space(s) with specific line items organized by hard costs and soft costs, with subcategories including but not limited to construction costs, architectural/engineering fees, and legal fees. The retail development budget should highlight the development costs that are attributable to and allocated to the retail space. The development budget may incorporate estimates based on the Applicant's experience with comparable projects, and it can incorporate appropriate contingencies to allow for subsequent modifications based on actual contractor bids. The pro forma may include detailed projections of the revenue and expense line items attributable to the retail space(s), including but not limited to rental revenues, expense recoveries, vacancy allowances, property management fees, common area operating expenses, insurance, real estate taxes, and structural reserves. Assumptions regarding rents per square foot should be highlighted. The Proposal must provide a sources and uses of funds budget relating to the retail space(s) including developer equity and any estimated gap financing necessary.

### **TAB I – Community Facility**

All Proposals must include a narrative that describes in detail the plans for community facility space. The narrative must include, at a minimum, plans for the use of the community facility space, the operator (if known) of the space, and funding sources for the operation of the space. In addition, Proposals should identify the amenities that will be provided in the space.

### **TAB J –Recreation Area (if applicable)**

Proposals may include a narrative that describes in detail the plans for the recreation area. The narrative must include, at a minimum, programming for the use of the recreation area and any funding sources for the operation of the space. In addition, Proposals should include a site plan identifying the proposed amenities that will be provided.

In addition, Applicants should include estimated development and operating budgets for the recreation area. Please note that Department of Parks and Recreation funding should not be expected for the City-Owned Site.

**TAB K - Design Narrative**

Applicants must provide a detailed narrative description outlining the proposed concept and methodology of the Project and include the Applicant's approach to the Project and urban design. The narrative should identify how the Project complies with zoning and other legal requirements. This narrative should also, where applicable, include a detailed description of construction methods, foundation types and building systems, including high performance technology and communications for all new buildings. Description and location of any mandatory infrastructure and other public improvements should also be included.

**TAB L - Architectural Submission**

Provide the following information on 11"x17" format or smaller so that it can be easily reproduced:

- Photographs: Photos of the Sites and the Sites' relation to surrounding buildings, streets and open spaces, at least 3" x 5" in size. Photos must be keyed on the area plan outlined below. The photos should be clear enough to be reproducible.
- Area Plan: A copy of the most recent Sanborn map of the area; indicate vehicular traffic directions and locations of bus stops in a two-block radius.
- Zoning / Statistics: A zoning map for the Sites, a detailed zoning computation and analysis to demonstrate compliance with existing zoning, and Building Code information indicating occupancy group and construction classification. Also include apartment count and distribution, retail space, and community facility space.
- Site Plan: Clearly legible site plan indicating all components of the Project and other development within one block of the Sites. It must include walkways, sidewalks, parking, driveways, building access points, tree locations, plant materials, fences, gates, lighting, easements, and encroachments.
- Retail /Commercial Space Plan (Saratoga Site): Provide ground-floor plan depicting retail areas and clearly indicating dimensions, square footage, structural columns, ceiling heights, storage space, utility outlets, and bathrooms. Provide a site plan depicting retail areas, parking areas and spaces, service loading docks, locations of vehicular ingress/egress, and locations of building entrances. Provide any additional plans and details if available.
- Community Facility Plan (Saratoga Site): Provide ground-floor plan depicting community facility areas and clearly indicating dimensions, square footage, structural columns, ceiling heights, storage space, utility outlets, and bathrooms. Clearly indicate access points, existing columns, storage space, electrical outlets and bathrooms. Provide any additional plans and details if available.
- Floor Plans: All floor plans must explain development concept as well as plans for every dwelling type at 1/8" scale. Clearly indicate all rooms, dimensions and square footages. Unit and bedroom dimensions must be computed to the inside of finished surfaces of walls, excluding columns, pipe chases, kitchens, kitchenettes, entryways,

and closets. Plans must include a North arrow, actual scale and graphic scale. All units and bedrooms must show a proposed furnishing scheme.

- Elevations: All elevations of the buildings must be at the same scale as the plans. Finishes, construction materials, ceiling heights, and floor elevations (level) must be shown and labeled on drawings. Perspective drawings/renderings are optional; however, they must not replace required elevations. Color renderings and/or elevations are appreciated but not required.
- Safety and Security Plan: detailed description of proposed measures that will create secure environment for residents and reduce opportunities for criminal activity. See Exhibit K for suggested safety and security measures.
- Any other architectural drawings such as axonometric, street frontage elevations, perspective or sectional drawings or computer generated modeling are encouraged, if they provide a better understanding of the development concept.

#### **TAB M - Sustainability Elements**

Applicants should provide a concise narrative in Tab M describing sustainability elements included in their Proposal. Applicants should also include the Intended Methods for *Green Communities* (Form M) in this tab. Applicants should clearly indicate which of the elements are included in their Proposal.

#### **TAB N - Design Team Experience**

Submit design team's resume, focused on projects in the last seven (7) years and qualifications detailing applicable residential and mixed-use development experience.

#### **TAB O - Development Schedule**

Applicants must provide a development schedule (Form O) and phasing plan for all project components, including residential, retail, and community facility space. The schedule must include benchmarks for commencement and completion of plans and drawings, financing commitments, New York City Department of Buildings plan approval, site preparation, construction commencement and completion of the Project.

#### **TAB P - NYCHA Resident Hiring Plan**

Pursuant to NYCHA's goal of generating economic opportunities for its residents, Applicants must submit a plan for hiring Authorized NYCHA Residents. The plan should include the following:

- Estimated number of workers by title who will be employed during each phase of the Project: pre-development, construction, lease-up, and operation.
- Estimated number of positions by title that are expected to be filled by new hires.
- Outreach and recruitment strategy to target NYCHA residents.

In order to help identify and recruit qualified NYCHA residents, the NYCHA Office of Resident Economic Empowerment and Sustainability (REES) will refer qualified residents. As described above in Section IV(H) NYCHA offers a Training Academy for Authorized NYCHA Residents for jobs in construction, pest control, and janitorial work to produce a pool of trained candidates. The REES referral service can be included as one source of recruiting qualified NYCHA residents for employment.

**TAB Q - Subcontracting and Local Employment Plan and Experience**

Applicants must provide a narrative describing how they will take affirmative steps to include MWBE firms as well as locally based firms and firms with experience in Brooklyn. State past experience, if any.

**TAB R – Resident Services Plan**

NYCHA and HPD will evaluate the quality of the Resident Services to be offered to all tenants for at least five years of occupancy. The Plan should describe: (a) what services will be provided, (b) how and by whom the services will be provided, (c) estimated costs of providing the services and (d) sources of funding for the services.

## **VIII. CONDITIONS, TERMS, AND LIMITATIONS**

This RFP is subject to the specific conditions, terms and limitations stated below:

Proposals submitted shall be deemed to incorporate all of the terms and conditions contained in the RFP. Applicants will be deemed to have consented to such terms by submitting a Proposal in response to this RFP.

The Prospect Plaza Sites will be disposed as vacant land in "as-is" condition. NYCHA, the City, or any of their respective officers, agents, and employees make no representation whatsoever as to the physical condition of the Sites or their suitability for any specific use. The Sites shall be subject to New York City Real Property Taxes and charges. Tax benefits may be available under the 421-a and 420-c tax benefit programs. Please refer back to Section IV(O) "Real Property Taxes" for more information.

The proposed Project shall conform to, and be subject to, the provisions of the Zoning Resolution, Building Code, and all other applicable laws, regulations and ordinances of all Federal, State, and City authorities having jurisdiction, as the same may be amended from time to time.

Valid permits and approvals, as required by City, State and Federal agencies, shall be obtained by the Developer prior to commencing work.

The commencement of negotiations with a Developer will depend on satisfaction of the additional documentation and review of requirements described in this RFP. The continuation of negotiations with a Developer will depend on satisfaction of the additional documentation and review requirements described in this RFP and will be subject to joint review by NYCHA and HPD. The Prospect Place South and Prospect Place North Sites will be leased by NYCHA pursuant and subject to the provisions of the Ground Lease and an agreement between NYCHA and the Developer. The Saratoga Site will be disposed by NYCHA pursuant and subject to the provisions of an agreement between NYCHA and the Developer. These specific documents may change, and may require additional closing documents.

No transaction will be consummated if any Principal of any Developer with whom NYCHA or HPD has commenced negotiations is in arrears, or in default upon any debt, lease, contract or obligation to the City, NYCHA, or HPD, including without limitation, real estate taxes and any other municipal liens or charges. NYCHA and HPD reserve the right not to review any Proposal by any such Applicant.

No commission for brokerage or any other fee or compensation shall be due or payable by the City, NYCHA, or HPD, and the submission of a Proposal will constitute the Applicant's undertaking to indemnify and hold the City, NYCHA and HPD harmless from and against any such claim for any such fee or compensation based upon, arising out of, or in connection with any action taken by the Applicant, the selection of the Applicant's submission and invitation to the Applicant to respond to this RFP, the conditional selection of a Developer pursuant to this RFP or the sale of the Sites.

Neither the City, NYCHA, nor HPD is obligated to pay, nor shall the City, NYCHA or HPD in fact pay any costs or losses incurred by any Applicant at any time, including any costs incurred by the Applicant in connection with the Applicant's response to this RFP.

This RFP does not represent any obligation or agreement whatsoever on the part of NYCHA and HPD, which may only be incurred or entered into by written agreement to which NYCHA and HPD are parties, subject to the approvals of the Mayor, the NYCHA Board and NYCHA Law Department, HPD and the New York City Law Department, and HUD. NYCHA and HPD are under no legal obligation to convey the Sites. NYCHA and HPD may use the Proposals submitted pursuant to this RFP as a basis for negotiation with Applicants as NYCHA and HPD deem appropriate. NYCHA and HPD may reject at any time any or all Proposals, amend or withdraw this RFP in whole or in part, negotiate with one or more Applicants, and/or negotiate and dispose of the Sites on terms other than those set forth herein (including to parties other than those responding to this RFP). NYCHA and HPD may also, at any time, waive compliance with, or change any of the terms and conditions of this RFP, entertain modifications or additions to selected Proposals, or withdraw or add individual sites or parcels from or to this RFP.

Selection of an Applicant's Proposal will not create any rights on the Applicant's part, including, without limitation, rights of enforcement, equity or reimbursement, until after the approvals of NYCHA and HPD, and until the Ground Lease, the Deed, an agreement, and all related documents are fully executed and approved. The terms of the Ground Lease, the Deed, and an agreement after execution (the "NYCHA Documents"), shall govern the relationship between NYCHA and the Developer. In the event of any variance between the terms of this RFP and the Ground Lease or the NYCHA Documents, the terms of the Ground Lease and/or the NYCHA Documents will govern.

NYCHA and HPD reserve the right, in their sole discretion and at any time, to reject at any time any or all Proposals, to withdraw the RFP, to negotiate with one or more Applicants, and/or negotiate and dispose of the Sites on terms other than those set forth herein (including to parties other than those responding to this RFP). NYCHA and HPD likewise reserve the right, at any time, to waive compliance with, or change any of the terms and conditions of this RFP or to entertain modifications or additions to selected Proposals. In addition, NYCHA and HPD retain the right to at any time withdraw portions of the Sites from this RFP and to add improved or vacant lots to the Sites.

All determinations as to the completeness or compliance of any Proposals, or as the eligibility or qualification of any Applicant, will be within the joint discretion of NYCHA and HPD.

There is no legal obligation on the part of NYCHA and HPD to use the Proposals submitted pursuant to this RFP as a basis for negotiation with Applicants.

This RFP and any agreement resulting there from are subject to all applicable laws, rules and regulations promulgated by any Federal, State, or municipal authority having

jurisdiction over the subject matter thereof, as the same may be amended from time to time.

NYCHA and HPD are separate legal entities and will have separate responsibilities with respect to the Project. NYCHA is a Public Housing Authority, which was organized and exists as a New York public benefit corporation. HPD is a department of the City of New York. NYCHA will be responsible for arranging all conveyance permissions and licenses to enter upon the Sites, and for leasing and conveyance, where applicable, of the Sites. NYCHA and HPD will jointly oversee the actual development process.

The selected Developer is not to contact or communicate with the press or with members of the community or the tenant association without the approval and participation of NYCHA and HPD.

## **IX. CONFLICTS OF INTEREST**

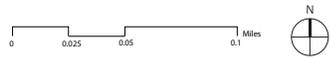
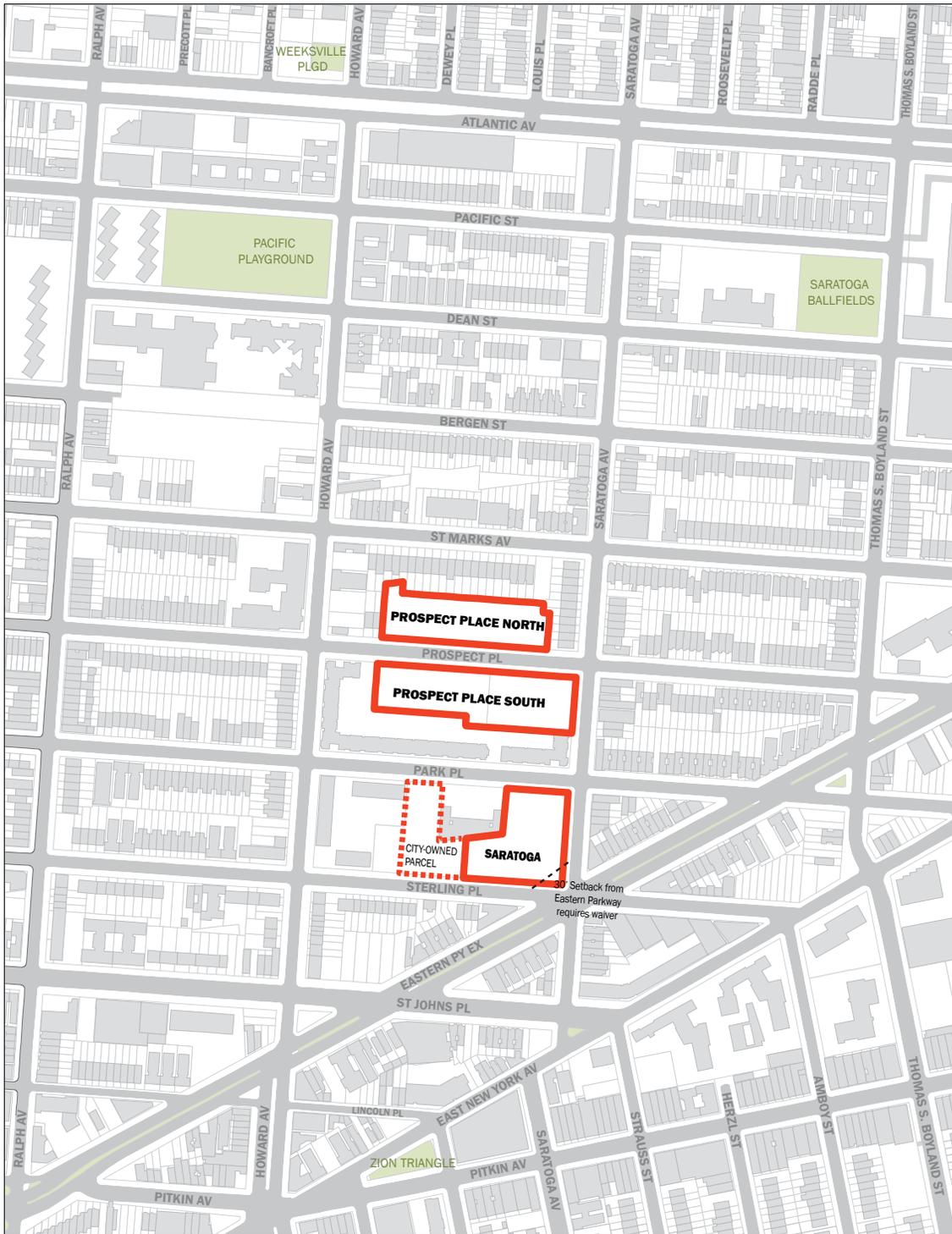
Current or former employees of the City of New York may respond to this RFP only in accordance with the section(s) of Chapter 68 of the New York City Charter governing ethics and conflicts of interest affecting City personnel. Section 2604(b)(7) of the City Charter contains specific prohibitions that exclude enumerated groups of employees from participating in the sales process. In addition, current NYCHA or HPD employees may not respond to this RFP.

Persons in the employ of the City considering the submission of a Proposal are advised that opinions regarding the propriety of their participating in the Project may be requested from the New York City Conflict of Interests Board. This body is empowered, under Section 2602 of the City Charter, to issue advisory opinions on conflict of interest questions and other matters of ethical consideration. It is not necessary, however, that such an opinion be obtained prior to responding to this RFP.

Former employees of the City of New York or NYCHA are also advised that the City Charter imposes certain restrictions on post-employment business relationships with the City. Such individuals should consult the specific provisions on this issue contained in the City Charter.

# **EXHIBIT A: DEVELOPMENT SITE MAP**

# DEVELOPMENT SITE MAP



## Legend

- Development Sites
- City-Owned Parcel
- Building Footprints
- NYC Open Space
- Tax Lots

**EXHIBIT B: RE-VISION PROSPECT PLAZA  
VOLUME I & II**



# RE-VISION PROSPECT PLAZA

A COMMUNITY PLANNING WORKSHOP | JUNE 2010

SATURDAY JUNE 5 | MONDAY JUNE 7 | TUESDAY JUNE 8

*OCEAN HILL — BROWNSVILLE, BROOKLYN*



# Workshop Program

# Table of Contents

All programmed activities will be held at **Van Dyke Community Center**, 392 Blake Avenue, Brooklyn

## DAY 1 SATURDAY, JUNE 5

*Morning Session: 9:00 AM - 12:30 PM*

- Registration and Breakfast
- Overview of the Day
- Welcoming Remarks (NYCHA Leadership and Elected Officials)
- Site Tour

*Lunch: 12:30 PM – 1:00 PM*

*Afternoon Session: 1:00 PM – 5:00 PM*

- Re-Vision Prospect Plaza – Introduction
- Workshop Structure
- Workshop Session I
- Presentations and Discussion
- Conclusions

## DAY 2 MONDAY, JUNE 7

*Evening Session: 5:00 pm – 9:00 pm*

*(food and refreshments will be provided)*

- Presentation of Preliminary Design Options
- Workshop Session II
- Presentations and Discussion
- Summary

## DAY 3 TUESDAY, JUNE 8

*Evening Session: 6:00 pm - 8:00 pm*

*(food and refreshments will be provided)*

- Preferred Design Option - Final Presentation to Stakeholders
- Comments and Closing Remarks

Introduction: Re-Vision Prospect Plaza .....	1 - 2
Ocean Hill – Brownsville History .....	3
New York City Housing Authority (NYCHA) in Brooklyn’s Community District 16 .....	4
New Affordable Housing 1988 - 2009 .....	5 - 6
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## Introduction: Re-Vision Prospect Plaza



**The New York City Housing Authority (NYCHA) welcomes you to Re-Vision Prospect Plaza, a community planning workshop to produce a plan for the redevelopment of the Prospect Plaza sites.** With your input, the community planning workshop will provide a blueprint – vision, goals, designs and implementation steps – to make Prospect Plaza a vibrant place to live.

NYCHA remains committed to the revitalization of Prospect Plaza and this workshop will consider and formulate guidelines and design criteria for the remaining phase of the redevelopment of the Prospect Plaza towers.

The workshop will draw on the knowledge of former Prospect Plaza residents, local community leaders, elected officials and government agencies. A moderator will guide participants through the visioning and planning process. A team of architects will translate ideas generated in small group discussions into drawings of design options. The result of this collaborative effort will then be shared with stakeholders and other guests at the workshop's final presentation on June 8, 2010. The resulting design will ultimately guide the redevelopment of Prospect Plaza.



**Community District 16 (CD 16) includes the Ocean Hill and Brownsville neighborhoods. Ocean Hill is located to the north and Brownsville to the south of East New York Avenue.**

Ocean Hill, where the Prospect Plaza sites are located, started growing in the late 19th century. Prior to 1873, the area was part of the property owned by the family of Jacobus Lott. In 1873, the Lott property was subdivided and portions of what are now Saratoga and Howard Avenues were developed. By the early 1900s, department stores, theaters and some industrial facilities were common along Broadway Avenue and Rockaway Avenue. By 1908, much of the area between Saratoga Avenue and Howard Avenue was developed with homes. Ocean Hill further continued to grow and prosper after the 1920s with the completion of the New Lots branch of Interborough Rapid Transit (IRT) in 1922.

The Brownsville neighborhood formed around 1883 when Charles S. Brown built 250 frame houses for workers who commuted by trolley to Manhattan factories. Simultaneously, manufacturers from Manhattan, particularly those in the garment trades, saw an opportunity in Brownsville to expand their businesses. By the 1980s a garment factory on Watkins Avenue had 100 employees.

By the late 1960s, Ocean Hill, Brownsville and the neighboring Bedford-Stuyvesant neighborhoods formed one of the largest African-American communities in the United States. Ocean Hill-Brownsville was also one of three districts in New York City in which the community was empowered to take control over local schools. Conflict between school leaders, community residents and the United Federation of Teachers generated one of the bitterest teachers' strikes in the history of the City. Other strides toward community control and empowerment, particularly in the areas of housing and social services, were initiated by the Ocean Hill-Brownsville Tenants Association.

During the blackout of 1977, many buildings in Ocean Hill and Brownsville were burned and abandoned, with many stores along Broadway Avenue destroyed. Since the late 1980s, however, CD 16 has seen a significant increase in the number of housing units as a result of an infusion of capital through government-assisted housing programs. Ocean Hill and Brownsville have come a long way in the process of revitalization. An increasing number of professionals are moving into the area, attracted in part by housing costs that are lower than in the rest of Central Brooklyn. Today, the Ocean Hill and Brownsville neighborhoods reflect this transformation with signs of ongoing revitalization throughout the community.



Images show transformation of the Ocean Hill neighborhood from a neighborhood of (1) traditional single-family rowhouse homes in 1924 to (2) large amounts of vacant parcels and deteriorated housing stock in 1996 to (3) newly constructed 1-2 family houses and multi-family buildings in 2008.



1 | A wheelwright business on Thatford Avenue which was torn down for the war-delayed Brownsville Houses (NYCHA Archives, June 1941).

2 | Looking almost like an architectural drawing, this view is of the courtyards of the brand-new 1948 Brownsville Houses, with 27 six-story buildings housing over 3,700 people on 19 acres (NYCHA Archives, May 1948).

3 | Brownsville Houses, bordered by Mother Gaston Boulevard, Dumont Avenue, Sutter Avenue, and Rockaway Avenue, in 2010.

4 | 3-story Howard Avenue-Park Place walk-up buildings are located on Sterling Place, Eastern Parkway, Howard Avenue, St. John's Place, and Ralph Avenue.

Source: *Public Housing: New York Transformed 1939-1967*. Photos from the New York City Housing Authority Collection.



**The first public housing development in Brooklyn's Community District 16 (CD 16) was Brownsville Houses (1948), a cluster of six-story buildings with 1,337 housing units.** Its design represents cost-saving techniques that dominated later public housing construction: column and slab concrete structure. The buildings follow a "cross plan" in which wings radiate from a central circulation core, providing light and ventilation.

The eleven NYCHA developments (more than 6,000 apartments) constructed in CD 16 during the 1950s, 60s and 70s were, almost without exception, high-rise towers surrounded by green, park-like settings. Buildings cover less than 20% of any site, but set back from the street, the towers often lack connection to the surrounding area. Commercial space was excluded to avoid competition with private property owners.

Eventually, these "towers in the park" became associated with increased crime, especially in neighborhoods that already had crime problems. In 1972, Oscar Newman wrote his important study, *Defensible Space*, which compared two adjoining projects in Brownsville: Brownsville Houses (1948) and Van Dyke Houses (1955). Both developments were of similar size and tenant composition but Brownsville had six story buildings while Van Dyke had 14-story towers. Over time, Van Dyke had more crime than Brownsville and required more maintenance work. Newman argued the difference in design approach accounted for the difference in crime rates.

In response to this critique and other research done at the time, NYCHA built nine developments in the 1980s and 90s (approximately 1,500 apartments) that averaged four stories in height. These developments did not, however, incorporate a diversity of uses (e.g. retail and community facility) or the range of income levels that urban planners recommended.

Today, NYCHA houses 20,814 people or almost 20% of CD 16's total population of 116,740, in 22 developments, which is the highest concentration of public housing in New York City.

# New Affordable Housing 1988 - 2009



Construction Type	%
New Construction	39
Rehabilitation	61
Total	100

Occupancy Type	%
Homeowner	31
Rental	69
Total	100

Income Level	%
Low - up to 80% AMI	75
Moderate - 81% to 100% AMI	22
Middle - above 100% AMI	3
Total	100

Occupancy Type
Rental
Senior
Homeownership

**In the last two decades Brooklyn's Community District 16 has seen a significant expansion in the number of affordable housing units, along with a large infusion of capital by the City for development of affordable, subsidized housing.** Since 1988, the New York City Department of Housing Preservation and Development (HPD) has created or preserved 6,994 units of affordable housing in CD 16. While most HPD projects have yielded rental housing, significant efforts also have been made to increase opportunities for affordable homeownership. Approximately 2,169 or 31% of the units are government-subsidized for homeownership and are owned by low- and moderate-income families.



1 | Rendering of the Domenech, a senior housing building currently under construction on St. Mark's Avenue between Saratoga Avenue and Howard Avenue, developed by Common Ground and designed by Jonathan Kirschenfeld Architects.

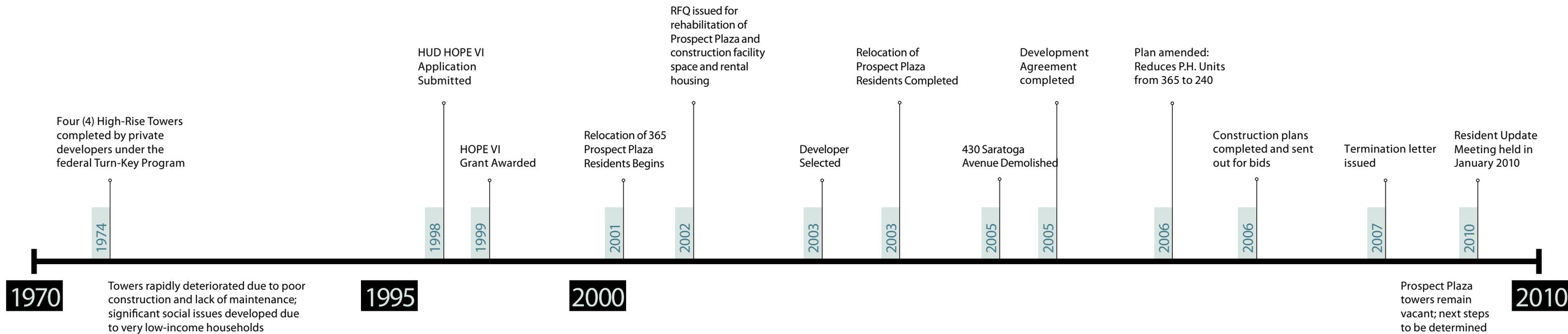
2 | The Rockaway, located at 730 Rockaway Avenue, was developed by Dunn Development Corp. and MHANY Management and designed by Peter L. Woll Architect, P.C.

3 | The Bristol, located at 445 Thomas S. Boyland Street, was developed by Dunn Development Corp., L&M Development Partners, and MHANY Management and designed by SLCE Architects.

4 | Grouping of 2-family homes located on Thomas S. Boyland Street built by the New York City Housing Partnership.



Source: NYC HPD, Production Credit System (PCS) Calendar Year 1988 – 2009, CD 16, Brooklyn (N = 6,994).



The HOPE VI Program, originally known as the Urban Revitalization Demonstration Program (URD), was developed as a result of recommendations by the National Commission on Severely Distressed Public Housing, which was charged with proposing a National Action Plan to demolish severely distressed public housing.

The final Commission report concluded that many public housing units and developments had outlived their useful lives, suffered from deferred maintenance over many years, and had become dangerous and unhealthy living environments. The HOPE VI Program was authorized October 6, 1992 and was initially intended to result in the demolition and reconstruction of up to 100,000 "distressed" public housing units across the country. Over time HOPE VI has been expanded to also promote activities, such as social and educational services, that support residents of the redeveloped housing.

The HOPE VI Program envisioned the replacement of high-rise buildings with new, lower density housing. It was further intended that the new housing would facilitate the re-integration of the residents of the often isolated high-rise public housing developments with their surrounding communities. This new public housing would be built as mixed income communities and include more commercial, educational, recreational and social service facilities, thereby improving the living standards of public housing residents through expanded job, educational and economic opportunities.

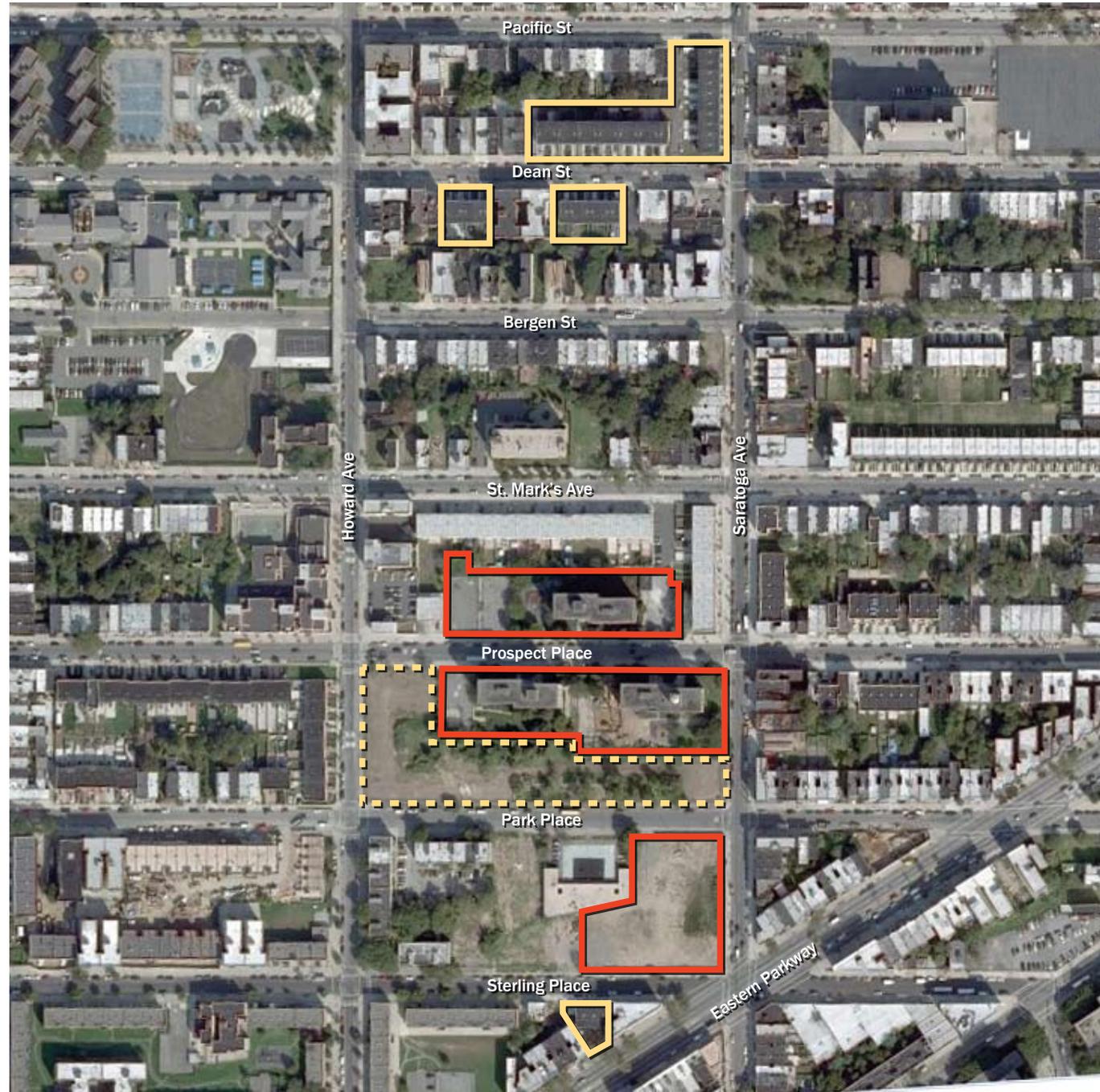
In the mid-1990s NYCHA worked with Prospect Plaza residents to formulate an application for a HOPE VI Revitalization Grant. Prospect Plaza had been identified as a HOPE VI site due to its deteriorated physical condition, undersized and inefficient apartment layouts and isolation from the surrounding community. In 1998 HUD awarded a \$731,000 HOPE VI Demolition Grant for 430 Saratoga Avenue. In 1999 HUD awarded a \$21.4 million HOPE VI implementation grant to revitalize the Prospect Plaza sites, construct new rental and homeownership units, build new community and recreation facilities, and provide social services for residents.

In 1999, HUD approved the Prospect Plaza HOPE VI Revitalization Plan; and NYCHA issued a request for proposals to develop new, low-rise rental buildings and two-family homes for first-time home buyers.

In 2003, construction of 37 townhouses on city property began. The last house was sold in 2005. In the same year, 430 Saratoga Avenue (including a 5,000 sq. ft. daycare center) was demolished. The building's foundation had been undermined by ground water and replacing the structure was determined to be less costly than repair. In 2007, construction of 151 units of affordable rental housing began. The development is now fully occupied. Relocated Prospect Plaza residents were offered a right of first refusal to buy or rent as provided by the HOPE VI Plan.

Prospect Plaza families three hundred sixty-five were relocated from the four Prospect Plaza public housing towers between 2001 and 2003, with most moving to other public housing, and others either accepting Section 8 vouchers or finding other housing accommodations. In 2002, a request for qualifications was issued for a developer to rehabilitate the Prospect Plaza sites, construct community facility space and additional rental housing. A developer was designated in June 2003 and terminated in 2007.

# Prospect Plaza HOPE VI Plan - Completed Phases



**LEGEND**  
 — PHASE I  
 — PHASE II  
 — TOWERS

## Phase I - Homeownership

In the first phase of the Prospect Plaza HOPE VI Plan, scattered City-owned sites on Saratoga Avenue, Dean Street, and Sterling Place were developed with 37 two-family houses. Development of these parcels was awarded to Settlement Housing Fund in 2002 and construction was completed in 2005. Of the 37 two-family homes, 32 were purchased by former public housing residents, including one former Prospect Plaza resident. Funding sources for the homeownership units included NYCHA subsidies, New York State Division of Housing and Community Renewal (DHCR), Federal Home Loan Bank, Brooklyn Borough President's Office and New York City Council.

## Phase II - Rental

In the second phase of the Prospect Plaza HOPE VI Plan, a City-owned site adjacent to Prospect Plaza towers 2 and 3 was developed with 150 affordable rental units. Construction was completed in June 2009. Of the 150 apartments, 45 units were set aside for relocated Prospect Plaza and other public housing residents for whom NYCHA provided rental vouchers through its Section 8 Program. Funding sources for the development included New York State Housing Finance Agency, DHCR, New York City 421a Program and private tax credit investment.



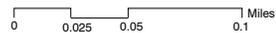
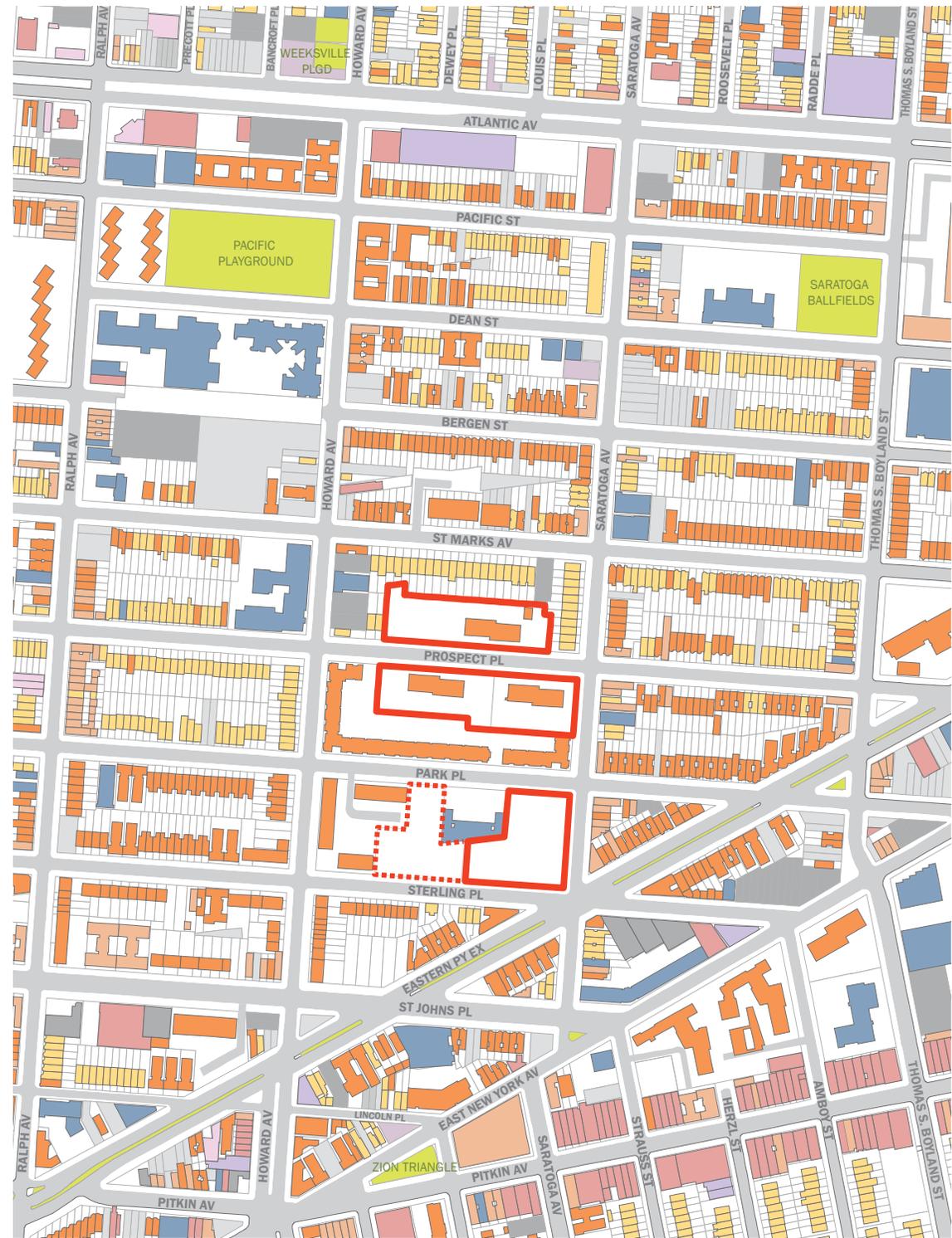
1 | Phase I of the Prospect Plaza HOPE VI Plan included the development of 37 two-family homeownership units on Dean Street, Saratoga Avenue, and Sterling Place.

2 | L&M Equities developed 150 affordable rental units on Prospect Place, Park Place, Saratoga Avenue, and Howard Avenue in 2009.

## Community & Supportive Services

Between 2004 and 2007 Goodwill Industries provided community and supportive services to former Prospect Plaza residents. Services included child care, transportation, family and substance abuse counseling, education and job training, placement and retention services in the fields of security, commercial driving, conventional driver's education, GED, computer literacy and building maintenance. In addition, the New York Mortgage Coalition led homeownership training sessions from 2004 to 2005 to aid the placement of public housing residents in the first phase of the project.

Beginning in 2007, NYCHA Resident Employment Services began providing services through a three-year Sustainability Plan, which will end in September 2010. Services offered through the Sustainability Plan include the development of a computer lab at the Van Dyke Community Center, computer literacy training and the Education & Employment Training Assistance Program (EETAP), which provides grants up to \$4,500 to former Prospect Plaza residents for vocational, undergraduate and graduate course work.



1 | Pacific Playground is located on Howard Avenue between Pacific Street and Dean Street, and adjacent to NYCHA's Kingsborough Houses.

2 | New 2-family homes on Park Place between Howard Avenue and Ralph Avenue.

3 | The P.S. 178 Annex is located on Park Place adjacent to a Prospect Plaza tower site and a City-owned parcel, both of which are currently vacant.

4 | The new Food Bazaar grocery store, located on St. John's Place between Howard Avenue and Ralph Avenue, opened in Fall 2009.

5 | Mixed-use building located at the intersection of Prospect Place and Saratoga Avenue.

6 | Ocean Hill's historic housing stock includes a wealth of preserved 1-2 family rowhouses, like these located on Park Place between Howard Avenue and Ralph Avenue.

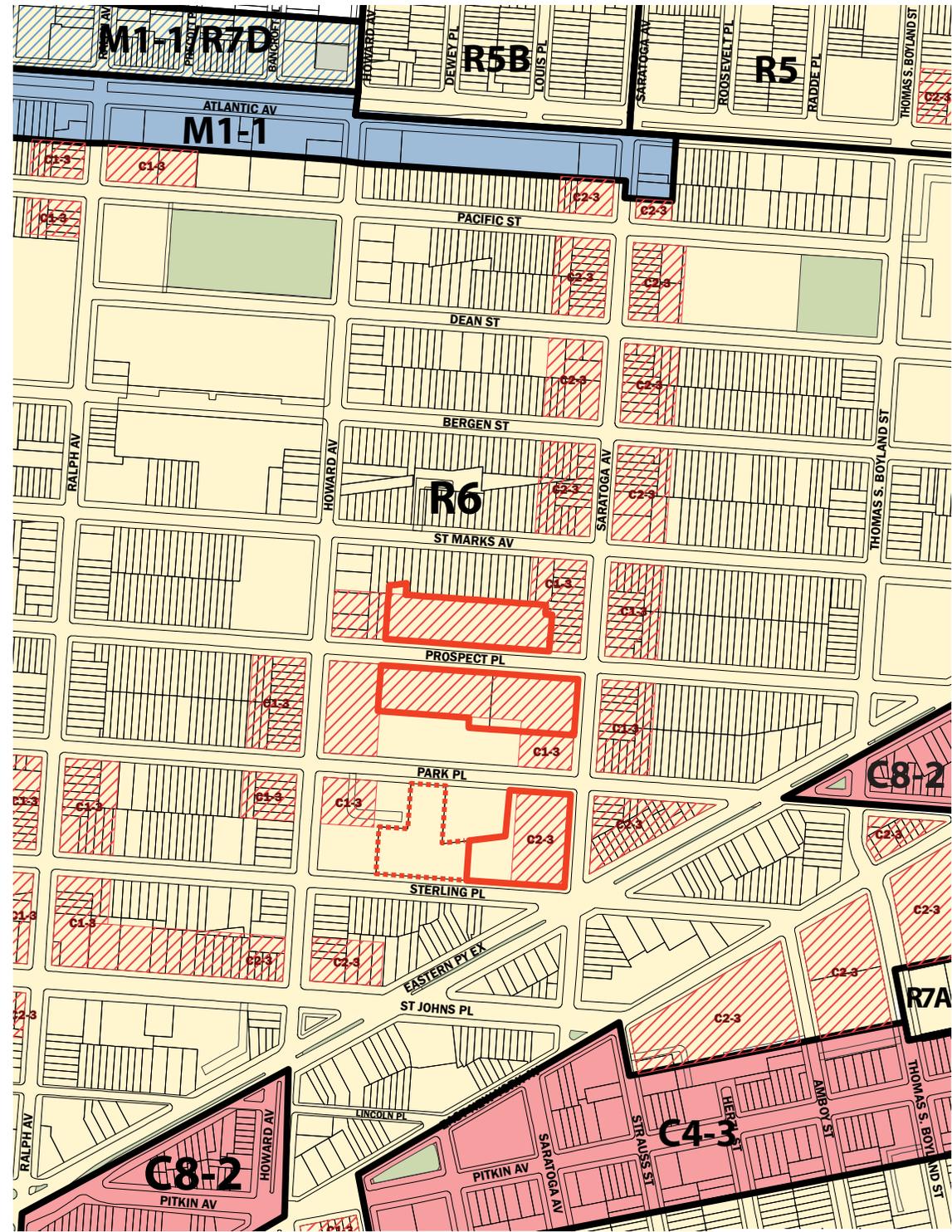
**The predominant land use in the area surrounding the Prospect Plaza tower sites, bounded by Atlantic Avenue, Eastern Parkway, Thomas S. Boyland Street and Ralph Avenue is residential.**

On these blocks, one and two-family homes alternate with multi-family walk-up buildings. The area is also served by community facilities, neighborhood retail stores, and two parks.

While some blocks contain one and two-family homes built between 1890 and 1930, much of the area's housing stock fell into disrepair, was demolished in the 1960s and 1970s and reverted to ownership by the City of New York. Since the late 1980s, many of the vacant City-owned sites have been redeveloped with rental housing and two-family homes. Most recently, the City-owned site adjacent to the existing towers was redeveloped as 150 affordable rental units. This site was part of the Prospect Plaza Hope VI Plan – Phase II, planned to be developed with low-density buildings comprised of affordable, rental units.

On Atlantic Avenue to the north, there are a few large industrial warehouses, and many smaller, automobile-related businesses and shops. Pitkin Avenue to the south is the main commercial corridor in Ocean Hill-Brownsville. Saratoga Avenue on the east offers smaller neighborhood retail stores. Some of the stores are currently closed. St. John's Place has scattered retail stores including a new neighborhood grocery, Food Bazaar, which opened in Fall 2009.

Community facilities in the area include two public schools, P.S. 12 and P.S. 178. An annex of P.S. 178 is adjacent to the vacant Prospect tower site at 430 Saratoga Avenue, and offers both a Pre-K and Kindergarten program. The area is also home to many churches, social service providers and two parks: Pacific Playground located along Howard Avenue between Pacific and Dean Streets and Saratoga Ballfields located at Thomas S. Boyland Street between Dean and Pacific Streets.



**The New York City Zoning Resolution controls land use, building size, height and setback restrictions, and open space and parking requirements.**

The City is divided into three basic zoning districts: residential, commercial and manufacturing. These three basic categories are further subdivided into lower, medium and higher density residential, commercial and manufacturing districts.

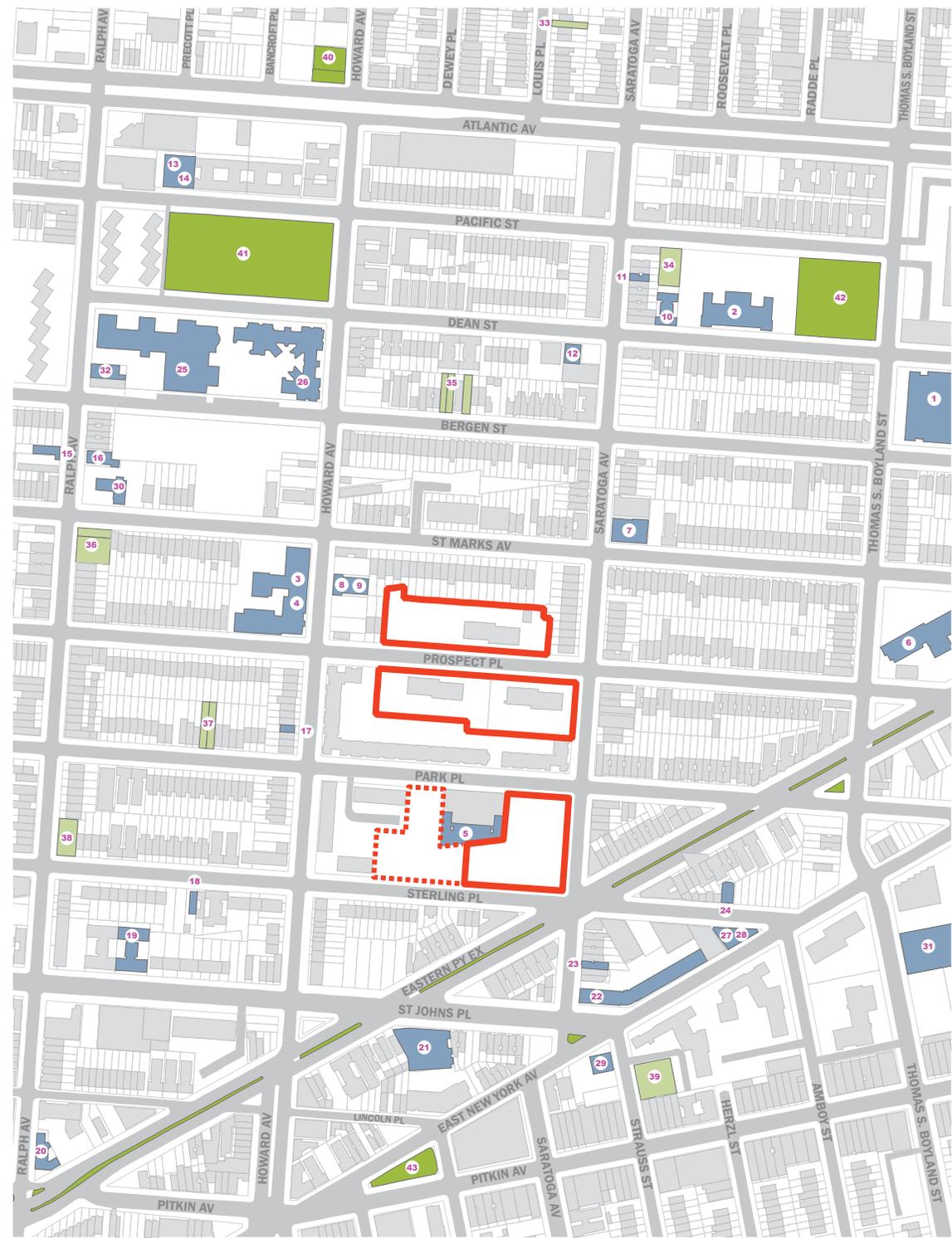
The primary zoning for the area including the Prospect Plaza tower sites is residential (R6) with commercial overlays (C1-3 and C2-3). The two Prospect Plaza sites located along Prospect Place are zoned R6 with 130-foot wide C1-3 commercial overlays. The site located along Saratoga Avenue between Park Place and Sterling Place is zoned R6 with a 150-foot wide C2-3 overlay. Saratoga Avenue, the north-south street to the east of the Prospect Plaza tower sites is zoned R6/C1-3 and C2-3. Buildings along Saratoga Avenue have small retail spaces on the ground floor and residential uses above.

Residential R6 zoning districts are widely mapped in built-up, medium-density areas in Brooklyn. A typical R6 residential building usually has 3 to 12 stories. The Zoning Resolution permits developers to build under Height Factor or Quality Housing regulations. Height factor regulations encourage small apartment buildings on small zoning lots; and on larger lots, tall and narrow buildings that are set back from the street. The quality housing alternative results in lower buildings with more lot coverage.

Commercial overlays as C1-3 and C2-3 are mapped along streets that serve the local retail needs of the surrounding residential neighborhood, and are found primarily throughout the City's lower- and medium-density areas, and occasionally in higher-density districts. Typical uses include grocery stores, small dry cleaners, restaurants, and beauty parlors catering to the immediate neighborhood. In buildings with residential uses, commercial uses are limited to one or two floors and must always be located below the residential use.

- 1 | Industrial warehouse at Atlantic Avenue and Louis Place, 4 blocks north of the Prospect Plaza tower sites.
- 2 | Pitkin Avenue, located 4 blocks south of the tower sites, is a regional shopping district.
- 3 | There are isolated C8-2 districts, which allow for automotive uses. This gas station is located at the intersection of St. John's Place and Eastern Parkway.
- 4 | Saratoga Avenue is characterized by mixed-use buildings with small stores on the ground floor. This building is located at Park Place and Saratoga Avenue.
- 5 | Historic 1-2 family homes on Pacific Street between Saratoga Avenue and Howard Avenue.
- 6 | New infill 1-2 family homes on Saratoga Avenue between St. Mark's Avenue and Prospect Place.

Source: New York City Department of City Planning Zoning Handbook



## SCHOOLS

- 1 BROOKLYN COLLEGIATE
- 2 PS. 178 SAINT CLAIR MCKELWAY SCHOOL
- 3 PS. 12
- 4 RONALD EDMONDS LEARNING CTR II
- 5 PS. 178 ANNEX

## SOCIAL SERVICES

- 6 MT ARARAT PRES CHURCH SENIOR CENTER
- 7 SARATOGA WOMEN'S CENTER
- 8 THE FAMILY AND LIFE CENTER OF MT.ARARAT -I/T
- 9 THE FAMILY AND LIFE CENTER OF MT.ARARAT - P/S
- 10 DEAN STREET
- 11 INNER HEALING CHRISTIAN ACADEMY SCHOOL
- 12 GLOVER MEMORIAL
- 13 SHIRLEY CHISHOLM DAY CARE CENTER #1
- 14 SHIRLEY CHISHOLM DAY CARE #2(PRESCHOOL)
- 15 GOD'S DELIVERANCE TEMPLE
- 16 ST. MARK'S CHURCH OF CHRIST
- 17 EBENEZER FRENCH SDA CHURCH
- 18 UNIQUE START INC.
- 19 SMILING FACES CHRISTIAN DAY CARE CENTER - I/T
- 20 THE RENAISSANCE
- 21 HOLY HOUSE OF PRAYER
- 22 1381 EAST NY AVE.
- 23 ZION GOSPEL TABERNACLE
- 24 UNITY TEMPLE BAPTIST CHURCH

## HEATH SERVICES

- 25 BROOKLYN CHILDREN'S PSYCH CENTER
- 26 BROOKLYN CHILDREN'S DAY TREATMENT CENTER
- 27 PSCH-HORIZON PROJECT I
- 28 PSCH-HORIZON PROJECT II
- 29 INTERFAITH MEDIAL CTR.
- 30 BROOKLYN CHILDREN'S CENTER
- COMMUNITY RESIDENCE

## POLICE STATIONS

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## FIRE HOUSES

- 32 ENGINE 227

## COMMUNITY GARDENS

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- 34 COMMUNITY GARDEN
- 35 FARMERS GARDEN
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25



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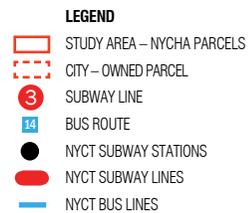
7

**Community facilities in the area surrounding the Prospect Plaza tower sites include public schools, organizations providing social, health and public safety services, parkland and other open space.**

The Prospect Plaza tower sites are located in the City's Department of Education District #23. Students in the area attend P.S. 178 - Saint Claire McKelway School, located at 2163 Dean Street, three blocks north of the development sites. The school serves Pre-Kindergarten through Grade 8. In addition to the main school building on Dean Street, the P.S. 178 Annex, located on Park Place between Saratoga and Howard Avenues, serves Pre-Kindergarten and Kindergarten students. The Annex building is adjacent to NYCHA's development site on Saratoga Avenue and a vacant City-owned parcel under the jurisdiction of the Department of Housing Preservation and Development. P.S. 12 / Ronald Edmonds Learning Center II, located at the corner of Howard Avenue and Prospect Place, falls within the boundaries of Department of Education District #17. Brooklyn Collegiate High School, at the corner of Thomas S. Boyland Street and Bergen Street, opened in 2009. There are no public libraries in the area.

Pacific Playground, located on Howard Avenue between Pacific Street and Dean Street, was renovated in 2002 and includes basketball courts, playgrounds and spray showers. Saratoga Ballfields, located on Thomas S. Boyland Street between Pacific Street and Dean Street and adjacent to P.S. 178, includes playground facilities. There are several community gardens located throughout the Ocean Hill neighborhood. Religious organizations in the area provide a variety of social services.

# Public Transportation



# Major Traffic Routes



In order to portray the demographic characteristics of the area surrounding the Prospect Plaza tower sites, the 2006-2008 American Community Survey 3-Year Estimates were analyzed at three geographic levels: Brooklyn's Community District 16 (CD 16), which includes the Ocean Hill and Brownsville neighborhoods; the Borough of Brooklyn; and New York City as a whole. Data was also collected for New York City Housing Authority residents in CD 16, who comprise approximately 20% of Community District's total population.

	NYCHA Housing in CD 16	CD16 2006 - 2008	Brooklyn 2006 - 2008	NYC 2006 - 2008
<b>Population</b>	20,814	116,679	2,539,617	8,308,163
<b>Age</b>				
Under 18 years	33.6%	33.0%	25.3%	23.0%
18 – 64 years	53.6%	59.0%	62.5%	64.7%
Over 64 years	12.8%	9.0%	12.2%	12.3%
<b>Total Households</b>				
<b>Annual Median Household Income</b>	\$14,376	\$25,954	\$43,023	\$50,403
<b>Average Household Size</b>	2.4	2.96	2.84	2.68
<b>Monthly Median Gross Rent</b>				
<b>Gross Rent at 30% or More of Household Income</b>	N/A <sup>2</sup>	56.5%	53.3%	50.3%
<b>Homeownership Rate<sup>1</sup></b>				
<b>Median Value of Owner-Occupied Units</b>	N/A <sup>3</sup>	\$426,500	\$574,500	\$526,800
<b>Median Monthly Housing Costs for Mortgaged Owners</b>	N/A <sup>3</sup>	\$2,045	\$2,426	\$2,407
<b>Selected Monthly Owner Costs at 30% or More of Household Income</b>	N/A <sup>3</sup>	59.9%	55.7%	50.2%
<b>Housing Structures Built Before 1960</b>				
	48.5%	55.6%	86.6%	81.4%

Source: U.S. Census Bureau - American Community Survey 2006-2008 3 Year Estimates, NYC Department of City Planning - Population Division, November 2009

<sup>1</sup> Furman Center - State of the New York City's Housing and Neighborhoods 2008

<sup>2</sup> NYCHA residents pay no more than 30% of their incomes in rent

<sup>3</sup> NYCHA units are rentals

The U.S. Department of Housing and Urban Development (HUD) provided support for this community planning workshop.

## CONSULTANTS



ACP places citizens at the heart of physical planning, helping diverse interests and stakeholders find a common path toward community improvement. The result? Broadly-supported plans that reflect locally-defined needs and lead to implementation.

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## PHOTOS

### Cover and Page 2-3:

Aerial image courtesy of the Local Development Corporation of East New York & Jackson Development Group

### Page 3:

Photos 1-3: Historic images courtesy of NYCityMap, New York City Department of Information Technology and Telecommunications, City-Wide GIS

### Page 6:

Photos 2 & 3: Courtesy of the New York City Department of Housing Preservation and Development

Photo 4: Source: Common Ground www.commonground.org



**VOLUME 2**



# RE-VISION PROSPECT PLAZA

A COMMUNITY PLANNING WORKSHOP | **JUNE 2010**

SATURDAY JUNE 5 | MONDAY JUNE 7 | TUESDAY JUNE 8

*OCEAN HILL — BROWNSVILLE, BROOKLYN*



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“I want you to believe that the process that you will start today with the Development Unit of NYCHA is a truthful process. I understand and acknowledge that there has been pain and anger. But together we will move forward to create something better for the former residents of Prospect Plaza and the residents of the neighborhood. I believe that the plan that will emerge from this process will accomplish our collective goals. Funding is limited, I know, but we will fight to obtain the resources needed to make this plan a reality.”

*Margarita López, NYCHA Board Member, Opening Remarks, June 5, 2010*

## Introduction: Re-Vision Prospect Plaza A Community Planning Workshop

“The Prospect Plaza sites are a blank tapestry where we can create the community's plan. I would like this project to be a model for the surrounding area. I want everybody to look at this new housing complex and use it as a foundation for future projects.”

*Paul Foster, Former Prospect Plaza Resident, First Design Session, June 5, 2010*

### The New York City Housing Authority (NYCHA) has made it a priority to redevelop and revitalize Prospect Plaza in Brooklyn.

To help achieve this goal, NYCHA held a three-day community planning workshop in June at the Van Dyke Community Center, attended by more than 100 people including former Prospect Plaza residents, neighbors, local leaders, and representatives from the offices of elected officials.

The *Re-Vision Prospect Plaza* workshop gathered input from participants on vision, goals, designs and implementation steps that provide a blueprint to re-make Prospect Plaza into a vibrant place to live. The result of this collaboration was shared with stakeholders at the workshop's final presentation and will guide the redevelopment of Prospect Plaza. The community plan includes a mix of housing types, open space, community facilities and retail space to replace the remaining vacant Prospect Plaza towers.

NYCHA is committed to the revitalization of Prospect Plaza within a feasible timeframe and through an inclusive and continuous community consultation process.



Pictured is the conceptual community plan developed during the *Re-Vision Prospect Plaza* workshop, overlaid on the Prospect Plaza sites.



Images show the transformation of the Ocean Hill-Brownsville neighborhood from (1) large amounts of vacant parcels in 1996 to (2) newly constructed 1-2 family houses and multi-family buildings in 2008.

Community District 16 (CD 16) includes the Ocean Hill and Brownsville neighborhoods. Ocean Hill is located to the north and Brownsville to the south of East New York Avenue. Both neighborhoods began to grow in the late 19th century. In the 1880s, manufacturers from Manhattan saw an opportunity to expand their businesses in Brownsville and in the early 1900s department stores, theatres, and industrial facilities were common along Broadway and Rockaway Avenues. By 1908, much of the area between Saratoga and Howard Avenues was developed with homes. The area continued to grow with the completion of the New Lots branch of the Interborough Rapid Transit (IRT) system in 1922.

Today, in the area surrounding the Prospect Plaza sites, one and two-story family homes alternate with multi-family walk-up buildings. While some blocks contain one and two-family homes built between the 1890s and 1930s, much of the area's housing stock fell into disrepair, was demolished in the late 1960s and 70s, and reverted to ownership by the City of New York.

Over the last two decades, CD 16 has seen a significant expansion in the number of affordable housing units developed with a large infusion of City capital and other subsidies. Since 1988, the New York City Department of Housing Preservation and Development (HPD) has created or preserved 6,994 units of affordable housing in CD 16. While most HPD projects are rentals, considerable efforts have also been made to increase opportunities for affordable homeownership. Approximately, 2,169 or 31% of the units are government-subsidized for ownership by low-and moderate-income families.

NYCHA houses 20,814 people or almost 20% of the CD's total population of 116,740 in 22 developments, which is the highest concentration of public housing in New York City.



1 | Phase I of the Prospect Plaza HOPE VI Plan included the development of 37 two-family homeownership units on Dean Street, Saratoga Avenue, and Sterling Place.

2 | L&M Equities developed 150 affordable rental units on Prospect Place, Park Place, Saratoga Avenue, and Howard Avenue in 2009.

LEGEND  
 PHASE I  
 PHASE II  
 TOWERS

In the mid 1990s NYCHA worked with Prospect Plaza residents to formulate an application for a HOPE VI Revitalization Grant. Authorized on October 6, 1992, the HOPE VI Program envisions the replacement of distressed high-rise towers with new, low-density housing. The new public housing would be built as mixed-income, mixed-use communities, thereby expanding economic and educational opportunities for public housing residents.

Prospect Plaza included four towers with 365 apartments. The towers were identified as a HOPE VI site due to their deteriorated condition, inefficient apartment design and isolation from the surrounding community. In 1998 the U.S. Department of Housing and Urban Development (HUD) awarded a \$ 731,000 HOPE VI Demolition Grant for the demolition of one of the towers (430 Saratoga Avenue). The building's foundation had been undermined by ground water and replacing the structure was deemed to be less costly than repair. In 1999 HUD awarded a \$21.4 million HOPE VI implementation grant to revitalize Prospect Plaza sites by constructing new rental and homeownership units, building new community and recreation facilities, and providing social services for residents. In 1999 HUD approved the Prospect Plaza HOPE VI Revitalization Plan, which included the towers and several vacant City-owned sites. Prospect Plaza families were relocated between 2001 and 2003. Most families moved to other public housing.

The construction of affordable rental and homeownership units is complete: In 2005, Settlement Housing Fund built 37 two-family homes for first time buyers on City-owned sites on Saratoga Avenue, Dean Street and Sterling Place. In 2009, L&M Equities built 150 rental units on Park Place, on a site adjacent to Prospect Plaza towers 2 and 3. Relocated Prospect Plaza residents were offered a right of first refusal to buy or rent, as provided by the HOPE VI Plan. Social services have also been made available to relocated residents: between 2004 and 2007, Goodwill Industries provided a variety of services and, beginning in 2007, NYCHA Resident Employment Services began providing services through a three-year Sustainability Plan. In addition, during 2004 and 2005, the New York Mortgage Coalition led homeownership training sessions to aid the placement of public housing residents in the homeownership units.

In 2002, a Request for Qualifications was issued for a developer to rehabilitate the Prospect Plaza towers, construct a community facility space, and rental housing. A developer was designated in 2003 and terminated in 2007. NYCHA demolished the 430 Saratoga Avenue building in 2005.



**Re-Vision Prospect Plaza** began with the presentation of a short film in which former Prospect Plaza residents and other community residents talk about their experience living at Prospect Plaza, their perceptions of the neighborhood and their ideas and aspirations for the redevelopment of the Prospect Plaza sites.

Welcoming remarks were delivered by NYCHA Board Member Margarita López and General Manager Michael P. Kelly. They acknowledged the frustration of former Prospect Plaza residents due to the long delay in the implementation of the 1999 HOPE VI Plan and pledged the commitment of the NYCHA Board to the realization of the Re-vision Prospect Plaza community plan. Ilene Popkin, NYCHA’s Assistant Deputy General Manager for Development and Bernel Hall, Senior Transaction Manager, described the redevelopment goals, preliminary cost assumptions and HUD’s mixed finance requirements for the construction of new public housing. A question and answer session followed.



Gianni Longo of ACP Visioning and Planning was the moderator of the workshop. He introduced Sherida Paulsen of PKSB Architects who was the lead architect for the workshop and then proceeded to describe the workshop program:

- Day 1** – tour, strong places, weak places exercise and first design session (*Design-With-Icons*)
- Day 2** – summary of design options and second design session
- Day 3** – presentation of the community plan



As the program started, participants were divided into six groups and toured the neighborhood accompanied by facilitators. Many of the former Prospect Plaza residents had not been in the neighborhood for years and used the tour to reacquaint themselves with the area. The groups observed Prospect Plaza, discussed its context within the neighborhood and identified the area’s strengths and weaknesses.



The **Strong Places, Weak Places** exercise focused on the physical strengths and weaknesses of the Prospect Plaza area. Returning from the tour, workshop participants noted their observations on a map of the neighborhood, using green dots to indicate features and places they liked and red dots to indicate those they disliked, and explained the reasons for their likes and dislikes. The exercise gave the consultant team a clear understanding of public perceptions regarding the physical conditions of the neighborhood. Workshop participants had similar opinions:

- **The three vacant Prospect Plaza towers ought to be demolished and replaced with uses that strengthen the neighborhood:** housing, retail, a community center and open space. The vacant NYCHA site on Saratoga Avenue represents a good opportunity for development of a mixed-use building with good quality retail, a community center and housing above. An adjacent City-owned vacant site is an ideal location for a community park.
- **The architecture of new residential development in the neighborhood is attractive.** Workshop participants liked the scale of the buildings (low-rise) and the landscape of the front and back yards. The new architecture conveys feelings of quietness, safety and privacy.
- **Pitkin Avenue is an important neighborhood asset.** It offers a variety of stores (i.e., clothing, banks, supermarkets) and accessibility to public transportation. Atlantic Avenue was identified as having the same qualities.
- **Pacific Playground is an important neighborhood resource.** It was recently furnished with new play equipment and sitting areas for adults. The drawback is its location several blocks away from Prospect Plaza. Saratoga Park is also considered a community asset.
- **Neighborhood schools were commended for their quality** (P.S. 12, P.S. 178 and Annex). However, it was noted that the neighborhood lacks a library.
- **More neighborhood retail facilities are needed: dry cleaners, beauty parlors and restaurants.** There is not enough commercial activity immediately adjacent to the Prospect Plaza sites. Retail activity will bring life to the streets and spur economic development.



From these observations, each group discussed “Do’s” and “Don’ts” principles intended to govern their design efforts and ensure that the community plan would incorporate positive qualities of the neighborhood and improve upon its shortcomings.

# Day 1- First Design Session (Design-With-Icons)



## This session started with a presentation by Sherida Paulsen of PKSB Architects who was the lead architect for the workshop.

The presentation included a description of the Prospect Plaza sites and the area including its land use, zoning, community facilities, public transportation, traffic routes and demographic characteristics. The development trends section included examples of the neighborhood's low-scale character (2-6 story buildings). Participants were informed that zoning allowed for both high-rise buildings and smaller buildings. It was highlighted that a new plan for Prospect Plaza offered opportunities to restore neighborhood scale, provide more housing units, create safer streets and enhance connections to neighborhood amenities. New names were proposed for the Prospect Plaza sites and all participants agreed: **Prospect Place North** (site on the north side of Prospect Place); **Prospect Place South** (site on the south side of Prospect Place); and **Saratoga Park** (site at the intersection of Saratoga Avenue and Sterling Place where the 430 Saratoga building was located before its demolition in 2005).



The *Design-With-Icons* activity gave workshop participants the first opportunity to get involved in the design of the Prospect Plaza sites. Participants were given "icons" which corresponded to scaled versions of residential, retail, open space and community facility uses consistent with zoning requirements. Working in six small groups, participants used the icons to discuss the appropriate combination of uses and preferred location for each. While participants explored different concepts, a design team assigned to each group translated those ideas into computer-generated three-dimensional models. Presentations by each group followed.



## Housing

High-rise residential buildings were rejected by all groups. There was strong preference for smaller walk-up and elevator apartment buildings (up to five stories). Some groups proposed walk-up buildings at Prospect Place North and Prospect Place South for consistency with existing new buildings. Other groups proposed a mix of walk-up and elevator buildings on these sites. Several groups favored mixed-used buildings along Saratoga Avenue.



## Retail

The Saratoga Park site was the preferred location for a large retail use. Most groups envisioned a Fresh Foods supermarket. However, groups also spoke in favor of a large drug store, a bookstore and a gym/spa. Small retail stores (2,500 sq. ft. each) were proposed along Saratoga Avenue.

## Open Space

All groups agreed that the City-owned vacant site should be developed as a community park. Five groups envisioned small "pocket parks" with playgrounds and sitting areas at the center of Prospect Place North and Prospect Place South.

## Community Facility

Groups were divided over the location of a community center. Three groups envisioned its location at the Saratoga Park site; the other groups proposed either Prospect Place North or Prospect Place South.

## Parking

All groups agreed that parking should be located at the rear of the buildings.



NEON GREEN GROUP



GREEN GROUP



ORANGE GROUP



RED GROUP



BLUE GROUP



YELLOW GROUP

**“This is an important moment in the long history of Prospect Plaza. We can’t go back. This workshop is an opportunity to shape the future of this community. Let’s work to make Prospect Plaza a place that we can call home. Together we can do it. In fact, we are doing it right now.”**

*Reginald Bowman, Citywide Council of Presidents (CCOP), Closing Remarks, June 7, 2010*



**DESIGN OPTION 1**



**DESIGN OPTION 2**

## The *Design-With-Icons* activity enabled the design team to narrow down the work of the six groups to two design options.

Sherida Paulsen, lead architect of the workshop, described each option and summarized their similarities and differences. Groups were asked to:

- 1) Refine their proposals for open space (mid-block open space or one large park)
- 2) Determine ground floor activity on Saratoga Avenue
- 3) Determine density on the Saratoga Park site
- 4) Determine location of community space (one large center or two small centers)

Members of each small group discussed their preferences. Then a representative from each group presented the group’s findings to the general audience.

### Open Space

All groups agreed to reduce the number of residential units in order to accommodate two mid-block open spaces (or “pocket parks”) as well as a larger community park at the City-owned site. It was recommended that one of the mid-block spaces be designed for children; the other for seniors. The community park should offer uses for people of all ages. Proposed amenities include a basketball court, a picnic area and sitting areas.

### Ground Floor Activity on Saratoga Avenue

All groups called for small neighborhood stores on the Park Place South site along Saratoga Avenue, and a Fresh Foods supermarket and a bank on the Saratoga Park site. Small stores such as a coffee shop, restaurant, beauty salon, dry cleaners and a hardware store could promote local entrepreneurship.

### Density on the Saratoga Park Site

The proposed mixed-use building on the Saratoga Park site should conform to the scale of the neighborhood.

### Community Space

All groups called for a large community center (approximately 10,000 sq. ft.) on the Saratoga Park site and a small community space on the ground floor of the corner building on Prospect Place South. The community center on the Saratoga Park site would serve the overall community and include a gymnasium, computer lab, daycare and space for after school programs. The small community space would serve senior residents.



“It is great to see this high level of engagement in shaping the future of Prospect Plaza. We have a chance to do something special by taking a place that means so much to you and shaping it to fit your vision. I made a commitment to be your partner in this process. We won’t agree on everything but that is a part of the process. I am confident that we will arrive at a consensus that includes the best ideas and move forward.”

John B. Rhea, NYCHA Chairman, Closing Remarks, June 8, 2010



**Re-Vision Prospect Plaza concluded with a presentation of the workshop’s recommendations, which will guide the redevelopment of the Prospect Plaza sites.**

Welcoming remarks were delivered by NYCHA Chairman John B. Rhea and General Manager Michael P. Kelly. Both recognized the invaluable insight provided by workshop participants and reiterated the commitment of the NYCHA Board to the implementation of the community plan within a feasible timeframe. Sherida Paulsen presented the principles that govern the plan and its major components. Based on the icons used in the design exercises, architects were able to determine approximate number of units per building and approximate areas for open space, community space, retail and number of parking spaces.

**Design Principles of the Community Plan**

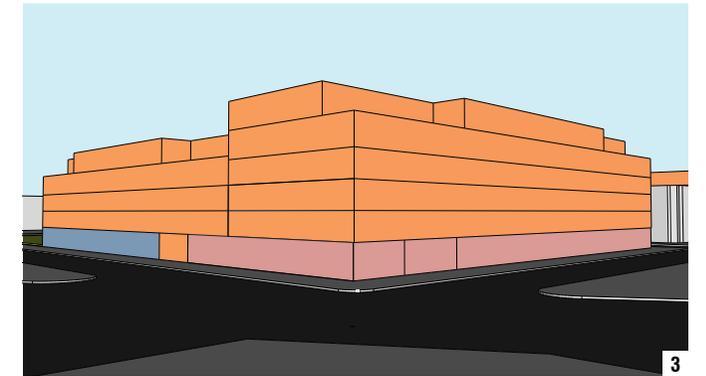
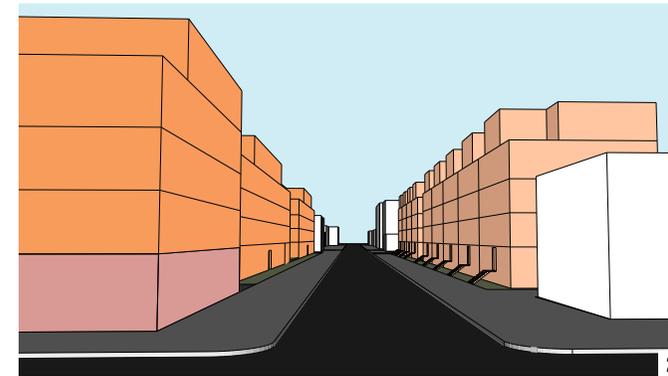
- Demolish existing three vacant towers: build at least 368 new housing units
- Maintain the neighborhood scale: up to six-story buildings
- Allow for housing type diversity: seniors, families
- Create safe streets: provide more entrances at grade
- Integrate green spaces into each site: pocket parks and green backyards
- Allow for quality retail spaces: Fresh Foods supermarket and small neighborhood stores
- Incorporate sustainable design: materials, systems, building layouts

**Components of the Community Plan**

- 360 housing units, including two walk-up buildings on Prospect Place North and five elevator buildings distributed between Prospect Place South and the Saratoga Park site
- 16,600 square feet of open space, including two 5,000 square foot pocket parks on Prospect Place North and Prospect Place South and a 6,600 square foot terrace as part of the building on the Saratoga Park site
- 12,000 square feet of community facility space, including a 2,500 square foot community room on Prospect Place South and a 10,000 square foot community center on the Saratoga Park site
- 32,860 square feet of retail space, including a 20,000 square foot Fresh Foods supermarket and a 3,000 square foot neighborhood store on the Saratoga Park site, and four neighborhood stores on Prospect Place South, along Saratoga Avenue
- 30,000 square foot community park on the City-owned site adjacent to the Saratoga Park site
- 120 parking spaces across all three NYCHA sites

An alternative plan with minor variations was presented, in the event that research found components of the preferred plan to be infeasible. In this plan, a walk-up building is replaced by an elevator building on Prospect Place North and neighborhood retail is replaced by housing on Prospect Place South, along Saratoga Avenue. This scheme provides approximately 400 housing units.

Bernel Hall, Senior Transaction Manager at NYCHA’s Department for Development, summarized the redevelopment goals and financing challenges described at the beginning of the workshop and restated NYCHA’s commitment to seek all potential financial resources needed to implement the plan (e.g. City, State, and Federal subsidies, non-public housing resources, green development grants, and elected officials funds). Ilene Popkin, NYCHA’s Assistant Deputy General Manager for Development described the proposed next steps. The workshop concluded with a question and answer session and comments from participants.



1 | Pictured is a computer-generated three dimensional massing model, based on the conceptual community plan developed during the Re-Vision Prospect Plaza. View from above, looking north.

2 | Streetscape view looking west on Prospect Place. Community plan proposes elevator buildings on Prospect Place South, with neighborhood retail along Saratoga Avenue, and walk-up buildings on Prospect Place North, with multiple entrances at grade.

3 | Proposed multi-use building on the intersection of Eastern Parkway and Sterling Place, with ground floor retail space and community facility, and housing above.

## Visioning the New Prospect Plaza

Following the *Re-Vision Prospect Plaza* workshop, PKSB Architects refined the proposed community plan and prepared schematic renderings that illustrate the proposed plan in more detail. All renderings are preliminary, including proposed building materials and façade treatment.



1



2



3



4

## A Sustainable Prospect Plaza

Wherever feasible, the new community plan will implement the sustainability practices outlined by the Green Communities Criteria 2008 developed by Enterprise Community Partners.

- **Integrated Design:** An integrated design process incorporates sustainability up-front, uses a holistic and systematic approach to the development process, and promotes good health and livability throughout the life cycle of the development.
- **Site, Location and Neighborhood Fabric:** Prospect Plaza is located within the Ocean Hill neighborhood and utilizes previously developed sites. Significant development savings come from developing sites that already have infrastructure and civic amenities, such as transit, schools, and open space.
- **Site Improvements:** Sustainable design and site planning integrate design and construction strategies to: minimize environmental site impacts; enhance human health; reduce construction costs; maximize energy, water, and natural resource conservation; improve operational efficiencies, and promote the use of public transportation.
- **Water Conservation:** Water efficiency conserves finite fresh water resources and reduces utility bills. Significant water savings can be realized by installing water-efficient appliances and plumbing fixtures, implementing low-water landscape and irrigation strategies, and taking advantage of rainwater catchment and graywater sources.
- **Energy Efficiency:** Energy efficiency helps to maximize resident comfort and health and reduces utility bills. Conservation measures mitigate the accumulative burdens of energy production and delivery, extraction of non-renewable natural resources, degradation of air quality, global warming and the increasing concentration of pollutants.
- **Materials Beneficial to the Environment:** Reducing building materials conserves natural resources and lowers emissions associated with manufacturing and transporting raw materials. Many techniques and building products on the market contribute to more durable, healthy and resource-efficient buildings.
- **Healthy Living Environment:** Creating a healthy living environment involves the use of materials that do not cause negative health impacts for residents or workers, especially for more sensitive groups such as children, seniors and individuals with existing respiratory problems and compromised immune systems.

1 | Rendering depicts the proposed community plan from above looking north. New building setbacks, massing and height are in context with existing buildings. Sustainable design features could include green roofs and permeable surface parking to reduce rainwater run-off and re-purpose graywater.

2 | Streetscape view looking west on Prospect Place North. Community plan proposes walk-up buildings that are set back approximately 8 feet from the sidewalk to allow for small gardens and landscaping.

3 | Proposed building on Prospect Place South includes space for small neighborhood retail along Saratoga Avenue.

4 | New ground floor retail space, including a Fresh Foods supermarket, provides an anchor to this building on the Saratoga Park site at the intersection of Eastern Parkway and Sterling Place.

• **Operations & Maintenance:** Operations and maintenance (O&M) practices impact the building owner's costs and residents' health, comfort and safety. Sustainable building O&M practices enhance resident health and operational savings. The key to successful building performance is the integration of O&M plans, education and cost-effective, low-maintenance design.

Source: Green Communities Criteria 2008, Enterprise Community Partners, Inc.

**“It has been an honor to participate with you in this workshop and I would like to share with you my heartfelt commitment to continue working together through the successful completion of this project. For your neighbors and your friends who were not able to participate with us: please share with them your experience and your vision. This is not the end but the beginning. The future is in our hands.”**

*Michael P. Kelly, NYCHA General Manager, Closing Remarks, June 8, 2010*

<b>2010</b>	<b>SEP</b>	Update Meeting with Stakeholders Conduct Environmental Assessment
	<b>OCT</b>	Update Meeting with Stakeholders – Community Services
	<b>NOV</b>	Draft Request for Proposals for Site Development
	<b>DEC</b>	
<b>2011</b>	<b>JAN</b>	Update Meeting with Stakeholders – Development Process
	<b>FEB</b>	Issue Request for Proposals
	<b>MAR</b>	
	<b>APR</b>	
	<b>MAY</b>	Submission of Responses to Request for Proposals
	<b>JUN</b>	Update Meeting with Stakeholders
	<b>JUL</b>	
	<b>AUG</b>	
	<b>SEP</b>	Selection of Development Team
	<b>OCT</b>	Update Meeting with Stakeholders – Introduction of Development Team
	<b>NOV</b>	Start Pre-Development Process
	<b>DEC</b>	
<b>2012</b>	<b>*</b>	Regular Update Meetings with Stakeholders (scheduled as needed)
	<b>OCT</b>	Project Closing and Start Construction

**U.S. Department of Housing and Urban Development (HUD)** provided guidance and support for the community planning workshop.

**New York City Department of Housing Preservation and Development**

**New York City Department of City Planning**

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**SPECIAL THANKS**

**Re-Vision Prospect Plaza** was a successful event due to the commitment, collaboration and ideas of former Prospect Plaza residents, neighborhood residents, local leaders, and representatives from the offices of elected officials.

**According to an anonymous exit questionnaire taken at the workshop, over 94 percent of participants agreed that they were able to express their ideas, that those ideas had been recorded appropriately, and that the process had been fair to each participant.**

# **EXHIBIT C: GREEN COMMUNITIES CRITERIA**



M = MANDATORY  
# = AVAILABLE OPTIONAL POINTS

## 2011 Enterprise Green Communities Criteria Checklist

This checklist provides an overview of the technical requirements within the Enterprise Green Communities Criteria. **To achieve Enterprise Green Communities Certification, all projects must achieve compliance with the Criteria mandatory measures applicable to that construction type. Additionally, New Construction projects must achieve 35 optional points, Substantial Rehab projects must achieve 30 optional points, and Moderate Rehab projects must also achieve 30 optional points.**

### 1: INTEGRATIVE DESIGN

YES  NO  MAYBE

M

#### 1.1a Green Development Plan: Integrative Design Meeting(s)

Conduct one or more integrative design meetings and submit a Green Development Plan or equivalent documentation.

YES  NO  MAYBE

M

#### 1.1b Green Development Plan: Criteria Documentation

Create design and construction documentation to include information on implementation of appropriate Enterprise Green Communities Criteria.

YES  NO  MAYBE

2

#### 1.2a Universal Design *(New Construction only)*

Design a minimum of 15% of the dwelling units (no fewer than one) in accordance with ICC/ANSI A117.1, Type A, Fully Accessible guidelines.

YES  NO  MAYBE

2 or 3

#### 1.2b Universal Design *(Substantial and Moderate Rehab only)*

Design a minimum of 10% of the dwelling units (no fewer than one) in accordance with ICC/ANSI A117.1, Type A, Fully Accessible guidelines [2 points] and, for an additional point, the remainder of the ground-floor units and elevator-reachable units should have accessible unit entrances.

SUBTOTAL OPTIONAL POINTS

### 2: LOCATION + NEIGHBORHOOD FABRIC

YES  NO  MAYBE

M

#### 2.1 Sensitive Site Protection *(New Construction only)*

Do not locate new development, including buildings, built structures, roads, or other parking areas, on portions of sites that meet any of the following provisions:

- Land within 100 feet of wetlands, including isolated wetlands or streams
- Land on slope greater than 15%
- Land with prime soils, unique soils, or soils of state significance
- Public parkland
- Land that is specifically identified as habitat for any species on federal or state threatened or endangered lists
- Land with elevation at or below the 100-year floodplain

YES  NO  MAYBE

M

#### 2.2 Connections to Existing Development and Infrastructure *(New Construction only, except for projects located on rural tribal lands, in colonias communities, or in communities of population less than 10,000)*

Locate project on a site with access to existing roads, water, sewers, and other infrastructure within or contiguous to existing development. Connect the project to the pedestrian grid.



M = MANDATORY  
# = AVAILABLE OPTIONAL POINTS

**LOCATION + NEIGHBORHOOD FABRIC (CONTINUED)**

YES  NO  MAYBE

M

**2.3 Compact Development** *(New Construction only)*

Design and build the project to a density of at least:

- *Urban/Small Cities:* 10 dwelling units per acre, or at least 75% of surrounding net residential density, whichever is greater
- *Suburban/Mid-Size Towns:* 7 dwelling units per acre, or at least 75% of surrounding net residential density, whichever is greater
- *Rural/Tribal/Small Towns:* 5 units per acre for detached or semi-detached housing; 10 units per acre for townhomes; 15 units per acre for apartments

YES  NO  MAYBE

5 or 6

**2.4 Compact Development**

Design and build the project to a density of at least:

- *Urban/Small Cities:* 15 dwelling units per acre, or at least 75% of surrounding net residential density, whichever is greater [5 points]
- *Suburban/Mid-Size Towns:* 10 dwelling units per acre, or at least 75% of surrounding net residential density, whichever is greater [6 points]
- *Rural/Tribal/Small Towns:* 7.5 units per acre for detached or semi-detached housing; 12 units per acre for townhomes; 20 units per acre for apartments [6 points]

YES  NO  MAYBE

M

**2.5 Proximity to Services** *(New Construction only)*

Locate the project within:

- *Urban/Small Cities:* a 0.25-mile walk distance of at least two **OR** a 0.5-mile walk distance of at least four of the list of facilities
- *Suburban/Mid-Size Towns:* a 0.5-mile walk distance of at least three **OR** a 1-mile walk distance of at least six of the list of facilities
- *Rural/Tribal/Small Towns:* two miles of at least two of the list of facilities

YES  NO  MAYBE

M

**2.6 Preservation of and Access to Open Space: Rural/Tribal/Small Towns Only**

*(New Construction only)*

Set aside a minimum of 10% of the total project acreage as open space for use by residents **OR** locate project within a 0.25-mile walk distance of dedicated public open space that is a minimum of 0.75 acres

YES  NO  MAYBE

3  
max

**2.7 Preservation of and Access to Open Space**

Set aside a percentage of the total project acreage as open space for use by residents: 20% [1 point]; 30% [2 points]; and 40% + written statement of preservation/conservation policy for set-aside land [3 points]

YES  NO  MAYBE

5

**2.8 Access to Public Transportation**

Locate the project within:

- *Urban/Small Cities:* a 0.5-mile walk distance of combined transit services (bus, rail, and ferry) constituting 76 or more transit rides per weekday and 32 or more transit rides on the weekend
- *Suburban/Mid-Size Towns:* a 0.5-mile walk distance of combined transit services (bus, rail, and ferry) constituting 60 or more transit rides per weekday and some type of weekend ride option
- *Rural/Tribal/Small Towns:* 5-mile distance of either a vehicle share program, a dial-a-ride program, an employer van pool, or public-private regional transportation

YES  NO  MAYBE

5

**2.9 Walkable Neighborhoods: Connections to Surrounding Neighborhood—Rural/Tribal/Small Towns**

Connect the project to public spaces, open spaces, and adjacent development by providing at least three separate connections from the project to sidewalks or pathways in surrounding neighborhoods and natural areas.



M = MANDATORY  
# = AVAILABLE OPTIONAL POINTS

**LOCATION + NEIGHBORHOOD FABRIC (CONTINUED)**

YES  NO  MAYBE

**7**  
**max**

**2.10 Smart Site Location: Passive Solar Heating/Cooling**

Demonstrate a building with a passive solar design, orientation, and shading that meet specified guidelines. *Select one:*

- Single building—New Construction [7 points]
- Multiple buildings—New Construction [7 points]
- Moderate or Substantial Rehab [7 points]

YES  NO  MAYBE

**2**

**2.11 Brownfield or Adaptive Reuse Site**

Locate the project on a brownfield or adaptive reuse site. *Select either:* adaptive reuse site [2 points] or brownfield remediation [2 points]

YES  NO  MAYBE

**6**

**2.12 Access to Fresh, Local Foods**

Pursue one of three options to provide residents and staff with access to fresh, local foods, including neighborhood farms and gardens; community-supported agriculture; proximity to farmers market.

YES  NO  MAYBE

**4**

**2.13 LEED for Neighborhood Development Certification**

Locate the project in a Stage 2 Pre-Certified LEED for Neighborhood Development plan or a Stage 3 LEED for Neighborhood Development Certified Neighborhood Development.

SUBTOTAL OPTIONAL POINTS

**3: SITE IMPROVEMENTS**

YES  NO  MAYBE

**M**

**3.1 Environmental Remediation**

Conduct an environmental site assessment to determine whether any hazardous materials are present on site.

YES  NO  MAYBE

**M**

**3.2 Erosion and Sedimentation Control** *(Except for infill sites with buildable area smaller than one acre)*

Implement EPA's Best Management Practices for erosion and sedimentation control during construction.

YES  NO  MAYBE

**M**

**3.3 Low-Impact Development** *(New Construction only)*

Projects located on greenfields must meet the list of low-impact development criteria.

YES  NO  MAYBE

**M**

**3.4 Landscaping**

Provide new plants (including trees, shrubs, and ground cover) such that at least 50% of area available for landscaping is planted with native or adaptive species, all new plants are appropriate to the site's soil and microclimate, and none of the new plants is an invasive species.

YES  NO  MAYBE

**M**

**3.5 Efficient Irrigation and Water Reuse**

If irrigation is utilized, install an efficient irrigation or water reuse system.

YES  NO  MAYBE

**2 or 6**

**3.6 Surface Stormwater Management**

Retain, infiltrate, and/or harvest stormwater on site. *Select only one:* partial stormwater retention [2 points] or full stormwater retention [6 points]

SUBTOTAL OPTIONAL POINTS



M = MANDATORY  
# = AVAILABLE OPTIONAL POINTS

**4: WATER CONSERVATION**

YES  NO  MAYBE

M

**4.1 Water-Conserving Fixtures**

Install or retrofit water-conserving fixtures in all units and any common facilities with the following specifications: Toilets—1.28 gpf; Urinals—0.5 gpf; Showerheads—2.0 gpm; Kitchen faucets—2.0 gpm; Bathroom faucets—1.5 gpm

YES  NO  MAYBE

6  
max

**4.2 Advanced Water-Conserving Appliances and Fixtures**

Install or retrofit water-conserving fixtures in all units and any common facilities with the following specifications: Toilets—1.2 gpf; Showerheads—1.5 gpm; Kitchen faucets—1.5 gpm; Bathroom faucets—0.5 gpm. *Select any, or all, of the options:*

- Toilets [2 points]
- Showerheads [2 points]
- Faucets—kitchen and bathroom [2 points]

YES  NO  MAYBE

4  
max

**4.3 Water Reuse**

Harvest, treat, and reuse rainwater and/or greywater to meet a portion of the project's water needs.

- 10% reuse [1 point]
- 20% reuse [2 points]
- 30% reuse [3 points]
- 40% reuse [4 points]

SUBTOTAL OPTIONAL POINTS

**5: ENERGY EFFICIENCY**

YES  NO  MAYBE

M

**5.1a Building Performance Standard: Single family and Multifamily (three stories or fewer)**  
*(New Construction only)*

Certify the project under ENERGY STAR New Homes.

YES  NO  MAYBE

M

**5.1b Building Performance Standard: Multifamily (four stories or more)**  
*(New Construction only)*

Demonstrate compliance with EPA's Multifamily High-Rise program (MFHR) using either the prescriptive or the performance pathway.

YES  NO  MAYBE

M

**5.1c Building Performance Standard: Single family and Multifamily (three stories or fewer)**  
*(Substantial and Moderate Rehab only)*

Demonstrate that the final energy performance of the building is equivalent to a Home Energy Rating System (HERS) Index of 85.

YES  NO  MAYBE

M

**5.1d Building Performance Standard: Multifamily (four stories or more)**  
*(Substantial and Moderate Rehab only)*

Demonstrate that the final energy performance of the building is equivalent to ASHRAE 90.1-2007.

YES  NO  MAYBE

15  
max

**5.2 Additional Reductions in Energy Use**

Improve whole-building energy performance by percentage increment above baseline building performance standard for additional points.

YES  NO  MAYBE

M

**5.3 Sizing of Heating and Cooling Equipment**

Size heating and cooling equipment in accordance with the Air Conditioning Contractors of America (ACCA) Manuals, Parts J and S, or ASHRAE handbooks.

YES  NO  MAYBE

M

**5.4 ENERGY STAR Appliances**

If providing appliances, install ENERGY STAR-labeled clothes washers, dishwashers, and refrigerators.



M = MANDATORY  
# = AVAILABLE OPTIONAL POINTS

**ENERGY EFFICIENCY (CONTINUED)**

<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	<p>M</p>	<p><b>5.5a Efficient Lighting: Interior Units</b> Follow the guidance appropriate for the project type: install the ENERGY STAR Advanced Lighting Package (ALP); <i>OR</i> follow the ENERGY STAR MFHR program guidelines, which require that 80% of installed lighting fixtures within units must be ENERGY STAR–qualified or have ENERGY STAR–qualified lamps installed; <i>OR</i> if replacing, new fixtures and ceiling fans must meet or exceed ENERGY STAR efficiency levels.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	<p>M</p>	<p><b>5.5b Efficient Lighting: Common Areas and Emergency Lighting</b> Follow the guidance appropriate for the project type: use ENERGY STAR–labeled fixtures or any equivalent high-performance lighting fixtures and bulbs in all common areas; <i>OR</i> if replacing, new common space and emergency lighting fixtures must meet or exceed ENERGY STAR efficiency levels. For emergency lighting, if installing new or replacing, all exit signs shall meet or exceed LED efficiency levels and conform to local building codes.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	<p>M</p>	<p><b>5.5c Efficient Lighting: Exterior</b> Follow the guidance appropriate for the project type: install ENERGY STAR–qualified fixtures or LEDs with a minimum efficacy of 45 lumens/ watt; <i>OR</i> follow the ENERGY STAR MFHR program guidelines, which require that 80% of outdoor lighting fixtures must be ENERGY STAR–qualified or have ENERGY STAR-qualified lamps installed; <i>OR</i> if replacing, install ENERGY STAR compact fluorescents or LEDs with a minimum efficacy of 45 lumens/ watt.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	<p>M</p>	<p><b>5.6a Electricity Meter</b> <i>(New Construction and Substantial Rehab only)</i> Install individual or sub-metered electric meters in all dwelling units.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	<p>3</p>	<p><b>5.6b Electricity Meter</b> <i>(Moderate Rehab only)</i> Install individual or sub-metered electric meters in all dwelling units.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	<p>12 max</p>	<p><b>5.7a Renewable Energy</b> Install photovoltaic (PV) panels, wind turbines, or other electric-generating renewable energy source to provide a specified percentage of the project’s estimated energy demand.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	<p>1 or 2</p>	<p><b>5.7b Photovoltaic/Solar Hot Water Ready</b> Site, design, engineer, and/or plumb the development to accommodate installation of photovoltaic (PV) or solar hot water system in the future.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	<p>5</p>	<p><b>5.8 Advanced Metering Infrastructure</b> Site, design, engineer, and wire the development to accommodate installation of smart meters and/or be able to interface with smart grid systems in the future.</p>
<p>SUBTOTAL OPTIONAL POINTS</p>		

**6: MATERIALS BENEFICIAL TO THE ENVIRONMENT**

<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	<p>M</p>	<p><b>6.1 Low/No VOC Paints and Primers</b> All interior paints and primers must be less than or equal to the following VOC levels: Flats—50 g/L; Non-flats—50 g/L; Floor—100 g/L</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	<p>M</p>	<p><b>6.2 Low/No VOC Adhesives and Sealants</b> All adhesives must comply with Rule 1168 of the South Coast Air Quality Management District. All caulks and sealants must comply with regulation 8, rule 51, of the Bay Area Air Quality Management District.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	<p>M</p>	<p><b>6.3 Construction Waste Management</b> Commit to following a waste management plan that reduces non-hazardous construction and demolition waste by at least 25% by weight through recycling, salvaging, or diversion strategies.</p>



M = MANDATORY  
# = AVAILABLE OPTIONAL POINTS

**MATERIALS BENEFICIAL TO THE ENVIRONMENT (CONTINUED)**

YES  NO  MAYBE

**5**  
**max**

**6.4 Construction Waste Management: Optional**

Determine percentage of waste diversion and earn all points below that threshold:

- 35% waste diversion [1 point]
- 45% waste diversion [1 point]
- 55% waste diversion [1 point]
- 65% waste diversion [1 point]
- 75% waste diversion [1 point]

YES  NO  MAYBE

**5**

**6.5 Recycling Storage for Multifamily Project**

Provide one or more easily accessible, permanent areas for the collection and storage of materials for recycling.

YES  NO  MAYBE

**5**  
**max**

**6.6 Recycled Content Material**

Incorporate building materials that are composed of at least 25% post-consumer recycled content or at least 50% post-industrial recycled content. *Select from the following:*

- Framing materials [1 point]
- Exterior materials: siding, masonry, roofing [1 point]
- Concrete/cement and aggregate [1 point]
- Drywall/interior sheathing [1 point]
- Flooring materials [1 point]

YES  NO  MAYBE

**5**  
**max**

**6.7 Regional Material Selection**

Use products that were extracted, processed, and manufactured within 500 miles of the home or building for a minimum of 50% of the building material value (based on cost). *Select any or all of these options:*

- Framing materials [1 point]
- Exterior materials: siding, masonry, roofing [1 point]
- Concrete/cement and aggregate [1 point]
- Drywall/interior sheathing [1 point]
- Flooring materials [1 point]

YES  NO  MAYBE

**5**

**6.8 Certified, Salvaged, and Engineered Wood Products**

Commit to using wood products and materials of at least 25% that are (by cost): FSC-certified, salvaged products, or engineered framing materials without urea-formaldehyde binders.

YES  NO  MAYBE

**1 or 3**

**6.9a Reduced Heat-Island Effect: Roofing**

Use Energy Star-compliant roofing or install a “green” (vegetated) roof for at least 50% of the roof area. *Select only one: cool roof [3 points] or green roof [1 point]*

YES  NO  MAYBE

**2**

**6.9b Reduced Heat-Island Effect: Paving**

Use light-colored, high-albedo materials and/or an open-grid pavement, with a minimum solar reflectance of 0.3, over at least 50% of the site’s hardscaped area.

SUBTOTAL OPTIONAL POINTS

**7: HEALTHY LIVING ENVIRONMENT**

YES  NO  MAYBE

**M**

**7.1 Composite Wood Products that Emit Low/No Formaldehyde**

All composite wood products must be certified compliant with California 93120. If using a composite wood product that does not comply with California 93120, all exposed edges and sides must be sealed with low-VOC sealants.



M = MANDATORY  
# = AVAILABLE OPTIONAL POINTS

**HEALTHY LIVING ENVIRONMENT (CONTINUED)**

<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<p><b>7.2 Environmentally Preferable Flooring</b> Do not install carpets in entryways, laundry rooms, bathrooms, kitchens / kitchenettes, utility rooms, and all rooms of ground-connected floors. Any carpet products used must meet the Carpet and Rug Institute’s Green Label or Green Label Plus certification for carpet, pad, and carpet adhesives. Any hard surface flooring products used must be either ceramic tile, unfinished hardwood floors, <b>OR</b> in compliance with the Scientific Certification System’s FloorScore program criteria.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	4	<p><b>7.3 Environmentally Preferable Flooring: Alternative Sources</b> Use non-vinyl, non-carpet floor coverings in all rooms of building.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<p><b>7.4a Exhaust Fans: Bathroom</b> <i>(New Construction and Substantial Rehab only)</i> Install Energy Star–labeled bathroom fans that exhaust to the outdoors, are connected to a light switch, and are equipped with a humidistat sensor, timer, or other control (e.g., occupancy sensor, delay off switch, ventilation controller).</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	6	<p><b>7.4b Exhaust Fans: Bathroom</b> <i>(Moderate Rehab only)</i> Install Energy Star–labeled bathroom fans that exhaust to the outdoors, are connected to a light switch, and are equipped with a humidistat sensor, timer, or other control (e.g., occupancy sensor, delay off switch, ventilation controller).</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<p><b>7.5a Exhaust Fans: Kitchen</b> <i>(New Construction and Substantial Rehab only)</i> Install power-vented fans or range hoods that exhaust to the exterior at the appropriate cfm rate, per ASHRAE 62.2, or install a central ventilation system with rooftop fans that meet efficiency criteria.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	6	<p><b>7.5b Exhaust Fans: Kitchen</b> <i>(Moderate Rehab only)</i> Install power-vented fans or range hoods that exhaust to the exterior at the appropriate cfm rate, per ASHRAE 62.2, or install a central ventilation system with rooftop fans that meet efficiency criteria.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<p><b>7.6a Ventilation</b> <i>(New Construction and Substantial Rehab only)</i> Install a ventilation system for the dwelling unit capable of providing adequate fresh air per ASHRAE requirements for the building type.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	5	<p><b>7.6b Ventilation</b> <i>(Moderate Rehab only)</i> Install a ventilation system for the dwelling unit capable of providing adequate fresh air per ASHRAE requirements for the building type.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<p><b>7.7 Clothes Dryer Exhaust</b> Clothes dryers must be exhausted directly to the outdoors using rigid-type duct work.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<p><b>7.8 Combustion Equipment</b> Specify power-vented or closed-combustion equipment when installing new space and water-heating equipment in New Construction and any Substantial and Moderate Rehab projects.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<p><b>7.9a Mold Prevention: Water Heaters</b> Provide adequate drainage for water heaters that includes drains or catch pans with drains piped to the exterior of the dwelling.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<p><b>7.9b Mold Prevention: Surfaces</b> In bathrooms, kitchens, and laundry rooms, use materials that have durable, cleanable surfaces.</p>
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<p><b>7.9c Mold Prevention: Tub and Shower Enclosures</b> Use non–paper-faced backing materials such as cement board, fiber cement board, or equivalent in bathrooms.</p>



M = MANDATORY  
# = AVAILABLE OPTIONAL POINTS

**HEALTHY LIVING ENVIRONMENT (CONTINUED)**

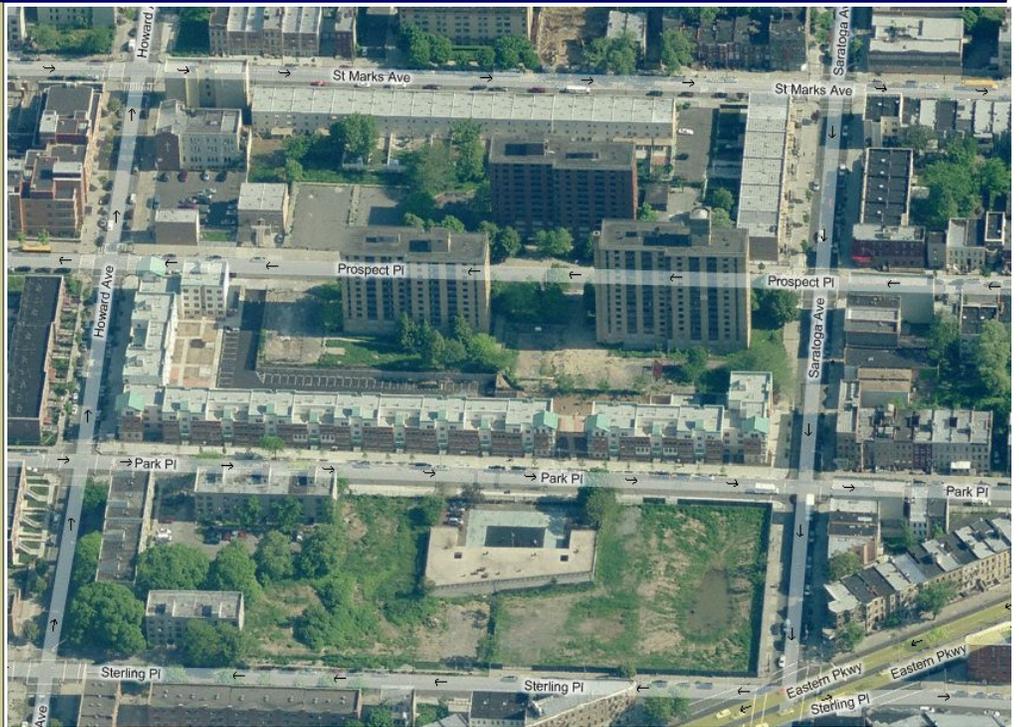
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<b>7.10 Vapor Barrier Strategies</b> <i>(New Construction and Rehab Projects with foundation work only)</i> Install vapor barriers that meet specified criteria appropriate for the foundation type.
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<b>7.11 Radon Mitigation</b> <i>(New Construction and Substantial Rehab only)</i> For New Construction in EPA Zone 1 and 2 areas, install passive radon-resistant features below the slab. For Substantial Rehab projects in those Zones, test for the presence of radon and mitigate if elevated levels exist.
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<b>7.12 Water Drainage</b> <i>(New Construction and Rehab projects replacing assemblies called out in Criterion only)</i> Provide drainage of water away from windows, walls, and foundations by implementing list of techniques.
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<b>7.13 Garage Isolation</b> Follow list of criteria for projects with garages, including: provide a continuous air barrier between the conditioned (living) space and any garage space to prevent the migration of any contaminants into the living space, and install a CO alarm inside the house in the room with a door to the garage and outside all sleeping areas.
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<b>7.14 Integrated Pest Management</b> Seal all wall, floor, and joint penetrations with low-VOC caulking or other appropriate sealing methods to prevent pest entry.
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<b>7.15 Lead-Safe Work Practices</b> <i>(Substantial and Moderate Rehab only)</i> For properties built before 1978, use lead-safe work practices consistent with the EPA's Renovation, Repair, and Painting Regulation and applicable HUD requirements.
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	9	<b>7.16 Smoke-Free Building</b> Implement and enforce a no smoking policy in all common, individual living areas, and with a 25-foot perimeter around the exterior of all residential buildings.
		SUBTOTAL OPTIONAL POINTS

**8: OPERATIONS + MAINTENANCE**

<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<b>8.1 Building Maintenance Manual</b> <i>(All Multifamily Projects)</i> Provide a building maintenance manual that addresses maintenance schedules and other specific instructions related to the building's green features.
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<b>8.2 Resident Manual</b> Provide a guide for homeowners and renters that explains the intent, benefits, use, and maintenance of green building features.
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	M	<b>8.3 Resident and Property Manager Orientation</b> Provide a comprehensive walk-through and orientation for residents and property managers using the appropriate building maintenance or resident's manual.
<input type="radio"/> YES <input type="radio"/> NO <input type="radio"/> MAYBE	12	<b>8.4 Project Data Collection and Monitoring System</b> Collect and monitor project performance data on energy, water, and, if possible, healthy living environments for a minimum of five years.
		SUBTOTAL OPTIONAL POINTS
		<b>TOTAL OPTIONAL POINTS</b>

**EXHIBIT D: PHASE I ENVIRONMENTAL  
SITE ASSESSMENT – EXECUTIVE  
SUMMARY**

# NEW YORK CITY HOUSING AUTHORITY



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53543

## PHASE I ENVIRONMENTAL SITE ASSESSMENT PROSPECT PLAZA PARCELS BROOKLYN, NEW YORK

April 2011

**NEW YORK CITY HOUSING AUTHORITY**  
**PHASE I SITE ASSESSMENT**  
**PROSPECT PLAZA**  
**BROOKLYN, NEW YORK**  
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## **EXECUTIVE SUMMARY**

The New York City Housing Authority (NYCHA) retained Gannett Fleming Engineers and Architects, P.C. (GF) to perform a Phase I Environmental Site Assessment (ESA) of four (4) properties in Brooklyn, New York, (the Prospect Plaza Parcels and/or the subject properties). These properties are identified as Parcel A (Block/Lot 1458/52), which is located at 1785 Prospect Place, located on the northern side of Prospect Place; Parcel B (Block/Lot 1463/16 and 1463/41) which consists of two (2) adjacent properties, 1750 and 1776 Prospect Place, on the southern side of Prospect Place; Parcel C (Block/Lot 1467/35), which is located at 1800 Park Place; and Parcel D (Block/Lot 1467/22), which is located along Sterling Avenue, adjacent-west to Parcel C. This site assessment was performed to evaluate environmental conditions on the Prospect Plaza Parcels associated with historical property use and current operations. It is GF's understanding that this information will be used to prepare for demolition and new construction activities.

Pre-inspection activities consisted of an environmental database search and historical document review. On-site activities consisted of a site reconnaissance to assess current conditions, and to visually observe evidence of spills, discharges, or other potential environmental liabilities. Freedom of Information Law (FOIL) requests were made to federal, state, and local regulatory agencies.

The Prospect Plaza Parcels are located in a mixed-use area of Brooklyn, New York. The table below describes the approximate area and current use of each Parcel.

Parcel	Block/Lot	Address	Area (Ft <sup>2</sup> )	Current Use
Parcel A	1458/52	1785 Prospect Place	61,150	Vacant 12-story building with associated yard, parking lot, and shed
Parcel B	1463/16 1463/41	1750 Prospect Place/ 1776 Prospect Place	80,000	Two (2) vacant 12-story buildings with associated yards
Parcel C	1467/35	1800 Park Place	32,000	Vacant Land
Parcel D	1467/22	Howard Avenue	57,475	Vacant Land

The following *environmental conditions* (ECs) were identified during this Phase I ESA:

*Parcel A*

- Historical documentation revealed the presence of a tank room in the basement of the building. It is unclear whether this is referring to fuel oil tanks or to tanks storing an alternate material.
- One (1) one-story three-bay garage was located in the parking lot on the western side of the building which was inaccessible at the time of the site reconnaissance.
- Historical documentation and site interviews revealed the presence of one (1) hydraulic elevator in the building. Potential soil impacts may exist if hydraulic oil leaked into the subsurface beneath the elevators' shafts.
- This area has been redeveloped in the past and fill material may have been used at the property during this redevelopment.

*Parcel B*

- Historical documentation revealed that during the removal of two (2) USTs and associated petroleum impacted soil at 1766 Prospect Place, petroleum impacted soil remained in place adjacent to the supply, return, and vent lines. These pipes are adjacent to the building and it was determined that excavation in this area could compromise the building's structure.

- This area has been redeveloped in the past and fill material may have been used at the property during this redevelopment. Additionally, past investigations surrounding the underground storage tanks have identified fill to approximately 20 feet below ground surface.
- Prospect Plaza Parcel B, listed as NYCHA – Prospect Plaza located at 1750 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
  - The current generator type for the property is not listed; however, the property was formerly listed as a small quantity generator (SQG). In 1998, the property generated 55 gallons of 2,4-D salts & esters which is a main component of an herbicide.

This material may have been used at all four (4) Prospect Plaza Parcels and stored at the main building located on Parcel B.

- Prospect Plaza Parcel B, listed as NYCHA – Prospect Plaza located at 1776 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
  - The current generator type for the property is not listed; however, the property was formerly listed as an SQG. The property was reported by the United States Environmental Protection Agency (US EPA); no hazardous waste activity was reported by New York State.
- Prospect Plaza Parcel B, listed as NYCHA – Prospect Plaza houses located at 1786 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
  - The current generator type for the property is not listed; however, the property was formerly listed as an SQG. The property was reported by the United States Environmental Protection Agency (US EPA); no hazardous waste activity was reported by New York State.
- Prospect Plaza Parcel B, listed as “NYCDEP” located at 1786 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
  - The property generated 30 gallons of benzene in 1997.
- Historical documentation and site interviews revealed the presence of one (1) hydraulic elevator in each of the two (2) buildings. Potential soil impacts may exist if hydraulic oil leaked into the subsurface beneath the elevators’ shafts.

*Parcel C*

- Parcel C contained a mound of construction debris on the southwestern section of the property.
- This area has been redeveloped in the past and fill material may have been used at the property during this redevelopment.

*Parcel D*

- Parcel D contained a large mound of debris which included but was not limited to brick, concrete, wood, metal, and soil. This indicated the possibility for unknown materials to be buried beneath the mound at the property.
- This area has been redeveloped in the past and fill material may have been used at the property during this redevelopment.

The following *de minimus* condition was identified during this modified Phase I ESA:

- A former drycleaner was revealed to exist to the east of Prospect Plaza Parcel B across Saratoga Avenue.

Although not within the scope of the requirements for this Phase I ESA and not considered environmental concerns according to ASTM guidelines, the following items have been noted:

- Mold was observed on the ceiling of the ground floor units in all three (3) buildings on the Prospect Plaza Parcels and in the basement of the building at Prospect Plaza Parcel A.
- The majority of the interior walls and ceilings of all three (3) buildings on the Prospect Plaza Parcels have painted surfaces which are becoming detached and reveal evidence of additional layers of paint. Due to the date the buildings were constructed, it is suspected that this paint contains lead.
- The majority of the floor surfaces and ceilings in all three (3) buildings on the Prospect Plaza Parcels are composed of suspect Asbestos Containing Materials (ACM).

GF recommends the following:

*Parcel A*

- Access to the basement in the building should be gained in order to determine whether the tank room contains evidence of a current or former fuel oil storage tank.
- Access to the one-story three-bay garage located in the parking lot on the eastern side of the building should be gained in order to determine past use of the garage and assess current conditions. GF recommends soil sampling beneath the slab of the garage to assess potential soil impacts.
- Prior to the demolition of the building, an inspection of the building elevator should be performed to determine the presence of hydraulic oil. Hydraulic oil and all hydraulic equipment should be removed and properly disposed prior to or during demolition activities.
- Soil borings should be advanced at select locations on the property in order to determine if the former use of an herbicide or benzene at the property has impacted subsurface soil.
- Soil borings to should be advanced determine the extent of the fill and soil analytical sampling should be performed to determine if the fill is impacted by any constituents of concern related to urban fill.
- Prior to the demolition of the building, suspect lead-based paint should be tested and if found to contain lead, removed and disposed of in accordance with State and Federal regulations.
- Prior to the demolition of the building, suspect ACM should be tested and if found to contain asbestos, removed and disposed in accordance with State and Federal regulations.

*Parcel B*

- During demolition and construction activities in the area of the former tanks and associated piping, caution should be used to avoid contact with remaining petroleum impacted soils. After demolition of the building, impacted soil should be excavated and disposed in accordance with State and Federal regulations.
- Further research should be conducted into the listing of Prospect Plaza Parcel B on the Hazardous Waste Generators/Transporters list.

- Soil borings should be advanced at select locations on the property in order to determine if the former use of an herbicide and/or benzene at the property has impacted subsurface soil.
- Soil borings should be advanced to determine the extent of the fill and soil analytical sampling should be performed to determine if the fill is impacted by any constituents of concern related to urban fill.
- Prior to the demolition of the building, suspect lead-based paint should be tested and if found to contain lead, removed and disposed of in accordance with State and Federal regulations.
- Prior to the demolition of the building, suspect ACM should be tested and if found to contain asbestos, removed and disposed in accordance with State and Federal regulations.

#### *Parcel C*

- Soil borings should be advanced in the vicinity of the construction debris pile in order to determine if subsurface soils have been impacted by materials possibly buried beneath this pile.
- Soil borings should be advanced at select locations on the property in order to determine if the former use of an herbicide or benzene at the property has impacted subsurface soil.
- Soil borings should be advanced to determine the extent of the fill and soil analytical sampling should be performed to determine if the fill is impacted by any constituents of concern related to urban fill.

#### *Parcel D*

- Soil borings should be advanced in the debris pile on the property in order to determine if this material contains impacted soils, to delineate on-site fill material, and to aid in disposal activities which may occur during future construction activities at the property.
- Soil borings should be advanced at select locations on the property in order to determine if the former use of an herbicide or benzene at the property has impacted subsurface soil.
- Soil borings should be advanced to determine the extent of the fill and soil analytical sampling should be performed to determine if the fill is impacted by any constituents of concern related to urban fill.

## **1.0 INTRODUCTION**

### **1.1 Purpose**

On February 24, 2011, the New York City Housing Authority (NYCHA) retained Gannett Fleming Engineers and Architects, P.C. (GF) to perform a Phase I Environmental Site Assessment (ESA) of four (4) properties in Brooklyn, New York (the Prospect Plaza Parcels and/or the subject properties). This Phase I ESA was conducted to identify environmental conditions (ECs) indicative of releases and threatened releases of hazardous substances on, at, in, or to the Prospect Plaza Parcels, and included a review of environmental files for the subject properties and surrounding area and a computer database search of environmental regulatory agency files. The site reconnaissance was performed by Jessica Ferngren and Megan Borruso of GF's Woodbury, New York office on March 1, 2011.

A site location map is provided as Figure 1.

Pre-inspection activities consisted of an environmental database search and historical document review. On-site activities consisted of a site reconnaissance to assess current conditions, and to visually observe evidence of spills, discharges, or other potential environmental liabilities. Freedom of Information Law (FOIL) requests were made to federal, state, and local regulatory agencies. FOIL request letters are included in Appendix A.

The Prospect Plaza Parcels are located in a mixed-use area of Brooklyn, New York. The table below describes the approximate area and current use of each Parcel.

Parcel	Block/Lot	Address	Area (Ft <sup>2</sup> )	Current Use
Parcel A	1458/52	1785 Prospect Place	61,150	Vacant 12-story building with associated yard, parking lot, and shed
Parcel B	1463/16 1463/41	1750 Prospect Place/ 1776 Prospect Place	80,000	Two (2) vacant 12-story buildings with associated yards
Parcel C	1467/35	1800 Park Place	32,000	Vacant Land
Parcel D	1467/22	Howard Avenue	57,475	Vacant Land

## **1.2 Detailed Scope of Services**

This ESA was conducted in general accordance with the American Standard for Testing & Materials (ASTM) guidance document, *Standard Practice Guidelines for Environmental Site Assessments: Phase I Environmental Site Assessment Process* (E 1527-05). This Phase I ESA was performed by environmental professionals as defined in ASTM E 1527-05. GF performed this assessment in a professional manner using standard practices of the environmental consulting industry. The qualifications for the GF personnel are in Appendix B.

The scope of work completed for this Phase I ESA included a reconnaissance of the subject property, a reconnaissance of the subject property's adjoining properties and/or public rights-of-way and review of reasonably obtainable agency records, database information, aerial photographs and historical information.

## **1.3 Limitations and Exceptions to the Assessment**

This Phase I ESA report is based partially on information obtained from others and GF cannot represent or warrant the accuracy or completeness of this information in describing site operations or environmental conditions. Some of the information presented in this report may be subject to interpretation and differing conclusions are possible. The information contained in

this report was developed from information available at the time of report preparation. GF does not assume liability for financial or other losses, or subsequent damage caused by or related to any use of this document.

GF also visually inspected properties in the immediate vicinity of the subject property. This reconnaissance was performed to observe land use and operations at adjacent properties and to note obvious environmental conditions such as abandoned drums, stained surface soils, underground and aboveground storage tanks and filled areas. Portions of adjacent properties may not have been visible from GF's observation point on the subject property and/or public rights-of-way.

The following items are considered non-scope considerations and were not included in the scope of work for this Phase I ESA:

- Wetlands delineation;
- Regulatory compliance auditing;
- Cultural and historic resource evaluation;
- Industrial hygiene;
- Health and safety;
- Ecological resource evaluation;
- Endangered species surveys;
- Indoor air quality surveys; and
- High voltage power lines.

While the following items are also non-scope considerations under ASTM E 1527-05, GF included sections related to the following:

- Asbestos-containing material (ACM);
- Radon;
- Mold;
- Lead-based paint (LBP); and
- Lead-in-drinking water.

No samples of any media were collected for laboratory analysis.

#### **1.4 User Reliance**

This assessment report is based partially on information, documents and data obtained from others and Gannett Fleming makes no representation or warranty concerning the accuracy or completeness of this information in describing historical or current site operations or environmental conditions. Some of the information presented in this report may be subject to varying interpretations and conclusions. The information contained in this report was developed from information available at the time of report preparation. Gannett Fleming shall not be liable for financial or other losses or subsequent damage caused by or related to any use of this document.

This report was prepared for the sole use of the New York City Housing Authority. Any other distribution or use or reliance by any third-party is at that party's own risk without recourse to Gannett Fleming.

## **2.0 ASSESSMENT FINDINGS**

### **2.1 Property Location**

The Prospect Plaza Parcels are located in, Brooklyn, Kings County, New York. Parcel A is located approximately at latitude 40° 42' 21.97" North and longitude 73° 55' 03.93" West; Parcel B is located approximately at latitude 40° 40' 20.07" North and longitude 73° 55' 04.39" West; Parcel C is located approximately at latitude 40° 40' 16.18" North and longitude 73° 55' 02.98" West; and Parcel D is located approximately at latitude 40° 40' 16.48" North and longitude 73° 55' 06.77" West. A site location map is presented as Figure 1.

### **2.2 Property Setting and Adjacent Properties**

The Prospect Plaza Parcels are located in a mixed-use area of Brooklyn, New York. More specific information relative to the surrounding properties is as follows:

#### *Parcel A*

**North:** Parcel A is bordered to the north by residential buildings which front Saint Marks Avenue.

**East:** Parcel A is bordered to the east by residential buildings which front Saratoga Avenue.

**South:** Parcel A is bordered to the south by Prospect Place, across which is Parcel B.

**West:** Parcel A is bordered to the west by residential buildings.

*Parcel B*

**North:** Parcel B is bordered to the north by Prospect Place, across which is Parcel A.

**East:** Parcel B is bordered to the east by Saratoga Avenue, across which are several small commercial businesses.

**South:** Parcel B is bordered to the south by newly constructed low- to moderate-income housing units which front Park Place.

**West:** Parcel B is bordered to the west by a driveway for the low- to moderate-income housing units which front Howard Avenue.

*Parcel C*

**North:** Parcel C is bordered to the north by Park Place, across which are newly constructed low- to moderate-income housing units which front Park Place.

**East:** Parcel C is bordered to the east by Saratoga Avenue, across which are several small commercial businesses.

**South:** Parcel C is bordered to the south by Sterling Place, across which are two residential buildings.

**West:** Parcel C is bordered to the west by Parcel D and Public School 178 with associated parking lot which fronts Park Place.

*Parcel D*

**North:** Parcel D is bordered to the north by Park Place, across which are newly constructed low- to moderate-income housing units which front Park Place.

**East:** Parcel D is bordered to the east by Parcel C and Public School 178 with associated parking lot which fronts Park Place.

**South:** Parcel D is bordered to the south Sterling Place, across which are row houses and a residential building.

**West:** Parcel D is bordered to the west by a residential building with associated yard which fronts Sterling Place.

### **2.3 Physical Site Setting**

A property's physical setting critically influences its potential to be impacted by possible on-site and off-site contaminant sources, and also influences the probable extent and magnitude of the resulting contamination. The geologic setting, hydrogeologic setting, climatic setting and land-use setting are of particular importance in influencing potential site contaminant migration.

The Prospect Plaza Parcels lie between approximately 73 and 90 feet above mean sea level (amsl). Depth to groundwater at the Prospect Plaza Parcels is over 55 feet below grade. The nearest water bodies are the Ridgewood Reservoir, which is located approximately 1.98 miles from Prospect Plaza to the northeast and was closed as a reservoir in 1989, and Fresh Creek, which is located approximately 2.11 miles from Prospect Plaza to the southeast and is an inlet of Jamaica Bay. Groundwater is expected to flow to the southeast of the Prospect Plaza Parcels toward Jamaica Bay.

## **2.4 Background Information**

### **2.4.1 Historical Site Use – Sanborn Maps**

Sanborn® Fire Insurance Map coverage was available from Toxics Targeting, LLC (TTI) for the years 1888, 1907, 1933, 1951, 1965, 1979, and 1990.

Descriptions are as follows:

#### *Parcel A*

**1888** – Parcel A is undeveloped land.

Surrounding properties include three dwellings and numerous vacant lots.

**1908** – Parcel A now contains sixteen (16) dwellings and five (5) three-story buildings with storefronts.

Surrounding properties include dwellings and multiple-story buildings with storefronts.

**1932** – Parcel A now contains a market building with skylights, three (3) one-story storefronts and two (2) storage buildings; twenty-one (21) three-story buildings with storefronts, and one (1) four-story building with a storefront.

Surrounding properties include dwellings and multiple-story buildings with storefronts.

**1951** – No significant changes were observed at Parcel A.

No significant changes to surrounding properties were observed.

**1963** – Three (3) of the three-story buildings with storefronts are listed as vacant on the second and third floors. No other significant changes were observed at Parcel A.

No significant changes to surrounding properties were observed.

**1979** – The majority of the buildings formerly existing on the block where Parcel A is located have been demolished. Parcel A now includes the Model Cities Program Area 110A public housing building which is labeled as a 12-story building and associated yard.

Surrounding properties remaining on the block include a church, an apartment building, and a four-story building with a storefront.

**1988** – No significant changes were observed at Parcel A.

No significant changes were observed on surrounding properties.

#### *Parcel B*

**1888** – Parcel B includes a portion of a rope walk and one (1) dwelling.

Surrounding properties include two (2) dwellings and numerous vacant lots.

**1908** – Parcel B now contains fourteen (14) three-story dwellings, four (4) three-story buildings with storefronts and one (1) four-story building with a storefront.

Surrounding properties include dwellings and storefronts.

**1932** – Parcel B now contains seventeen (17) three-story buildings with storefronts, seven (7) one-story buildings with storefronts, four (4) four-story buildings with two (2) storefronts each, two (2) general storage buildings, one (1) produce storage building, and one (1) five-car private garage.

Surrounding properties include dwellings and multiple-story buildings with storefronts.

**1951** – No significant changes were observed at Parcel B.

No significant changes to surrounding properties were observed.

**1963** – One (1) of the three-story buildings with a storefront is listed as vacant and one (1) of the three-story buildings with storefronts is listed as vacant on the second and third floors.

No other significant changes were observed at Parcel B.

No significant changes to surrounding properties were observed.

**1979** – All of the buildings formerly existing on the block where Parcel B is located have been demolished. Parcel B now includes two (2) Model Cities Program Area 110B public housing buildings which are labeled as a 12-story building and a 15-story building. Both buildings contain an associated yard.

All additional properties on the block have been demolished.

**1988** – No significant changes were observed at Parcel B.

No significant changes were observed on surrounding properties.

#### *Parcel C*

**1888** – Parcel C is undeveloped land.

Surrounding properties include one (1) dwelling and numerous vacant lots.

**1908** – Parcel C now contains three (3) four-story residential buildings, three (3) one-story buildings with storefronts and one (1) four-story building with two (2) storefronts.

Surrounding properties include dwellings and multiple-story buildings with storefronts.

**1932** – Parcel C now contains seven (7) four-story apartment buildings, three (3) four-story apartment buildings with two (2) storefronts each, three (3) four-story buildings with two (2) storefronts each, six (6) one-story buildings with storefronts, one (1) four-story building with a storefront, and one (1) two-story building with a storefront.

Surrounding properties include dwellings and multiple-story buildings with storefronts.

**1951** – Clothing manufacturing businesses now occupy the first level of two (2) of the four-story buildings in the southwest corner of Parcel C. No other significant changes were observed at Parcel C.

No significant changes to surrounding properties were observed.

**1963** – No significant changes were observed at Parcel C.

No significant changes to surrounding properties were observed.

**1979** – All of the buildings formerly existing on Parcel C have been demolished. Parcel C now includes the Model Cities Program Area 167E public housing building which is labeled as a 15-story building with a one-story community center and associated yard.

Surrounding properties now include the Head Start Early Childhood Center, a public park, and the Central Brooklyn Infill Housing Unit No. 1 which includes a four-story, 24-residence building and a four-story 32-residence building.

**1988** – No significant changes were observed at Parcel C.

No significant changes were observed on surrounding properties.

#### *Parcel D*

**1888** – Parcel D includes one dwelling with associated stable.

Surrounding properties include two (2) dwellings and numerous vacant lots.

**1908** – Parcel D now contains two (2) one-story dwellings, one (1) two-story dwelling, a club house, and a chicken coop.

Surrounding properties include dwellings and buildings with storefronts.

**1932** – Parcel D now contains two (2) four-story apartment buildings, one (1) two-story building with a storefront, one (1) one-story building with a storefront, one (1) synagogue, one (1) school, and two (2) sheds.

Surrounding properties include dwellings and multiple-story buildings with storefronts.

**1951** – The two (2) sheds which were formerly located on the eastern section of the property are no longer present. No other significant changes were observed at Parcel D.

No significant changes to surrounding properties were observed.

**1963** – The former synagogue is now listed as a church and the former school is now listed as a dwelling. No other significant changes were observed at Parcel D.

No significant changes were observed on surrounding properties.

**1979** – All of the buildings formerly existing on Parcel D have been demolished. Parcel D is now a public park.

Surrounding properties now include the Head Start Early Childhood Center, the Central Brooklyn Infill Housing Unit No. 1 which includes a four-story, 24-residence building and a four-story 32-residence building, and the Model Cities Program Area 167E public housing building which is labeled as a 15-story building with a one-story community center and associated yard.

**1988** – No significant changes were observed at Parcel D.

No significant changes were observed on surrounding properties.

Sanborn Maps are included in Appendix C.

#### 2.4.2 Historical Site Use – Aerial Photographs

Aerial Photographs were provided by TTI for the years 1955, 1966, 1978, 1984, and 1996.

Descriptions are as follows:

##### *Parcel A*

**1955** – Parcel A is developed with multiple residential buildings with associated yards.

Surrounding properties are developed with residential and commercial buildings.

**1966** – No significant changes were observed at Parcel A.

No significant changes were observed on surrounding properties.

**1978** – Parcel A is now developed with one (1) large residential housing complex with associated parking lots and front and rear yards.

No significant changes were observed on surrounding properties.

**1984** – No significant changes were observed at Parcel A.

No significant changes were observed on surrounding properties.

**1996** – No significant changes were observed at Parcel A.

No significant changes were observed on surrounding properties.

*Parcel B*

**1955** – Parcel B is developed with multiple residential buildings with associated yards.

Surrounding properties are developed with residential and commercial buildings.

**1966** – No significant changes were observed at Parcel B.

No significant changes were observed on surrounding properties.

**1978** – Parcel B is now developed with one (1) large residential housing complex with associated parking lots and front and rear yards.

No significant changes were observed on surrounding properties.

**1984** – No significant changes were observed at Parcel B.

No significant changes were observed on surrounding properties.

**1996** – No significant changes were observed at Parcel B.

No significant changes were observed on surrounding properties.

*Parcel C*

**1955** – Parcel C is developed with multiple residential buildings with associated yards.

Surrounding properties are developed with residential and commercial buildings.

**1966** – Parcel C is developed with multiple residential buildings with associated yards.

No significant changes were observed on surrounding properties.

**1978** – Parcel C is now developed with one (1) large residential housing complex with associated parking lots and front and rear yards.

No significant changes were observed on surrounding properties.

**1984** – No significant changes were observed at Parcel C.

No significant changes were observed on surrounding properties.

**1996** – No significant changes were observed at Parcel C.

No significant changes were observed on surrounding properties.

*Parcel D*

**1955** – Parcel D is developed with buildings and associated yards.

Surrounding properties are developed with residential and commercial buildings.

**1966** – Parcel D is developed with small buildings and contains two (2) large vacant areas.

No significant changes were observed on surrounding properties.

**1978** – Parcel D is now open space; the small buildings which formerly existed on the parcel have been removed.

No significant changes were observed on surrounding properties.

**1984** – Parcel D now contains a small shed or building on the southeastern section of the property.

No significant changes were observed on surrounding properties.

**1996** –The small shed or building is no longer on the southeastern section of Parcel D.

No significant changes were observed on surrounding properties.

Aerial photographs are included in Appendix D.

## **2.5 Regulatory Compliance Review**

### **2.5.1 Federal and State Database Search**

GF reviewed TTI's database search report for the Prospect Plaza Parcels. TTI's report summarizes their computer database search of regulatory agency files for the Prospect Plaza Parcels. The TTI report is presented in Appendix E and includes the following files:

#### **Federal Files**

- National Priority List for Federal Superfund Cleanup
- Delisted National Priority List Sites
- Comprehensive Environmental Response, Compensation, and Liability Information System (CERCLIS) List
- Federal CERCLIS No Further Remedial Action Planned (CERCLIS NFRAP) List
- Resource Conservation and Recovery Act (RCRA) Corrective Action Activity (CORRACTS) List
- Federal Emergency Response Notification System Spills (ERNS) List
- Federal Toxic Release Inventory Facilities
- Federal Permit Compliance System Toxic Wastewater Discharges
- Federal Air Discharges
- Federal Civil and Administrative Enforcement Docket

- Federal Hazardous Waste Treatment, Storage or Disposal Facilities
- Federal Hazardous Waste Generators and Transporters (RCRA HWGT)

#### State Files

- New York State Inactive Hazardous Waste Disposal Site (SHWS) Registry
- New York Inactive Hazardous Waste Disposal Site Registry Qualifying
- New York State Brownfields Cleanup Sites
- New York Solid Waste Facilities Registry
- New York Hazardous Waste Treatment, Storage, or Disposal Facilities
- New York State Major Oil Storage Facilities
- New York State Toxic Spills: Active
- New York State Toxic Spills: Closed
- New York and Local Petroleum Bulk Storage Facilities (PBS)
- New York Hazardous Waste Generators and Transporters
- New York Chemical Bulk Storage Facilities (CBS)
- New York Hazardous Substance Disposal Site Draft Study

#### Local Files

- New York City Environmental Quality Review – Environmental Designation Sites

The Prospect Plaza parcels were listed in the following databases in the TTI database search report:

- Parcel B, listed as NYC Housing Building located at 1776 Prospect Place was on the Closed Status Tank Failures list.
  - On August 6, 2006, a tank at the property failed and spilled an unlisted amount of #4 fuel oil. NYSDEC assigned spill number 0605275 to the property. Frank Inoa, a representative of NYCHA, reported that the spill was in the process of being cleaned up and that a report would be sent to NYSDEC. The spill was closed on September 28, 2006.

- Parcel B, listed as Prospect Plaza – NYCHA located at 1776 Prospect Place was on the Closed Status Tank Test Failures list.
  - On October 27, 1993, a tank at the property containing #4 fuel oil failed a tightness test. NYSDEC assigned spill number 9315474 to the property. A subsurface investigation was conducted in 1995 which identified soil impacted with volatile organic compounds (VOCs) and semi-volatile organic compounds (SVOCs). A Site Investigation/Delineation of Contaminated Soil was performed by GF on February 17, 2006 in order to determine the location and extent of impacted material. Following this investigation, two (2) tanks were tested and a leak was found in the vent line. Contaminated soil was removed to the maximum extent possible without jeopardizing the integrity of the building structure. The spill was closed on December 8, 2006 and a listing of No Further Action was reported by the NYSDEC.
  - On October 18, 1991, a tank at the property containing #4 fuel oil failed a tightness test. NYSDEC assigned spill number 9107711 to the property. The spill was closed on January 6, 2006 to consolidate with spill number 9315474, discussed above.
- Parcel B, listed as Prospect Plaza located at 1776 Prospect Place was on the Petroleum Bulk Storage Site (PBS) list.
  - The property formerly contained two (2) 15,000-gallon underground storage tanks (USTs) which were installed on June 1, 1974 and removed on September 28, 2006. The property formerly contained one (1) 8,000-gallon aboveground storage tank (AST) which was installed on July 1, 1999 and removed on November 1, 2003.
- Parcel B, listed as NYCHA – Prospect Plaza located at 1750 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
  - The current generator type for the property is not listed; however, the property was formerly listed as a small quantity generator (SQG). In 1998, the property generated 55 gallons of 2, 4-D salts & esters which is a main component of an herbicide.
- Parcel B, listed as NYCHA – Prospect Plaza located at 1776 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
  - The current generator type for the property is not listed; however, the property was formerly listed as an SQG. The property was reported by the United States

- Environmental Protection Agency (US EPA); no hazardous waste activity was reported by New York State.
- Parcel B, listed as NYCHA – Prospect Plaza houses located at 1786 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
    - The current generator type for the property is not listed; however, the property was formerly listed as an SQG. The property was reported by the United States Environmental Protection Agency (US EPA); no hazardous waste activity was reported by New York State.
  - Parcel B, listed as “NYCDEP” located at 1786 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
    - The property generated 30 gallons of benzene in 1997.
  - Parcel C, listed as Prospect Plaza – NYCHA located at 430 Saratoga Ave was on the Closed Status Tank Test Failures list.
    - On December 19, 1990, a 15,000-gallon tank at the property containing #2 fuel oil failed a tightness test. NYSDEC assigned spill number 9010192 to the property. The spill was closed on March 1, 2007 to consolidate with spill number 9603220.
  - Parcel C, listed as Prospect Plaza Houses – NYCHA located at 430 Saratoga Ave was on the Closed Status Tank Test Spill (Unknown/Other Cause) list.
    - On June 7, 1996 an unknown amount of #2 fuel oil and an unknown amount of #4 fuel oil was spilled at the property. Corrective action was taken and the spill was closed on March 3, 2008.
  - Parcel C, listed as Prospect Plaza – NYCHA located at 1835 Sterling Place was on the Closed Status Tank Test Spill (Unknown/Other Cause) list.
    - On October 1, 2003, five (5) gallons of an unknown petroleum was spilled at the property. NYSDEC assigned spill number 0306936 to the property. Soil was excavated at the property and post excavation samples indicated minor SVOC impacts at eight (8) feet below ground surface (bgs). Groundwater was not reported to be impacted at the property, and the spill was closed on February 28, 2008.
  - Parcel C, listed as 430 Saratoga Ave was on the Closed Status Spill (Misc. Spill Cause) list.

- On September 25, 2003, five (5) gallons of hydraulic oil was spilled due to equipment failure. NYSDEC assigned spill number 0306726 to the property. The spill was contained, contaminated soil was removed from the property, and the spill was closed on September 25, 2003.
- On May 19, 2002, ten (10) gallons of hydraulic oil was spilled due to equipment failure. NYSDEC assigned spill number 0201807 to the property. The spill was caused by a broken hose on a vacuum truck, and was subsequently contained and removed with oil absorbent materials. The spill was closed on April 21, 2003.
- Parcel D, listed as HPD Vacant Lot – NYCHA located at 1829 Sterling Place was on the Closed Status Spill (Misc. Spill Cause) list.
  - On November 15, 1998, 55 gallons of motor oil was spilled at the property. NYSDEC assigned spill number 9810303 to the property. The Fire Department of the City of New York (FDNY) was able to recover approximately 30 gallons of the product when they responded to the spill. The New York City Housing Preservation Department (NYC HPD) took responsibility for the remediation of the spill and proposed soil removal, pressure washing the street, and storm sewer cleaning. The spill was closed on November 3, 2003.

The TTI database search revealed the presence of regulated sites within the specified ASTM search radii as follows:

- One (1) Inactive Hazardous Waste Disposal Site Registry Qualifying site is located within the ASTM minimum search distance of 1-mile from the Prospect Plaza Parcels.
  - 192 Ralph Avenue is in a hydrogeologic upgradient location relative to the Prospect Plaza Parcels; however, due to the depth to groundwater beneath the Prospect Plaza Parcels, this site is not considered an environmental concern to the subject properties.
- One (1) Solid Waste Facility site is located within the ASTM minimum search distance of ½-mile from the Prospect Plaza Parcels.
  - Due to its hydrogeologic crossgradient location from the Prospect Plaza Parcels, this facility is not considered an environmental concern to the subject properties.

- One (1) Active Tank Test Failure site is located within the ASTM minimum search distance of  $\frac{1}{2}$ -mile of the Prospect Plaza Parcels.
  - Due to its hydrogeologic downgradient location from the Prospect Plaza Parcels, this facility is not considered an environmental concern to the subject properties.
- Three (3) Active Hazardous Spills (Unknown Causes & Other Causes) sites are located within the ASTM minimum search distance of  $\frac{1}{2}$ -mile of the Prospect Plaza Parcels.
  - Due to their hydrogeologic downgradient and/or crossgradient locations from the Prospect Plaza Parcels, the remaining facilities are not considered environmental concerns to the subject properties.
- Twelve (12) Closed Status Tank Failure sites are located within the ASTM minimum search distance of  $\frac{1}{2}$ -mile from the Prospect Plaza Parcels.
  - The Gas Station site located at 1850 Park Place, the 417 Ralph Avenue site, the Brooklyn Children Center located at 1819 Bergen Street, the GP Petro site located at 1998 Atlantic Avenue, the Miller Home site located at 154 Buffalo Ave, the Commercial Lot located at 1855 Atlantic Ave, and St. Mary's Hospital located at 170 Buffalo Avenue are all in a hydrogeologic upgradient location from the Prospect Plaza Parcels; however, due to the depth to groundwater beneath the Prospect Plaza Parcels, these sites are not considered environmental concerns to the subject properties.
  - Due to their hydrogeologic downgradient and/or crossgradient locations from the Prospect Plaza Parcels, the remaining facilities are not considered environmental concerns to the subject properties.
- Twenty-three (23) Closed Status Tank Test Failure sites are located within the ASTM minimum search distance of  $\frac{1}{2}$ -mile from the Prospect Plaza Parcels.
  - The 1885 Atlantic Ave site, the Kingsborough Houses – NYCHA site located at 1880 Pacific Street, and St. Mary's Hospital located at 170 Buffalo Avenue are all in a hydrogeologic upgradient location from the Prospect Plaza Parcels; however, due to the depth to groundwater beneath the Prospect Plaza Parcels, these sites are not considered environmental concerns to the subject properties.

- Due to their hydrogeologic downgradient and/or crossgradient locations from the Prospect Plaza Parcels, the remaining facilities are not considered environmental concerns to the subject properties.
- One Hundred Two (102) Closed Status Spill (Unknown Causes & Other Causes) sites are located within the ASTM minimum search distance of  $\frac{1}{2}$ -mile from the Prospect Plaza Parcels.
  - The residence located at 343 Howard Ave, the Dean St and Ralph Ave site, the TM304 site located at Ralph Ave and Atlantic Ave, the Merit Gas Station located at Atlantic Ave and Ralph Ave, Manhole #4723 located at St. Marks Ave and Buffalo Ave, the Hess located at 1885 Atlantic Ave, the vacant building located at 154 Buffalo Ave, the house located at 73 Buffalo Ave, St. Mary's Hospital located at 170 Buffalo Avenue, the Manhole #20987 located at 916 Herkimer St, the manhole 20985 located at 872 Herkimer St, and 1882 Atlantic Avenue are all in a hydrogeologic upgradient location from the Prospect Plaza Parcels; however, due to the depth to groundwater beneath the Prospect Plaza Parcels, these sites are not considered environmental concerns to the subject properties.
  - Due to their hydrogeologic downgradient and/or crossgradient locations from the Prospect Plaza Parcels, the remaining facilities are not considered environmental concerns to the subject properties.
- Nineteen (19) Closed Status Spill (Miscellaneous Spill Causes) sites are located within the ASTM minimum search distance of  $\frac{1}{2}$ -mile of the Prospect Plaza Parcels.
  - The Bergen Street site located at Ralph and Howard Ave, the manhole #65388 located at Herkimer Street near Columbus Place, and 903 Herkimer Street are all in a hydrogeologic upgradient location from the Prospect Plaza Parcels; however, due to the depth to groundwater beneath the Prospect Plaza Parcels, these sites are not considered environmental concerns to the subject properties.
  - Due to their hydrogeologic downgradient and/or crossgradient locations from the Prospect Plaza Parcels, the remaining facilities are not considered environmental concerns to the subject properties.

- Twenty-one (21) Petroleum Bulk Storage Sites are located within the ASTM minimum search distance of  $\frac{1}{8}$ -mile.
  - Public School 12 – Brooklyn located at 430 Howard Ave and the Consolidated Edison site located at St. Marks Ave and Howard Ave are in a hydrogeologic upgradient location from the Prospect Plaza Parcels; however, due to the depth to groundwater beneath the Prospect Plaza Parcels, these sites are not considered environmental concerns to the subject properties.
  - Due to their hydrogeologic downgradient and/or crossgradient locations from the Prospect Plaza Parcels, the remaining facilities are not considered environmental concerns to the subject properties.
- One (1) Air Discharge Site is located within the ASTM minimum search distance of  $\frac{1}{8}$ -mile from the Prospect Plaza Parcels.
  - Due to its hydrogeologic downgradient location from the Prospect Plaza Parcels, this facility is not considered an environmental concern to the subject properties.
- One (1) Civil & Administrative Enforcement Docket Site is located within the ASTM minimum search distance of  $\frac{1}{8}$ -mile from the Prospect Plaza Parcels.
  - Due to its hydrogeologic downgradient location from the Prospect Plaza Parcels, this facility is not considered an environmental concern to the subject properties.
- Sixty-eight (68) New York City (NYC) Environmental Quality Review – Environmental Designation Sites are located within the TTI search distance of 250 feet.
  - Due to their hydrogeologic downgradient and/or crossgradient locations from the Prospect Plaza Parcels, the remaining facilities are not considered environmental concerns to the subject properties.

### 2.5.2 Historical Documents

GF reviewed the following historical documents which were provided by NYCHA. Copies of these documents can be found in Appendix F.

*Central Brooklyn Model Sites Area Sites 110A, 110B and 67B Cellar Plan, Building 1 – Parcel A*  
A cellar plan drawing for Prospect Plaza Parcel A signed by Gustave W. Iser & Walter G. Leicht, Architects; S. Cafarelli Associates Mechanical Engineers; Robert Rosen waster Structural

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*New York City Housing Authority  
Prospect Plaza, Brooklyn NY  
Phase I Site Assessment*

*April 2011  
54099.001*

Engineers; Abel & Bainnson Landscape Architects & Site Engineers; and the US Department of Bousing and Urban Development New York City Housing Authority and dated June 21, 1971 was furnished by NYCHA. The cellar plan reveals the presence of an elevator shaft in the central-west portion of the building and a tank & pump room in the southeast corner of the building.

*Phase I ESA of Three Residential Towers – Parcels A and B*

A Phase I ESA prepared by URS Corporation-New York (URS) and dated December 30, 2005 was furnished by NYCHA. The environmental concerns recognized by URS include the following:

- Each of the three (3) buildings contain two (2) hydraulic passenger elevators, an inspection in April 2004 reported that the elevators were in poor condition. Based on this information, URS concluded that a release of hydraulic fluid may have occurred at each building and recommended further investigation of the elevators.
- Two (2) 15,000-gallon USTs listed as closed and without a secondary containment system were discovered to be buried between the two (buildings) located on Prospect Plaza Parcel B. Two (2) spills were listed as open by the NYSDEC and a subsurface environmental investigation revealed the presence of petroleum-impacted soil at levels above NYSDEC guidance values.
- One (1) RCRA SQG permit was issued to Prospect Plaza Parcel B. No violations were reported and no evidence was discovered that a release of hazardous materials or waste occurred at the buildings. URS recommended that interviews with knowledgeable person(s) be conducted to gain information on this listing.
- An off-site release of approximately 1,000 gallons of fuel oil from the Brooklyn Children's Center, located upgradient from the buildings and impacted groundwater. URS concluded that this release may have migrated to the Prospect Plaza Parcels and recommended further investigation.
- Historical records reported the presence of a dry cleaning business at 393 Saratoga Avenue, adjacent-east to Prospect Plaza Parcel B from 1963 to 1973.

URS concluded that based on a lack of environmental regulation during the years of this facility's operation, the potential exists for a past release of hazardous materials or waste from the facility and recommended further investigation.

*Site-Specific Site Assessment Report – Parcel B*

A Site-Specific Site Assessment Report was prepared by GF and dated March 2006. The purpose of the assessment was to estimate the volumetric extent of fuel oil impacted soil near the two out-of-service 15,000-gallon fuel oil USTs and piping at Prospect Plaza Parcel B. Soil samples were collected from six (6) locations at the property in February of 2006. Soil sample results reported concentrations of polynuclear aromatic hydrocarbons (PAHs) at concentrations above NYSDEC Recommended Soil Cleanup Objectives (RSCOs) in six (6) of the twelve (12) samples at approximately 25 to 27 feet bgs and approximately 15 to 17 feet bgs along the piping associated with the USTs. GF estimated that the volume of impacted material associated with the UST was 2,549 cubic yards and recommended additional investigation to more accurately delineate the full extent of impacted soil.

*Site-Specific Investigative Summary – Parcel B*

A Site-Specific Investigative Summary was prepared by GF and dated September 2006. The purpose of the assessment was to better define the extent of soil impacts at Prospect Plaza Parcel B with the installation of fourteen (14) soil borings with a secondary set of step-out borings proposed to ensure full delineation of impacts surrounding the USTs and associated piping. VOCs were not detected in soil above RSCOs in any of the soil samples, and groundwater was not encountered in any of the fourteen (14) borings. GF concluded that fuel oil impacted soil spanned an area of approximately 4,600 square feet (ft<sup>2</sup>), and the estimated total volume of impacted soil was approximately 4,700 cubic yards. NYCHA indicated to GF that the tanks and the associated piping would be removed before redevelopment of this area. GF recommended that when the USTs are removed, soil samples be taken in direct accordance with the Spill Prevention Operation Technical Series (SPOTS) # 14 rules and regulations for tank removals and NYSDEC protocols. GF also recommended that much soil as possible be removed from the area of the UST and associated piping without impacting the structural integrity of the building

foundation and utilities. GF recommended that if all delineated soil could not be excavated, in-situ bio-remediation alternatives would be assessed.

*Site-Specific Supplemental Site Assessment – Parcel B*

A Site-Specific Supplemental Site Assessment was prepared by GF and dated October 2006. The purpose of the assessment was to determine if fuel oil from two (2) out of service USTs had impacted groundwater at Prospect Plaza Parcel B. In August 2006, the USTs and associated piping were uncovered and tightness tested. Five (5) additional borings were drilled as requested by NYSDEC and NYCHA. The five (5) borings were drilled to the water table and groundwater samples were collected. Soil samples were collected at five-foot intervals when possible, and commenced at specific intervals. The interval at each boring was based upon the deepest interval completed during the preliminary site assessment and initial investigation of the surrounding area. Soil analytical results reported non-detect concentrations of VOCs in all samples collected. PAHs were detected in four (4) of the five (5) samples below RSCOs. PAHs were detected in three (3) of the five (5) samples above RSCOs. Groundwater analytical results were reported at non-detect concentrations for VOCs in all samples with the exception of one (1) sample in which methyl tert-butyl ether (MTBE) was reported at concentrations below NYSDEC Guidance Values. MTBE was not reported in soil samples from the site. The presence of MTBE suggested that impacts to groundwater may have originated from an off-site source. PAH concentrations were not reported above the laboratory method detection limits in groundwater samples with the exception of one (1) sample in which the concentration of seven (7) analytes slightly exceeded NYSDEC Guidance Values. The presence of these PAHs was not considered likely to impact the site, as negligible amounts were found above the minimal detection limit as established by the EPA. GF concluded that groundwater quality had not been impacted by historical on-site activities and recommended no further action regarding groundwater quality assessment at the property. GF recommended that NYCHA remove as much soil as possible without impacting the structural integrity of the building foundation and utilities and that during any removal of the USTs and associated piping, soil samples be taken in accordance with the SPOTS #14 guidelines for closure assessments and NYSDEC protocols.

### *Underground Storage Tank Closure Assessment Report – Parcel B*

An Underground Storage Tank Closure Assessment Report was prepared by GF and dated November 2006. The purpose of this assessment was to properly document the removal of two (2) out of service 15,000-gallon USTs at Prospect Plaza Parcel B and to provide sufficient information to close the two (2) open spill numbers at the property (91-07711 and 93-15474). During the excavation activities, approximately 4,800 tons of impacted soil was removed, and endpoint samples were collected. Soil analytical results revealed that fuel impacted soil associated with the former tanks and fill lines had been removed. Impacted soil was kept in place adjacent to the supply, return, and vent lines. These lines are adjacent to the building and it was determined that excavation in this area could compromise the buildings structure. GF recommended that NYCHA request spill closure from NYSDEC for the two (2) spill numbers.

### *Environmental Site Assessment – Parcel C*

A Phase I ESA was performed by Energy and Environmental Analysts, Inc. (EEA) and dated April 1999. The purpose of the assessment was to identify ECs indicating the potential for significant contamination of the subject property by toxic and hazardous materials (including petroleum products), and/or other chemical products. The property contained one (1) 15-story building with associated elevator and a vacant lot. The property was originally developed as twenty-four (24) 4-story residential apartment buildings with small retail commercial spaces on the ground floor. EEA states that in 1971, the residential buildings were demolished and a 15-story residential building was constructed. EEA discovered a fill and vent line which was assumed to lead to one (1) 15,000-gallon fuel oil UST which was registered on the NYSDEC PBS database. Two (2) open spills were located at the property at the time of EEA's report.

- On December 19, 1990, a 15,000-gallon UST failed a tightness test. NYSDEC assigned spill number 9010192 to the property.
- On June 7, 1996, contaminated soil was discovered during the removal of a tank at the property. EEA contacted Mr. Anthony Marotta, Superintendent of Buildings for the property, who indicated that both spills had been remediated, the original tank had been removed and replaced, and 200 cubic yards of contaminated soil was removed from the property and disposed of.

According to a letter furnished by Mr. Marotta, the spills remained open due to residual petroleum contamination in the soils in the vicinity of the tanks, and that no work had been performed at the property since the letter was received in July of 1997. EEA noted that numerous spill incidents were listed near the property but that due to local groundwater flow direction, statuses of the incidents, distances from the property, and quantities and types of materials spilled, none of the open spills were expected to impact the property. EEA recommended testing and remediation as required by the NYSDEC be undertaken to close out the two (2) active spill numbers associated with the property.

*UST Closure and Site Assessment Report – Parcel C*

A UST Closure and Site Assessment Report prepared by Langan Engineering and Environmental Services, Inc. (Langan) and dated October 21, 2005 was furnished by NYCHA. The purpose of the assessment was to document the removal of one (1) 15,000-gallon UST and one (1) 1,000-gallon UST from Prospect Plaza Parcel C, listed as located at 430 Saratoga Avenue in Brooklyn, New York. The report states that the property was originally developed with brownstone residences which were demolished in 1974 and replaced with a 15-story residential building and associated one-story community center. A 15,000-gallon UST was installed at the property at the time of construction. In 1996, this original 15,000-gallon UST was removed and replaced with another 15,000-gallon UST by Technically Yours Environmental Planning and Services (Technically Yours). Langan reviewed the Technically Yours UST removal report which did not state the reason for the removal of the tank; however, the report did state that although the tank showed evidence of rusting, no evidence of petroleum contamination or discharges from the UST was observed and that the UST did not contain holes. According to Langan, the report also stated that five (5) soil samples and two (2) groundwater samples were collected from the excavation. Soil samples were analyzed for Spill Technology and Remediation Series (STARS) VOCs and base neutral compounds (BNs) and groundwater samples were analyzed for total petroleum hydrocarbons (TPH). Langan's review of the Technically Yours UST removal report stated that VOCs were not detected in soil samples, but that six (6) BN compounds were detected in four (4) of the samples which exceeded the NYSDEC Technical and Administrative Guidance Memorandum (TAGM) #4046 RSCOs and/or Soil Cleanup Objectives to Protect Groundwater

Quality. Groundwater analytical results were not included in the UST removal report. The new tank was reported to be installed on a base of gravel and the excavation was partially backfilled with imported sand fill and partially backfilled with on-site material.

In September 2003, the buildings at Prospect Plaza Parcel C were demolished and the 15,000-gallon replacement UST discussed above was removed from the property. The removal of this UST revealed the presence of potentially impacted soil. Soil was removed and screened; and a post-excavation sample was collected from beneath the fill port. Groundwater was reportedly observed at the bottom of the southwestern portion of the UST excavation. Six (6) additional post-excavation samples were collected from the sidewalls of the excavation. Soil analytical results revealed elevated concentrations of BNs. Additional excavations were made and approximately eight (8) to ten (10) cubic yards of soil was removed from four (4) areas which contained impacted soils. Both NYCHA and NYSDEC agreed that although this round of sampling revealed BN concentrations exceeding the NYSDEC TAGM #4046 RSCOs and/or Soil Cleanup Objectives to Protect Groundwater Quality, sufficient soil had been removed from the property and further excavation was not required. One (1) groundwater sample was collected from the southwestern corner of the UST excavation. This sample was analyzed for STARS VOCs by method 8021 and STARS list BNs by method 8270. Groundwater analytical results revealed several VOCs and BN compounds above the NYSDEC Technical & Operational Guidance Series (TOGS) 1.1.1 GA Class Groundwater Quality Standard/Guidance values. Based on the sample results, NYCHA and NYSDEC required the collection of a second groundwater sample. A vacuum truck was used to remove groundwater from the UST excavation several times to allow for recharge into the excavation. After three (3) rounds of groundwater removal, one (1) groundwater sample was collected from the southern portion of the excavation. Groundwater analytical results revealed that the sample was below guidance values for all compounds. Langan concluded that no further action was necessary in connection with this UST.

During demolition of the former buildings at Prospect Plaza Parcel C, one (1) 1,000-gallon UST was discovered in the southwestern corner of the property. The removal of the 1,000-gallon

UST and surrounding soils revealed the presence of potentially impacted soil, and this material was stockpiled. The tank was inspected and revealed evidence of staining and corrosion, and the bottom of the tank revealed the presence of corrosion pits. No piping was discovered in association with the tank. The tank removal revealed the presence of a vault with a concrete bottom and walls composed of cinder block and red brick. Groundwater was not observed at the bottom of the excavation, which was approximately six (6) feet bgs. Two (2) post-excavation soil samples were collected; one (1) from an area where soil and/or fill had adhered to the cinder block wall, at an approximate depth of two (2) feet bgs, and the other from fill material which was present on the concrete vault floor. After the soil samples were collected, an oily substance was observed to be seeping from a seam between the concrete floor and the lowest cinder block of the adjoining wall. An on-site NYCHA representative notified NYSDEC of the spill, and spill number 0306936 was assigned to the property. NYCHA directed Langan to dismantle the western vault wall and excavate material beyond the wall. This material contained brick, concrete, abandoned piping, and loose sand and gravel fill. No evidence of staining was observed in the excavation, which extended to the same depth of the vault. Langan collected four (4) post-excavation soil samples, one (1) each from the northern, western, southern and bottom portions of the excavation – the original samples were discarded. Soil analytical results revealed the presence of one (1) or more BN compounds at concentrations above NYSDEC TAGM #4046 RSCOs and/or Soil Cleanup Objectives to Protect Groundwater Quality. NYCHA and NYSDEC did not require additional excavation.

Groundwater sampling occurred at the property in a location several feet away from the former UST excavation area. Continuous soil samples were collected in four (4) foot intervals to approximately sixteen (16) feet bgs. Groundwater was encountered at approximately 13 feet bgs. A groundwater sample was collected from a temporary well installed using a geoprobe drill rig operated by NYCHA personnel. Groundwater analytical results revealed that the sample was below guidance values for all compounds. Langan concluded that no further action was necessary in connection with this UST. All soils that were previously stockpiled from the excavations at the property were removed from the property and the area of the former 15,000-gallon UST was re-graded using on-site soils.

## 2.6 Site Reconnaissance Results

On March 1, 2011, Ms. Jessica Ferngren and Ms. Megan Borruso of GF performed a site reconnaissance of the Prospect Plaza Parcels. The security guard on duty and Ms. Cara McAteer, a representative of NYCHA, met Ms. Ferngren and Ms. Borruso and provided access to the subject properties. Ms. McAteer indicated that the buildings were constructed in the 1970s and had been vacated in approximately 2003. Ms. McAteer stated that a proposal has been made for redevelopment of the properties.

The subject properties are located in a mixed-use area of Brooklyn, New York and currently consist of four (4) parcels of land, identified as Parcels A-D which are all vacated properties.

The table below describes the approximate area and current use of each building.

Parcel	Block/Lot	Address	Area (Ft <sup>2</sup> )	Current Use
Parcel A	1458/52	1785 Prospect Place	61,150	Vacant 12-story building with associated yard, parking lot, and shed
Parcel B	1463/16 1463/41	1750 Prospect Place/ 1776 Prospect Place	80,000	One (1) 12-story building and one (1) 15-story vacant building, each with associated yards
Parcel C	1467/35	1800 Park Place	32,000	Vacant Land
Parcel D	1467/22	Howard Avenue	57,475	Vacant Land

### *Parcel A*

At the time of inspection, Parcel A, 1785 Prospect Place, consisted of one (1) 12-story vacant brick building which was formerly used as a multi-unit residence, one (1) former playground area in the western section of the property, one (1) parking lot with a one-story three-bay garage in the eastern section of the property, and grassed yards in the front (south) and rear (north) yards of the building. The on-duty security guard provided access to the building through the front entrance along Prospect Place. The ground floor contained a lobby with tile walls and tile floors. The ceiling was in disrepair, with large sections of paint detached from the surface revealing

additional coats of paint beneath. The hallway on the ground floor was constructed of concrete block with a painted surface, also detaching from the walls. Lighting in the building was restricted to the hallway and lobby of the ground floor; as such, rooms were photographed with a camera equipped with a power flash. Photos of a typical residential unit revealed rooms in general disrepair, with paint detaching from the surfaces of the walls and ceiling and the room photographed contained a stove unit. Residential units in the upper floors were inaccessible due to the restricted lighting in the building and questionable structural integrity of the building. The basement of the building was also inaccessible due to flooding in the entryway at the rear of the building and flooding throughout the basement. Photographs were taken from the basement entrance and revealed painted concrete block walls and signs of mold.

### *Parcel B*

At the time of inspection, Parcel B, 1750 and 1776 Prospect Place, contained one (1) 12-story and one (1) 15-story vacant brick building which were formerly used as multi-unit residences, a rear yard to the south of both buildings contained a basketball court, one (1) parking lot was located on the western side of 1750 Prospect Place, one (1) parking lot was located on the southern side of 1776 Prospect Place, and a front yard was located on the north side of both buildings. Evidence of disturbed soil was observed on a large portion of the rear yard between the buildings. The on-duty security guard provided access to the buildings through the front entrances along Prospect Place. The ground floors of both residential buildings were similar to the ground floor of the building on Parcel A. The walls, floor, and ceiling of accessible units were in general disrepair. Paint was detaching from all surfaces revealing additional coats of paint beneath, and floors were tiled. Ceilings in the residential units also showed evidence of mold. The basement of 1776 Prospect Place was accessible and contained a boiler room with associated boilers and electrical panels and other vacant rooms which were previously used for storage.

### *Parcel C*

At the time of inspection, Parcel C was a vacant lot entirely surrounded by a chain-link fence, with boards covering the fence along Saratoga Avenue. The property was not accessible, but

was able to be viewed from the public right-of-way. The property contained two (2) large depressions filled with water on the eastern section of the property, a pile of concrete on the central-east section of the property, and general urban fill debris and weeds/grasses throughout the remainder of the property.

#### *Parcel D*

At the time of inspection, Parcel D was a vacant lot separated from Parcel C by a school building and a chain-link fence. The property contained a large mound of debris which included but was not limited to brick, concrete, wood, metal, and soil. The debris pile was approximately five (5) feet in height and extended from the central-south section of the property to the northern section along the fence on Park Avenue, excepting an area on the western section of the property which appeared to be a driveway leading to the debris pile with tire imprints visible in the mud. A paved area was located on the southern portion of the property along the chain-link fence fronting Sterling Place and Parcel C.

Site photographs are included in Appendix G.

#### 2.6.1 Site Interviews

Ms. Cara McAteer, a representative of NYCHA, and the on-duty security guard were interviewed during the site reconnaissance and provided Ms. Ferngren and Ms. Borruso access to the property and answered general questions about the past and current usage of the subject property.

#### 2.6.2 Stormwater Runoff

Stormwater for Parcels A and B flows toward storm drains which are located along Prospect Place and Saratoga Avenue. Stormwater for Parcels C and D appears to pool on-site and/or flow toward storm drains which are located along Sterling Place.

### 2.6.3 Potable Water Supply and Wastewater Disposal

Potable water and wastewater disposal services were formerly provided by the City of New York. As the buildings are no longer in use and two (2) of the four (4) parcels are vacant lots, there is no potable water supply or wastewater disposal at the properties.

### 2.6.4 Polychlorinated Biphenyls (PCBs)

Potential PCB containing materials were not observed during the site reconnaissance.

### 2.6.5 Landfills, Dumps or Direct Burial Activities

Parcel C contains a pile of concrete and/or urban fill debris. Parcel D contains a large pile of debris which included but was not limited to brick, concrete, wood, metal, and soil.

### 2.6.6 Solid Waste Generation, Storage and Disposal

Solid waste not currently generated at the sites, as they are vacant.

### 2.6.7 Hazardous Waste Generation, Storage and Disposal

No evidence of hazardous waste generation, storage, or disposal was observed during the site reconnaissance.

### 2.6.8 Aboveground and Underground Storage Tank Systems

Two (2) USTs formerly existed in the yard of Parcel B between the two buildings. These tanks were removed from the property, leaving evidence of disturbed soils.

Two (2) USTs formerly existed at Parcel C. These tanks were removed from the property, leaving evidence of disturbed soils and a depression in the surface of the lot.

Ms. McAteer provided a building plan which revealed the presence of a tank room at Parcel A. This building plan is included in Appendix F.

#### 2.6.9 Septic Systems

The properties were previously served by the City of New York public sewer system; as such, no private septic system would have been necessary at any of the parcels.

#### 2.6.10 Drains and Sumps

No drains or sumps were observed during the site reconnaissance.

#### 2.6.11 Wells

No groundwater monitoring wells were observed during the site reconnaissance.

#### 2.6.12 Drums and Containers

No drums or containers were observed during the site reconnaissance.

#### 2.6.13 Stressed Vegetation

Evidence of stressed vegetation was observed at the top of the debris pile located on Parcel D.

#### 2.6.14 Stained Soil or Pavement

No evidence of stained soil or pavement was observed during the site reconnaissance.

#### 2.6.15 Mounds or Depressions

A large mound was present on Parcel D, as discussed in Section 2.6.5 and in the general site reconnaissance description.

#### 2.6.16 Air Emissions

No sources of air emissions were observed during the site reconnaissance.

#### 2.6.17 Regulated Substances and Hazardous Materials

No evidence of regulated substances or hazardous materials was observed during the site reconnaissance.

#### 2.6.18 Asbestos-Containing Materials

An assessment for asbestos containing material was not part of the work scope; however, the buildings at Parcels A and B did include floor and ceiling tiles which may contain Asbestos-Containing Materials (ACM).

#### 2.6.19 Radon

Radon is a colorless, radioactive, inert gas formed by the decay of radium and may be present in soils and rocks containing granite, shale, phosphate and pitchblende. The United States Environmental Protection Agency (USEPA)'s Radon Zone Map for Kings County places the area in Zone 3, meaning that the indoor average level of radon is less than the USEPA's regulatory level of 4 pico-Curies per liter.

#### 2.6.20 Mold

Mold was observed on the ceilings in the buildings at the subject properties and in the basement of the Parcel A building.

#### 2.6.21 Lead-Based Paint

Painted surfaces at the subject properties appeared to be in poor condition and were detaching from the walls and ceilings in all buildings, revealing additional coats of paint beneath.

#### 2.6.22 Lead In Drinking Water

Lead in drinking water is not suspected at the subject property as water was previously provided by the City of New York.

### **3.0 FINDINGS**

Environmental conditions (ECs) are conditions indicative of releases and threatened releases of hazardous substances on, at, in, or to the Prospect Plaza Parcels. Historical environmental conditions include conditions that would have been considered environmental conditions in the past, but may or may not be currently considered an environmental condition. These terms are not meant to include *de minimus* conditions that generally do not present a material risk of harm to public health or the environment and that generally would not be the subject of enforceable action if brought to the attention of appropriate government agencies.

The following *environmental conditions* (ECs) were identified during this Phase I ESA:

#### *Parcel A*

- Historical documentation revealed the presence of a tank room in the basement of the building. It is unclear whether this is referring to fuel oil tanks or to tanks storing an alternate material.
- One (1) one-story three-bay garage was located in the parking lot on the western side of the building which was inaccessible at the time of the site reconnaissance.
- Historical documentation and site interviews revealed the presence of one (1) hydraulic elevator in the building. Potential soil impacts may exist if hydraulic oil leaked into the subsurface beneath the elevators' shafts.
- This area has been redeveloped in the past and fill material may have been used at the property during this redevelopment.

#### *Parcel B*

- Historical documentation revealed that during the removal of two (2) USTs and associated petroleum impacted soil at 1766 Prospect Place, petroleum impacted soil remained in place adjacent to the supply, return, and vent lines. These pipes are adjacent

to the building and it was determined that excavation in this area could compromise the building's structure.

- This area has been redeveloped in the past and fill material may have been used at the property during this redevelopment. Additionally, past investigations surrounding the underground storage tanks have identified fill to approximately 20 feet below ground surface.
- Prospect Plaza Parcel B, listed as NYCHA – Prospect Plaza located at 1750 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
  - The current generator type for the property is not listed; however, the property was formerly listed as a small quantity generator (SQG). In 1998, the property generated 55 gallons of 2,4-D salts & esters which is a main component of an herbicide.

This material may have been used at all four (4) Prospect Plaza Parcels and stored at the main building located on Parcel B.

- Prospect Plaza Parcel B, listed as NYCHA – Prospect Plaza located at 1776 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
  - The current generator type for the property is not listed; however, the property was formerly listed as an SQG. The property was reported by the United States Environmental Protection Agency (US EPA); no hazardous waste activity was reported by New York State.
- Prospect Plaza Parcel B, listed as NYCHA – Prospect Plaza houses located at 1786 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
  - The current generator type for the property is not listed; however, the property was formerly listed as an SQG. The property was reported by the United States Environmental Protection Agency (US EPA); no hazardous waste activity was reported by New York State.
- Prospect Plaza Parcel B, listed as “NYCDEP” located at 1786 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
  - The property generated 30 gallons of benzene in 1997.

- Historical documentation and site interviews revealed the presence of one (1) hydraulic elevator in each of the two (2) buildings. Potential soil impacts may exist if hydraulic oil leaked into the subsurface beneath the elevators' shafts.

#### *Parcel C*

- Parcel C contained a mound of construction debris on the southwestern section of the property.
- This area has been redeveloped in the past and fill material may have been used at the property during this redevelopment.

#### *Parcel D*

- Parcel D contained a large mound of debris which included but was not limited to brick, concrete, wood, metal, and soil. This indicated the possibility for unknown materials to be buried beneath the mound at the property.
- This area has been redeveloped in the past and fill material may have been used at the property during this redevelopment.

The following *de minimus* condition was identified during this modified Phase I ESA:

- A former drycleaner was revealed to exist to the east of Prospect Plaza Parcel B across Saratoga Avenue.

Although not within the scope of the requirements for this Phase I ESA and not considered environmental concerns according to ASTM guidelines, the following items have been noted:

- Mold was observed on the ceiling of the ground floor units in all three (3) buildings on the Prospect Plaza Parcels and in the basement of the building at Prospect Plaza Parcel A.
- The majority of the interior walls and ceilings of all three (3) buildings on the Prospect Plaza Parcels have painted surfaces which are becoming detached and reveal evidence of additional layers of paint. Due to the date the buildings were constructed, it is suspected that this paint contains lead.
- The majority of the floor surfaces and ceilings in all three (3) buildings on the Prospect Plaza Parcels are composed of suspect Asbestos Containing Materials (ACM).

#### **4.0 CONCLUSIONS AND RECOMMENDATIONS**

The following *environmental conditions* (ECs) were identified during this Phase I ESA:

##### *Parcel A*

- Historical documentation revealed the presence of a tank room in the basement of the building. It is unclear whether this is referring to fuel oil tanks or to tanks storing an alternate material.
- One (1) one-story three-bay garage was located in the parking lot on the western side of the building which was inaccessible at the time of the site reconnaissance.
- Historical documentation and site interviews revealed the presence of one (1) hydraulic elevator in the building. Potential soil impacts may exist if hydraulic oil leaked into the subsurface beneath the elevators' shafts.
- This area has been redeveloped in the past and fill material may have been used at the property during this redevelopment.

##### *Parcel B*

- Historical documentation revealed that during the removal of two (2) USTs and associated petroleum impacted soil at 1766 Prospect Place, petroleum impacted soil remained in place adjacent to the supply, return, and vent lines. These pipes are adjacent to the building and it was determined that excavation in this area could compromise the building's structure.
- This area has been redeveloped in the past and fill material may have been used at the property during this redevelopment. Additionally, past investigations surrounding the underground storage tanks have identified fill to approximately 20 feet below ground surface.
- Prospect Plaza Parcel B, listed as NYCHA – Prospect Plaza located at 1750 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.

- The current generator type for the property is not listed; however, the property was formerly listed as a small quantity generator (SQG). In 1998, the property generated 55 gallons of 2,4-D salts & esters which is a main component of an herbicide.

This material may have been used at all four (4) Prospect Plaza Parcels and stored at the main building located on Parcel B.

- Prospect Plaza Parcel B, listed as NYCHA – Prospect Plaza located at 1776 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
  - The current generator type for the property is not listed; however, the property was formerly listed as an SQG. The property was reported by the United States Environmental Protection Agency (US EPA); no hazardous waste activity was reported by New York State.
- Prospect Plaza Parcel B, listed as NYCHA – Prospect Plaza houses located at 1786 Prospect Plaza was on the Hazardous Waste Generators/Transporters list.
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  - The property generated 30 gallons of benzene in 1997.
- Historical documentation and site interviews revealed the presence of one (1) hydraulic elevator in each of the two (2) buildings. Potential soil impacts may exist if hydraulic oil leaked into the subsurface beneath the elevators’ shafts.

### *Parcel C*

- Parcel C contained a mound of construction debris on the southwestern section of the property.
- This area has been redeveloped in the past and fill material may have been used at the property during this redevelopment.

*Parcel D*

- Parcel D contained a large mound of debris which included but was not limited to brick, concrete, wood, metal, and soil. This indicated the possibility for unknown materials to be buried beneath the mound at the property.
- This area has been redeveloped in the past and fill material may have been used at the property during this redevelopment.

The following *de minimus* condition was identified during this modified Phase I ESA:

- A former drycleaner was revealed to exist to the east of Prospect Plaza Parcel B across Saratoga Avenue.

Although not within the scope of the requirements for this Phase I ESA and not considered environmental concerns according to ASTM guidelines, the following items have been noted:

- Mold was observed on the ceiling of the ground floor units in all three (3) buildings on the Prospect Plaza Parcels and in the basement of the building at Prospect Plaza Parcel A.
- The majority of the interior walls and ceilings of all three (3) buildings on the Prospect Plaza Parcels have painted surfaces which are becoming detached and reveal evidence of additional layers of paint. Due to the date the buildings were constructed, it is suspected that this paint contains lead.
- The majority of the floor surfaces and ceilings in all three (3) buildings on the Prospect Plaza Parcels are composed of suspect Asbestos Containing Materials (ACM).

GF recommends the following:

*Parcel A*

- Access to the basement in the building should be gained in order to determine whether the tank room contains evidence of a current or former fuel oil storage tank.
- Access to the one-story three-bay garage located in the parking lot on the eastern side of the building should be gained in order to determine past use of the garage and assess

current conditions. GF recommends soil sampling beneath the slab of the garage to assess potential soil impacts.

- Prior to the demolition of the building, an inspection of the building elevator should be performed to determine the presence of hydraulic oil. Hydraulic oil and all hydraulic equipment should be removed and properly disposed prior to or during demolition activities.
- Soil borings should be advanced at select locations on the property in order to determine if the former use of an herbicide or benzene at the property has impacted subsurface soil.
- Soil borings to should be advanced determine the extent of the fill and soil analytical sampling should be performed to determine if the fill is impacted by any constituents of concern related to urban fill.
- Prior to the demolition of the building, suspect lead-based paint should be tested and if found to contain lead, removed and disposed of in accordance with State and Federal regulations.
- Prior to the demolition of the building, suspect ACM should be tested and if found to contain asbestos, removed and disposed in accordance with State and Federal regulations.

#### *Parcel B*

- During demolition and construction activities in the area of the former tanks and associated piping, caution should be used to avoid contact with remaining petroleum impacted soils. After demolition of the building, impacted soil should be excavated and disposed in accordance with State and Federal regulations.
- Further research should be conducted into the listing of Prospect Plaza Parcel B on the Hazardous Waste Generators/Transporters list.
- Soil borings should be advanced at select locations on the property in order to determine if the former use of an herbicide and/or benzene at the property has impacted subsurface soil.
- Soil borings should be advanced to determine the extent of the fill and soil analytical sampling should be performed to determine if the fill is impacted by any constituents of concern related to urban fill.

- Prior to the demolition of the building, suspect lead-based paint should be tested and if found to contain lead, removed and disposed of in accordance with State and Federal regulations.
- Prior to the demolition of the building, suspect ACM should be tested and if found to contain asbestos, removed and disposed in accordance with State and Federal regulations.

#### *Parcel C*

- Soil borings should be advanced in the vicinity of the construction debris pile in order to determine if subsurface soils have been impacted by materials possibly buried beneath this pile.
- Soil borings should be advanced at select locations on the property in order to determine if the former use of an herbicide or benzene at the property has impacted subsurface soil.
- Soil borings should be advanced to determine the extent of the fill and soil analytical sampling should be performed to determine if the fill is impacted by any constituents of concern related to urban fill.

#### *Parcel D*

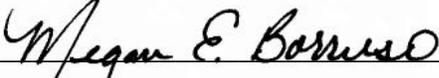
- Soil borings should be advanced in the debris pile on the property in order to determine if this material contains impacted soils, to delineate on-site fill material, and to aid in disposal activities which may occur during future construction activities at the property.
- Soil borings should be advanced at select locations on the property in order to determine if the former use of an herbicide or benzene at the property has impacted subsurface soil.
- Soil borings should be advanced to determine the extent of the fill and soil analytical sampling should be performed to determine if the fill is impacted by any constituents of concern related to urban fill.

## 5.0 REFERENCES

- Energy & Environmental Analysts, Inc. *Environmental Site Assessment: Property Described as Site #4, 430 Saratoga Avenue – 1791-1859 Sterling Place Brooklyn, New York.* April 1999.
- Gannett Fleming Engineers and Architects, P.C., *Site-Specific Site Assessment Report: 1776 Prospect Place Prospect Plaza Houses, Brooklyn, New York. Spill Numbers 91-07711 and 93-15474, PBS Number 474193.* March, 2006.
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## 6.0 SIGNATURES OF ENVIRONMENTAL PROFESSIONAL(S)

This Phase I Environmental Site Assessment has been prepared by the following environmental professionals and is true and accurate to the best of their knowledge:

  
\_\_\_\_\_  
MEGAN BORRUSO  
Environmental Scientist

  
\_\_\_\_\_  
VINCENT FRISINA, P.E.  
Director of Environmental Services

## **FIGURES**



New York City Housing Authority  
Prospect Plaza  
Phase I Environmental Site Assessment  
Figure 1

# **EXHIBIT E: RETAIL MARKET FEASIBILITY STUDY**

# PROSPECT PLAZA

## **Retail Market Analysis**

Prepared for the New York City Housing Authority (NYCHA)  
by AKRF, Inc & G. L. Blackstone & Associates LLC

April 29, 2011



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## EXECUTIVE SUMMARY

### Task A

During the first three months of 2011, AKRF was retained by the New York City Housing Authority (NYCHA) to assess the feasibility of incorporating 30,000 square feet of retail space in the development program of the Prospect Plaza redevelopment project. NYCHA expressed a particular interest in locating a supermarket in the redevelopment site. To quantify and describe demand for a grocery store and potential other retail establishments, AKRF delineated a trade area, conducted a demographic analysis, surveyed residents and merchants, and quantified overall demand for a supermarket.

**Figure ES 1:  
Prospect Plaza Primary and Secondary Trade Areas**



The larger study area is bound by Albany Avenue, Atlantic Avenue, Mother Gaston Boulevard, Pitkin Avenue and Eastern Parkway. The Primary Trade Area, encompassing roughly a ½-mile radius from the project site, was assumed to supply about 80% of potential repeat customers, while households in the Secondary Trade Area that owned a vehicle were assumed to shop at the new stores at the Prospect Plaza development site.

The demographic assessment revealed a fast-growing residential population, with a population in the Primary Trade Area of more than 33,300 residents by 2010. Compared to all of New York City, Trade Area residents tend to be much much younger, primarily African-American, and many with Caribbean origins. At the same time, residents in the Primary Trade Area tend to be far less affluent, i.e., 40% of households earn less than \$15,000, while 45% are considered to live below the poverty line.

Using population projections, which were adjusted and vetted by comparing estimates with on-the-ground data from the New York City Departments of Housing, Preservation and Development (HPD) and City Planning (DCP), and household expenditure estimates from the Consumer Expenditure Survey, AKRF projected the total potential demand for supermarket and other retail products and services. Table ES 1 summarizes the results.

**Table ES 1:**

**Summary of Expenditure Demand Potential for Combined Trade Area**

<b>Expenditures</b>	<b>Total</b>
Average total annual expenditures <sup>1</sup>	\$ 606,778,915
Grocery Stores	\$ 52,967,297
Restaurants	\$ 32,724,193
Home Improvement	\$ 23,509,830
Apparel/Clothing	\$ 20,904,481
Health & Personal Care	\$ 21,623,869
Entertainment	\$ 30,329,342
Other convenience	\$ 17,320,406
<b>GRAND TOTAL (selected categories)</b>	<b>\$ 198,856,717</b>

<sup>1</sup>Note: Includes all consumer expenditures, including rent and automobiles.

Source: Consumer Expenditure Survey, ESRI, and AKRF, Inc.

Overall, households in the combined trade area are expected to spend approximately \$600 million in 2015 on all retail goods and services, including automotive and home expenses, such as fuel and rent. About \$200 million of the \$600 million will be spent on a typical array of retail goods commonly used by households, including groceries, clothing, personal care products, as well as spending for entertainment and restaurants. The combined expenditures relevant for a new supermarket, i.e., potential expenditures for grocery stores, is projected to be approximately \$53 million (see ES 1 – line 2).

Intercept and mail surveys helped to characterize potential shoppers and to identify their preferences and consumption behaviors. Socio-economic characteristics of interviewees reaffirmed results from the demographic assessment, while answers to questions about home addresses and mode of travel data to and from supermarkets confirmed the trade area delineation.

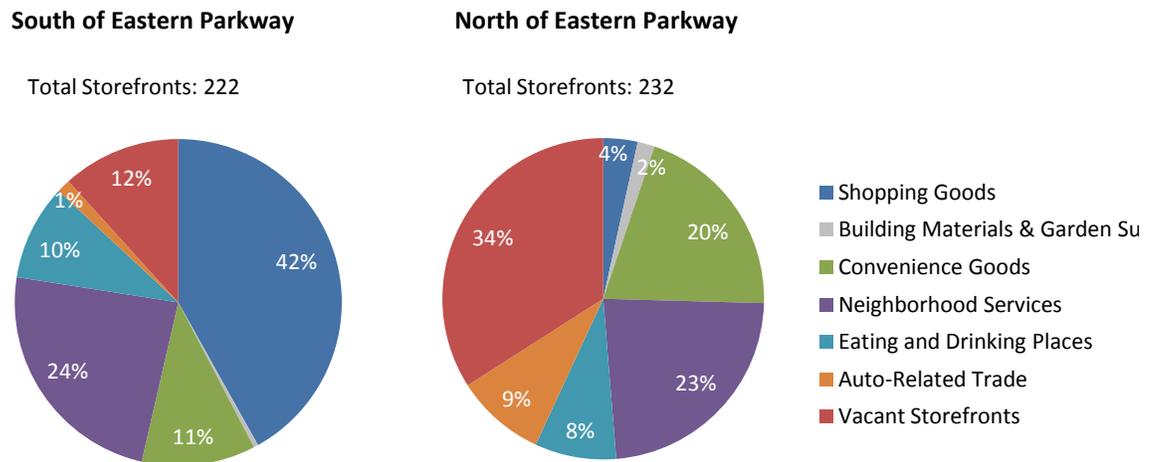
In terms of the preferred local grocery store, 40% of respondents indicated that they shop at the Food Bazaar on St Johns Place. The second most frequented market is Western Beef (15%) located on East New York Avenue, followed by BJ’s Wholesale Club located in Gateway Center near Flatlands Avenue and the Shore Parkway. Many residents supplement their local shopping by frequenting one of these stores, particularly when shopping for items in bulk. Overall, the surveys indicated that there is a major outflow of grocery expenditures from the Primary Trade Area. Approximately 40% of survey participants indicated that they shop at a market outside of the trade area (i.e., BJ’s at Gateway Center, Associated at Schenectady Avenue, Pathmark at Atlantic Center, and other markets).

Most residents are not satisfied with current supermarket offerings. More than 27% of survey participants would like lower prices, while 16% complained about the poor quality of produce and meat at many of the area markets. A broader variety of goods (15%) and better selection of products (12%) was also desired by many residents, while 14% of respondents would like a supermarket closer to where they live. Given the limited parking options at local supermarkets, it was expected that the lack of parking would be perceived as an issue. However, only 2% of respondents indicated desire for better parking options.

In terms of other retail goods and services, 20% of residents would like to have more restaurants in the area. This is particularly an issue north of Eastern Parkway where most of the eating and drinking establishments are takeout restaurants. Many residents also said that the neighborhood lacked pharmacies, doctor’s offices, and apparel stores.

An inventory of retail stores was created for the Primary Trade Area, including the area north of Eastern Parkway in the immediate vicinity of the project site, and south of Eastern Parkway primarily along Pitkin Avenue. This inventory revealed a clear distinction between the two submarkets with a varying composition of stores, vacancy rates and rent levels.

**Figure ES 2:  
Distribution of Retail Storefronts**



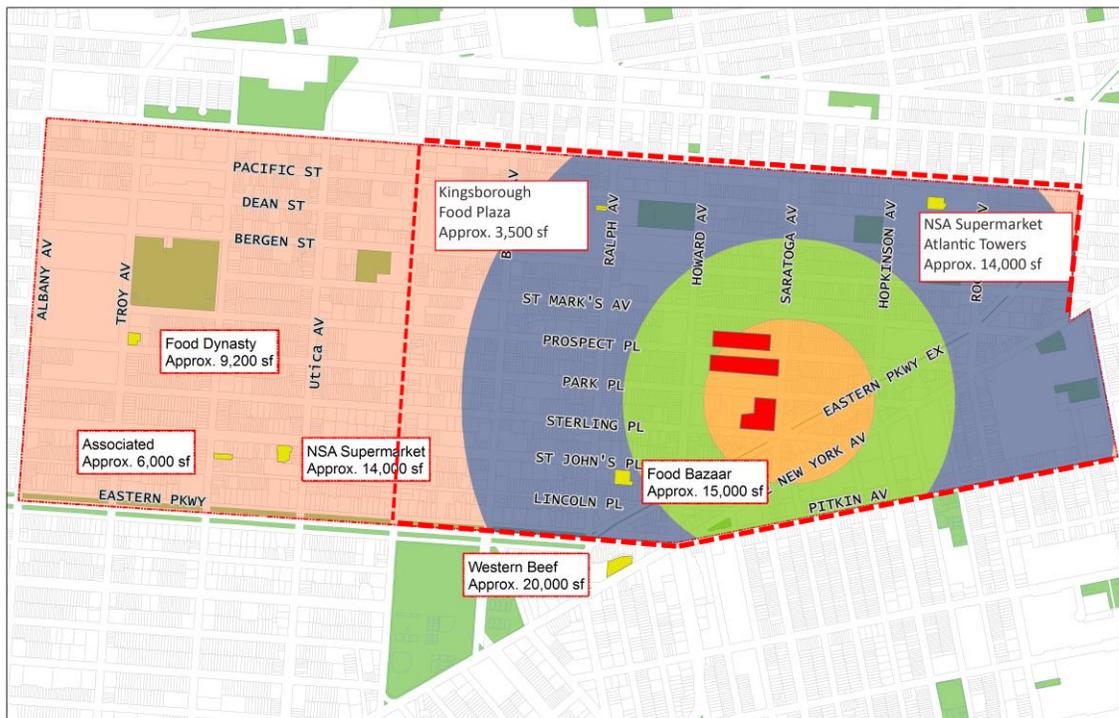
As expected the area south of Eastern Parkway has a much larger share of shopping goods stores, while convenience goods and neighborhood services are the predominant sectors in the area north of Eastern Parkway. Also significant is the difference in the vacancy rate. South of Eastern Parkway only 12% of storefronts were found vacant, while the vacancy rate in the area north of Eastern Parkway was over 34%. Rents per square foot also varied substantially, with rents ranging from \$24 and \$50 on Pitkin Avenue and from \$12 and \$24 in the area north of Eastern Parkway.

Merchants interviewed in the ½-mile study area confirmed that most customers come from nearby neighborhoods and primarily walk or take public transportation to shop. In general, merchants in both subareas feel that crime is an issue but stated that overall business

conditions are fair. Merchants in the area north of Eastern Parkway mentioned the lack of banks, restaurants and pharmacies.

Since residents in the immediate vicinity of Prospect Plaza will generate the vast majority of sales at a potential new supermarket, supply projections focused on supermarkets in the Primary Trade Area. To quantify and characterize supermarket supply conditions, AKRF and G. Lamont Blackstone & Associates conducted a survey of supermarkets in the vicinity of the project site, identified those markets relevant to the analysis, and inspected each store, developing profiles for each market that included square footage, variety and selection of product offered in the store, attractiveness of the displays, cleanliness of the stores, and the general look and feel of the market.

**Figure ES 3:  
Supermarkets within the Primary and Secondary Trade Areas**



Based on field inspections and input from intercept interviews and mail surveys, it was determined that the following full-service supermarkets are currently the primary providers of grocery items for residents in the Primary Trade Area: Food Bazaar, NSA Supermarket (Atlantic Tower), Kingsborough Food Plaza, and Western Beef. The Western Beef on East New York Avenue is considered to supply only part of grocery items demanded by residents in the Primary Trade Area. To estimate annual sales of these four supermarkets, AKRF applied sales per square foot ratios to each store derived from various industry sources and trade publications, and vetted by local real estate professionals.

**Food Bazaar** was the number one supermarket destination mentioned in the intercept interviews and mail surveys. Based on popularity and customer volume observed during field visits, it is estimated that the market is achieving a sales per square feet ratio of \$650 per square foot annually.

The **NSA Supermarket at Atlantic Towers** is at the edge of the Primary Trade Area and not very accessible to the great majority of trade area residents. It appears to cater primarily to the residents of the adjacent towers. The sales-per-square-foot ratio is estimated to be at \$400 per square foot.

The **Kingsborough Food Plaza** is a small grocery store mainly serving residents of Kingsborough Houses, a public housing development operated by New York City Housing Authority. Given its small size and limited product assortment, the sales per square foot ratio is estimated to be about \$300 per square foot.

**Western Beef**, according to the consumer surveys, is used infrequently by residents of the Primary Trade Area and primarily for bulk items. Because of the availability of onsite parking and its location at the edge of the Primary Trade Area, the market is likely to have a broad trade area extending further to the south than other markets in the trade area. As a result, it is estimated that the store only generates 50% of its sales from the Primary Trade Area. The sales-per-square-foot ratio is expected to be at around \$630 per square foot.

**Table ES 2:  
Estimated Sales of Area Supermarkets**

	<b>Square Feet</b>	<b>Sales per Square Foot</b>	<b>Total Sales (annual)</b>	<b>Total Sales Generated by Primary Trade Area (annual)</b>
Food Bazaar	15,000	\$650	\$9,750,000	\$9,750,000
NSA Atlantic Towers	14,000	\$400	\$5,600,000	\$5,600,000
Kingsborough	3,500	\$300	\$1,050,000	\$1,050,000
Western Beef	20,000	\$630	\$12,600,000	\$6,300,000
<b>Total</b>	<b>52,500</b>		<b>\$29,000,000</b>	<b>\$22,700,000</b>

The total sales generated in the four supermarkets by local residents is approximately \$22.7 million annually. Overall, the Primary Trade Area is currently served by 52,500 square feet of grocery store space, which is equal to a ratio of 1.59 square feet per capita. In a study by NYC DCP, a ratio of 3 square feet per resident was considered an adequate level of service.<sup>1</sup>

Currently the population in the Primary Trade Area generates a demand of approximately \$40.5 million for grocery products, while existing supermarkets capture only about \$22.7 million of the population’s potential retail expenditures, which is equal to a capture rate of about 56%. Because of their convenience nature, supermarkets are typically able to capture up to 70% of the available grocery expenditures within their trade area. The relatively low capture rate in the Primary Trade Area indicates a large outflow of supermarket-related expenditures into surrounding areas, as also indicated by intercept surveys.

Over the next five years the trade area population is projected to further increase and the total demand potential for grocery products is expected to reach approximately \$53 million. Without

<sup>1</sup> New York City Department of City Planning with assistance from New York City Economic Development Corporation and the Department of Health, “New York City’s Neighborhood Grocery Store and Supermarket Shortage,” April 2008.

adding new supermarket space to accommodate the anticipated increase in supermarket expenditures, the future capture rate would decline to 43% and further decrease service levels in the area, assuming a continuance in current shopping patterns.

**Table ES 3:  
Current and Future Supermarket Capture Rate  
Without Additional Grocery Space**

Existing Conditions	
Existing demand - Primary Trade Area (2010)	\$40,588,945
Existing supply	\$22,700,000
Current capture rate of retail expenditures	56%
Future Conditions	
Future demand - Primary Trade Area (2015)	\$45,557,291
Future demand - Secondary Trade Area (2015)	\$7,410,006
<i>Future demand total</i>	<i>\$52,967,297</i>
<i>Future capture rate without additional market</i>	<i>43%</i>

To quantify future supermarket space demand, AKRF considered two scenarios. The first scenario assumes that the capture rate of 56% would be retained. The second scenario assumes that the capture rate would increase to 65%, reaching a level that is typically observed in trade areas where the local supermarket and grocery store supply is performing well and adequately meeting demand.

**Table ES 4:  
Future Supermarket Demand**

Square footage supported by psf sales ratio of		
	Retaining the current capture rate	Applying reasonable conservative capture rate
Future capture rate of retail expenditures	56%	65%
Potentially captured by local supermarkets	\$29,661,686	\$34,428,743
Existing supply	\$22,700,000	\$22,700,000
Uncaptured potential	\$6,961,686	\$11,728,743
 \$500 per square foot	 <b>13,923 sqft</b>	 <b>23,457 sqft</b>
\$650 per square foot	<b>10,710 sqft</b>	<b>18,044 sqft</b>

To reflect the potential sales-per-square-foot range, \$500 and \$650 were used to calculate upper and lower limits for the two scenarios. Increasing the current expenditure rate back to its current level 56% would result in additional demand of between 10,700 and 14,000 square feet. Using a capture rate of 65% for groceries would result in additional demand of between 18,000 and 23,500 square feet.

## **Task B**

The preliminary site plan for the Prospect Plaza Redevelopment Project was developed at a NYCHA-sponsored community workshop held in the summer of 2009 and initially included a mix of 360 residential units and approximately 33,000 square feet of retail space. However, during the analysis of retail supply and demand, it became apparent that the cluster of small commercial spaces proposed for Prospect Plaza South along Saratoga Avenue would not be feasible as stand-alone retail stores. Therefore the AKRF team recommended that future retail uses be located only at the Saratoga Park site and not exceed the 23,000 square feet permitted by zoning.<sup>1</sup>

Concentrating the retail space on the Saratoga Park site would be a more viable retail development because: (1) it would create a critical mass of retail uses with the ability to attract more customers to the site; (2) it would locate the retail stores on the site with the highest visibility from Eastern Parkway; (3) it would provide an opportunity to develop surface parking to meet the demands of retailers.

A new supermarket would play the role of the anchor tenant. Based on the conservative market demand scenario developed in Task A, the study recommends a supermarket of approximately 15,000 square feet. The cluster could be co-anchored by a drug store that would occupy approximately 8,000 square feet. Over time, it is expected that anchor tenants will stimulate market demand for a variety of in-line retail services that could begin the revitalization of commercial activity along Saratoga Avenue north of Eastern Parkway, although at rent levels below the nearby Pitkin Avenue retail corridor.

Given the current zoning regulations and the orientation of the redevelopment area, there are only a limited number of options to configure commercial development at the site. The corner of Saratoga Avenue and Sterling Place is most desirable for potential new tenants because it provides the highest visibility from Eastern Parkway (see Figure ES 4). The configuration of the site and the need to maximize visibility may lead to conflicts between anchor and co-anchor.

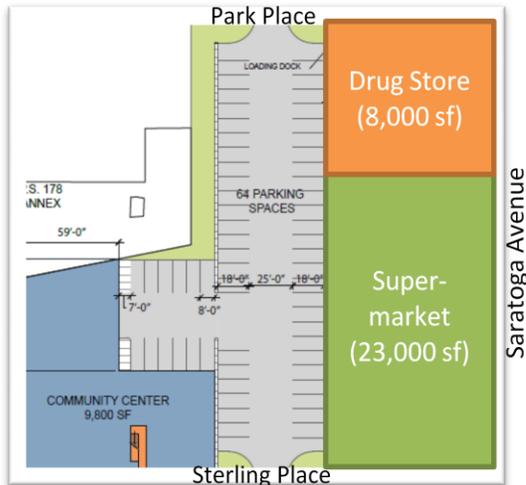
Adequate parking options are essential to the marketability of the site to co-anchor tenants, since access by mass transit is limited. The availability of parking is a particularly important locational factor for drug stores. In addition to parking, the site plan will need to include one loading dock each for the supermarket and drug store.

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<sup>1</sup> It was assumed that the community facility space, which is part of the redevelopment plan, would be constructed by the same entity that develops the commercial space, allowing the developer/owner to take advantage of near market rate rents that could be paid by such occupancy.

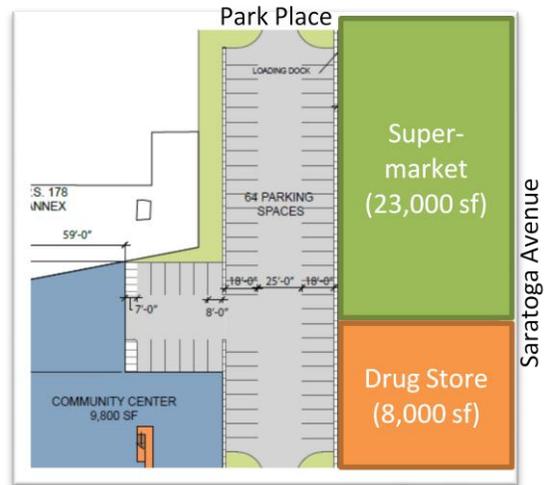
**Figure ES 4:  
Supermarket within the Primary and Secondary Trade Area**

Option 1:



Supermarket at Sterling/Saratoga corner & drug store at Park Place/Saratoga corner

Option 2:



Drug store at Sterling/Saratoga corner & supermarket at Park Place/Saratoga corner

Flexibility, in terms of retail space configuration, will be a very important characteristic when planning for the site so that a range of build-out options could be accommodated. Therefore, the site design needs to maximize bay widths and column spacing, and provide 16-foot ceiling heights to display products more effectively and to enhance the retail ambience.

A condominium ownership structure is recommended for development of the overall site to:

- Distribute and allocate capital costs between the retail and affordable housing component;
- Separate financing for the two development types;
- Decouple potential exit strategies for either the retail or the housing component;
- Facilitate the creation of reciprocal easement agreements (REA)<sup>1</sup>; and
- Facilitate the sale of a space to a grocer, since independent supermarket operators prefer to own their space.

**Key Findings**

A project based on the reasonable scenario’s assumptions could be considered financially feasible by a developer. It would be advantageous if permanent financing could be obtained at a blended cost of funds allowing a spread between the ROTC and the loan interest rate, e.g., capital available at a municipal cost of funds. Unleveraged (i.e., no debt) projected returns

<sup>1</sup> In a commercial real estate environment, a Reciprocal Easement Agreements (REA) is used to document the rights and obligations for a shared facility (e.g., a parking field or lot or roads), to be used by separate ownership interests. Even if housing and retail components for the Prospect Plaza development are developed and later owned by the same entity, an REA may still be required by lenders financing both components separately, to ensure that each has the necessary rights associated with the shared facility. Since the parking plan indicates a need for separate parking for retail and residential uses, rights and obligations may have to be documented via an REA.

provide poor compensation for project risks but subsidized construction and permanent financing would enhance the project returns to the developer.

Assumed rents do not provide a sufficient marginal return on hard costs. Developer equity requirements are high and provide less likelihood of an exit strategy. However, the development of retail amenities on the Saratoga Park site may create value and synergies for the affordable housing component, thus providing some incentive for the housing development budget to subsidize the retail development, particularly if the ownership is the same or related. Local government agencies could set up a public-private partnership to develop the retail component as part of a broader neighborhood strategy.<sup>1</sup>

To facilitate the development process our team recommends the following steps:

- Draft the RFP to allow for development of the commercial condominium by retail developers in partnership with affordable housing developers
- Draft the RFP to allow for purchase and sale takeout of the commercial condominium upon construction completion by investors specializing in retail projects
- Partner with the New York City Economic Development Corporation (NYCEDC) to market the project at International Council of Shopping Centers events including RECon (May 2011) and the New York national show (December 2011)
- Promote the project to trade groups of affordable housing developers
- Promote the project to trade groups of minority developers, e.g., African-American Real Estate Professionals of New York, Inc. (AAREPNY)
- Identify (but do not require) community development corporations operating in the area that might be prospective partners for applicable grant and loan programs, e.g., Dept. of Health and Human Services and LISC
- Allow sufficient response time (e.g., 3 months) in RFP to allow affordable housing developers to seek out partnerships with retail developers and investors
- Require developers to include development budget and cash flow projections in response to RFP to justify estimates of required gap funding
- Include market analysis and survey findings by AKRF/GLBA in RFPs to developers

To obtain project funding and to market the project we recommend the following steps:

- Alert program staff at Dept. of Health and Human Services, USDA, NYS Healthy Food and Healthy Communities Fund, and Empire State Development Corporation to planned retail

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<sup>1</sup> A public-private partnership strategy could entail a quasi-public or special purpose entity that formally collaborates with a developer or retailer to help implement the project, perhaps by funding certain project costs. Examples for the use of public-private partnerships are instances where tax increment financing is used to defray the costs of development or New Market Tax Credits are allocated to a project. In both cases a public-private partnership is needed as an intermediary.

In a broader context, the term would also entail for NYCHA to seek collaboration with other public agencies to promote the project and to ascertain support during project planning and implementation.

and grocery component and vet all coordination issues including funding cycles and underwriting timelines

- Enhance the credit profile and financeability of the project by securing commitment of a City or State agency to execute or guarantee the community center lease
- Alert NMTC allocatees/recipients interested in NYC projects to planned retail and grocery component
- Coordinate project development timelines with any planned program sunsets for funding sources, e.g., NMTC
- discourage the incorporation of uses prohibited by the NMTC program in the RFP
- Alert trade groups serving the supermarket industry to the planned retail and grocery component, e.g., National Supermarkets Association, Korean-American Grocers Association of NY, Food Marketing Institute, Associated Supermarkets, Krasdale, White Rose
- Solicit list of inner-city supermarket operators from United Food and Commercial Workers Union Local 1500
- RFP should mandate that any supermarket lease must meet the space allocation requirements of all applicable subsidy programs

## INTRODUCTION

The New York City Housing Authority (NYCHA) commissioned a study to determine the feasibility of retail space in the Prospect Plaza Redevelopment Project ('the project'). The project includes the redevelopment of three sites. Two of the sites, referred to as Prospect Place North and Prospect Place South, are located north and south of Prospect Place, between Howard and Saratoga Avenues. These two sites are currently occupied by three vacant residential towers, slated to be demolished and redeveloped. A third redevelopment site, referred to as Saratoga Park, consists of a vacant parcel located west of Saratoga Avenue between Prospect Place and Sterling Place. The site was formerly occupied by a residential tower that has been cleared.

Based on a preliminary assessment and the outcome of a community planning workshop conducted by NYCHA in June 2010, a development program and conceptual plan were created for Prospect Place North, Prospect Place South, and Saratoga Park, including approximately 360 new, medium-density residential units across all three sites, and a total of approximately 33,000 square feet of retail space. The Saratoga Park site was intended to house the majority of the commercial space (approximately 23,000 square feet). Based on the conceptual plan developed in the community planning workshop and a supermarket study conducted by AECOM in 2010, which identified the lack of fresh produce as a major issue in the Ocean Hill area,<sup>1</sup> NYCHA is strongly considering a supermarket as the potential anchor tenant at Saratoga Park. The remaining retail space (approximately 10,000 square feet) was intended to be located along the east side of Prospect Place South and was to be comprised of roughly 2,000 square foot retail bays, available for smaller "inline" neighborhood retailers.

To assess the market and programmatic feasibility of the new retail space, NYCHA engaged AKRF, Inc. and G. L. Blackstone & Associates to study the overall market demand for retail uses to be incorporated into the development and to provide recommendations on implementing the retail uses.

The analysis included a comprehensive inventory of existing retail conditions, an assessment of physical conditions, extensive shopper and merchant surveys, a demographic profile of the trade area population, and an evaluation of competitive retail locations within the vicinity of the project. A financial feasibility assessment (pro forma analysis) was conducted to identify the most suitable composition of retail categories and physical programming. Results of the analyses, recommendations, and implementation guidelines are described below.

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<sup>1</sup> AECOM, "NYC Full Service Grocery Store Analysis," prepared for NYC Department of Health and Mental Hygiene, May 27, 2010.

## TASK A

### A I DEMAND ANALYSIS

#### Trade Area

A trade area delineates a geographic area that generates the majority of repeat customers who frequent a certain retail location or cluster. It is typically defined by distance, access, and neighborhood or physical boundaries, and by the location of retail competitors. Based on the behavior of shoppers observed at retail projects with supermarkets in New York City, the primary trade area is not expected to extend beyond a ½-mile radius from the site. This is the typical distance that people are willing to walk when shopping for groceries or other everyday items, i.e., convenience goods. In addition, the Prospect Plaza trade area is limited by major arteries such as Eastern Parkway and Atlantic Avenue, which act as physical barriers and separate distinct neighborhoods (e.g., Bedford-Stuyvesant from Ocean Hill). The Primary Trade Area typically supplies 70 to 80 % of the repeat customers to a store or retail concentration within the trade area. The remainder of the customer base would come from the Secondary Trade Area, which in this case principally extends about one mile east of the project site. Because of the extended distance, repeat customers from the secondary trade area would likely be limited to those residents who own a vehicle and could more conveniently travel to the project site. Figure 1 displays the two distinct trade areas delineated for the study.

**Figure 1:**  
**Prospect Plaza Primary and Secondary Trade Areas**



## Demographic Profile

### *Population and Population Trends*

Based on Census data, the combined trade area had approximately 45,400 residents in 2000, with 27,400 living in the Primary and 18,000 living in the Secondary Trade Area. Households in the Primary Trade Area included on average 2.68 persons, where as households in the Secondary Trade Area included on average 2.86 persons. To determine growth over the past decade, AKRF used data provided by ESRI, a commercial data provider, and also consulted data provided by the New York City Department for Housing Preservation and Development (HPD) and the New York City Department of City Planning (DCP). Based on the combined data sources, the overall trade area population grew by more than 16% between 2000 and 2010 (see Table 1). The highest growth occurred in the Primary Trade Area. Here both population and the number of households grew by approximately 22%, or 10,870 people and 2,250 households, respectively. In contrast, the Secondary Trade Area's population and households grew by only about 8%. The household size for each trade area remained virtually the same between 2000 and 2010. The population density of the Primary Trade Area illustrates its substantial market potential. Based on its 2010 population, it has a density of 58,000 people per square mile. In comparison, the population density for all of Brooklyn is only about 36,000 people per square mile.

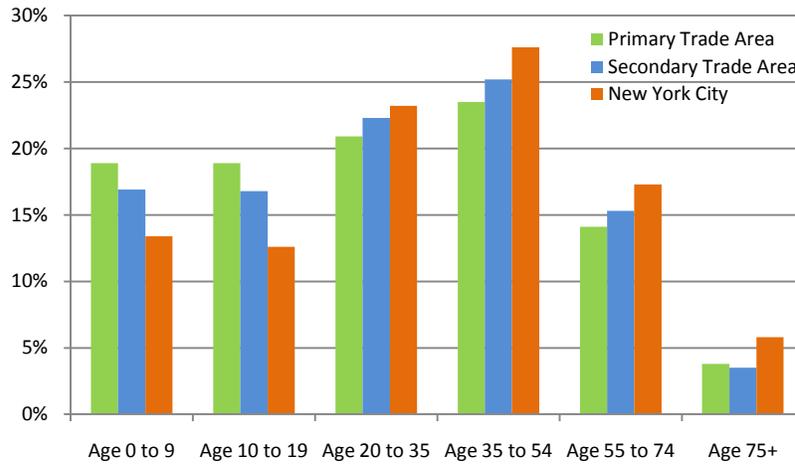
**Table 1:**  
**Population and Population Growth, 2000 and 2010**

Primary Trade Area	2000	2010	Growth
Population	27,371	33,382	21.96%
Households	9,970	12,219	22.56%
HH Size	2.68	2.68	0.00%
Secondary Trade Area			
Population	18,051	19,483	7.93%
Households	6,288	6,833	8.67%
HH Size	2.86	2.84	-0.70%
Total			
Population	45,422	52,865	16.39%
Households	16,258	19,052	17.19%
HH Size	2.79	2.77	-0.72%

### *Age Distribution*

Compared with the entire population of New York City, the Primary and Secondary Trade Area populations are much younger. Figure 2 illustrates the differences in age cohorts for the three areas. Almost 40% of the Primary Trade Area population is under the age of 20, compared with about 26% of New York City residents. At the same time, both trade areas have a smaller portion of people at the other end of the age spectrum, with a substantially smaller share of residents age 75 and over.

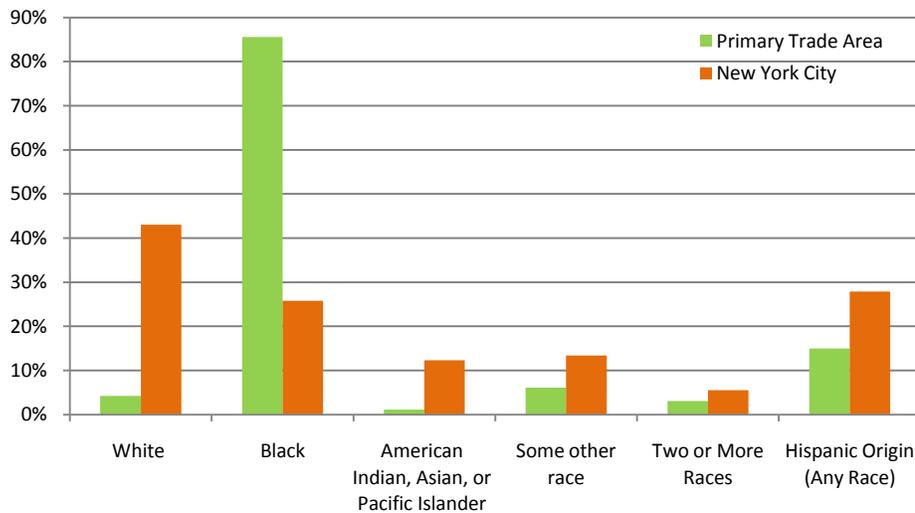
**Figure 2:  
Age Distribution:  
Primary and Secondary Trade Area and New York City, 2010**



*Racial Distribution*

Compared with New York City as a whole, the Primary Trade Area is less diverse, with the vast majority of the population (85%) being Black or African American. At the same time, more than 15% of the population in the Primary Trade Area consider themselves Hispanic.

**Figure 3:  
Race Distribution:  
Primary and Secondary Trade Area and New York City, 2010**



*Population by Ethnicity (2000)*

Addressing the cultural and food-specific needs of the trade area population will be crucial for a new supermarket. Many of the residents in the trade areas are foreign born. Based on 2000 Census data, 24% of the population in the Primary Trade Area and 37% of the population in the Secondary Trade Area was foreign born.

**Figure 4:  
Place of Origin:  
Primary and Secondary Trade Area and New York City, 2000**

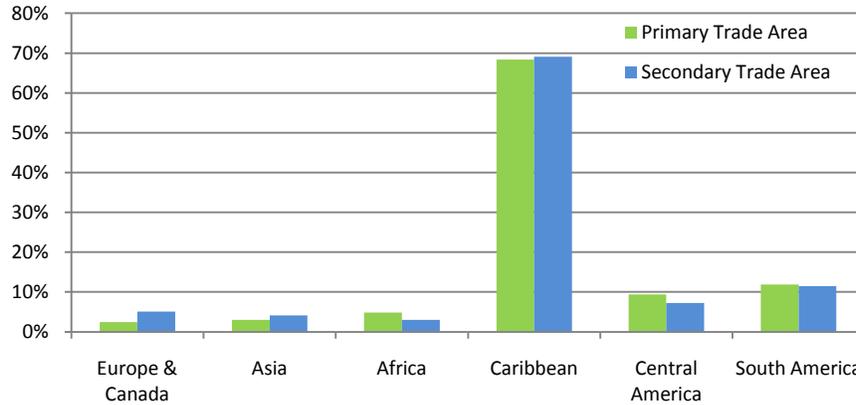
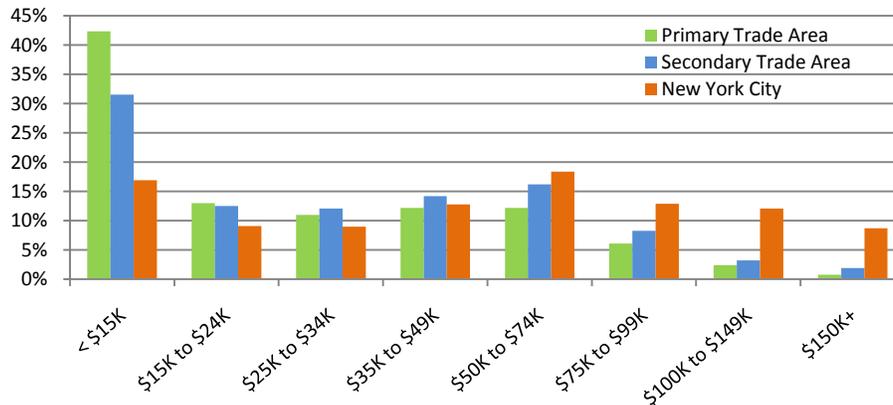


Figure 4 shows that the vast majority of the foreign-born population (approximately 90%) comes from Latin America. Residents born in the Caribbean represent the largest portion within the Latin American group (approximately 70%).

*Households by Income*

Figure 5 illustrates the differences in annual household income between the two trade areas and New York City. While in New York City the share of households within each income cohort ranges between 8% and 18%, low-income extremes are much more pronounced for the Primary and Secondary Trade Area. Figure 5 illustrates the distribution of wealth in the trade areas.

**Figure 5:  
Household Income:  
Primary and Secondary Trade Area and New York City, 2010**

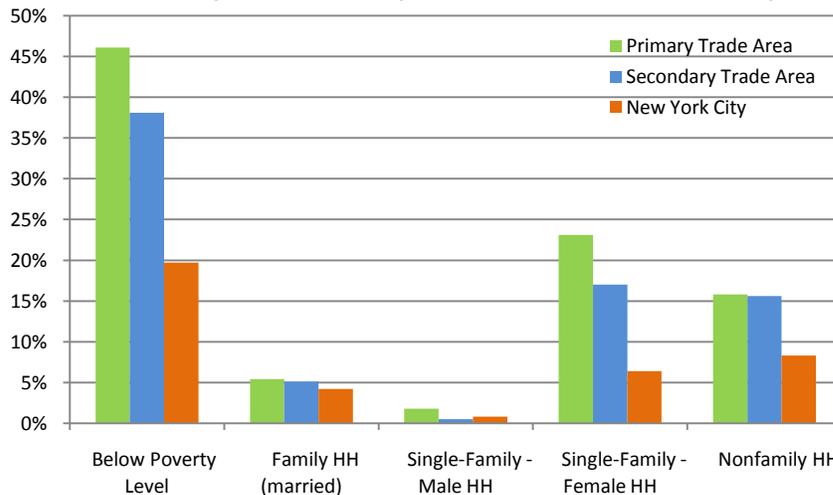


The Secondary Trade Area population is more affluent than the Primary Trade Area population, with fewer households in the lowest income category (less than \$15,000) and more households in the middle-income categories (\$50,000 to \$100,000). Overall, more than 40% of Primary Trade Area households earn \$15,000 or less per year, compared with approximately 30% in the Secondary Trade Area. At the other end of the income spectrum, only 9% of households in the Primary Trade Area and 13% in the Secondary Trade Area earn more than \$75K, compared to 34% of households in New York City as a whole.

*Households below the Poverty Level (2000)*

Figure 6, which shows the share of households below the poverty line in 2000, further demonstrates the low income profile of the trade area residents. In 2000, more than 45% of households in the Primary Trade Area and 38% in the Secondary Trade Area were below the poverty level, compared with only about 20% in all of New York City. Single-family households with female heads of household and nonfamily households<sup>1</sup> represented the largest share of households below the poverty line in both trade areas. Results from intercept interviews and mail surveys indicate that approximately 50% of residents in the combined study area are food stamp recipients, supporting the findings from the poverty data (see Figure 6 below).

**Figure 6:  
Households below Poverty Level by Family Status:  
Primary and Secondary Trade Area and New York City, 2010**

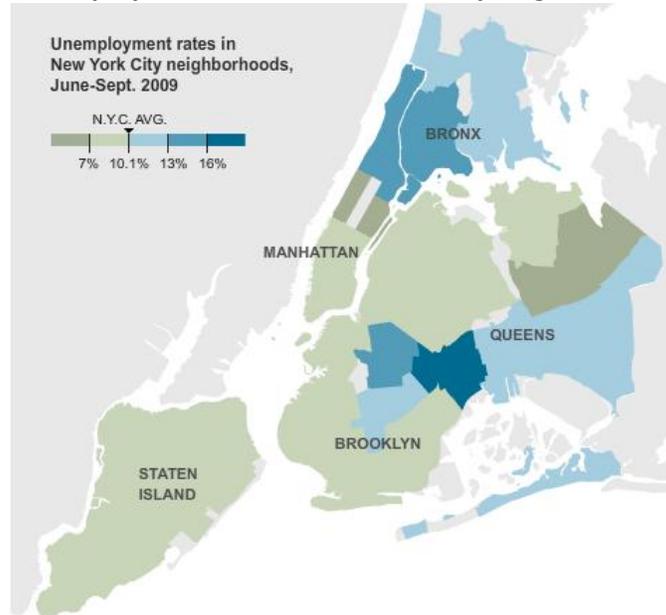


*Unemployment*

Recent employment data identifies the area as one of those hardest hit by high unemployment. According to an article in *The New York Times* in December 2009, Community Board Districts 5 and 16, which include the neighborhoods of Ocean Hill and Brownsville, had an unemployment rate of 19.2%—double the New York City average. It should be noted that this percentage does not include so-called shadow unemployment, which includes people who are unemployed but are not actively looking for new employment.

<sup>1</sup> A nonfamily household consists of a householder living alone (a one-person household) or where the householder shares the home exclusively with people to whom he/she is not related.

**Figure 7:**  
**Unemployment Rates in New York City neighborhoods**



Source: Patrick McGeehan, "A Localized Breakdown of Joblessness in New York," *New York Times*, December 29, 2009.

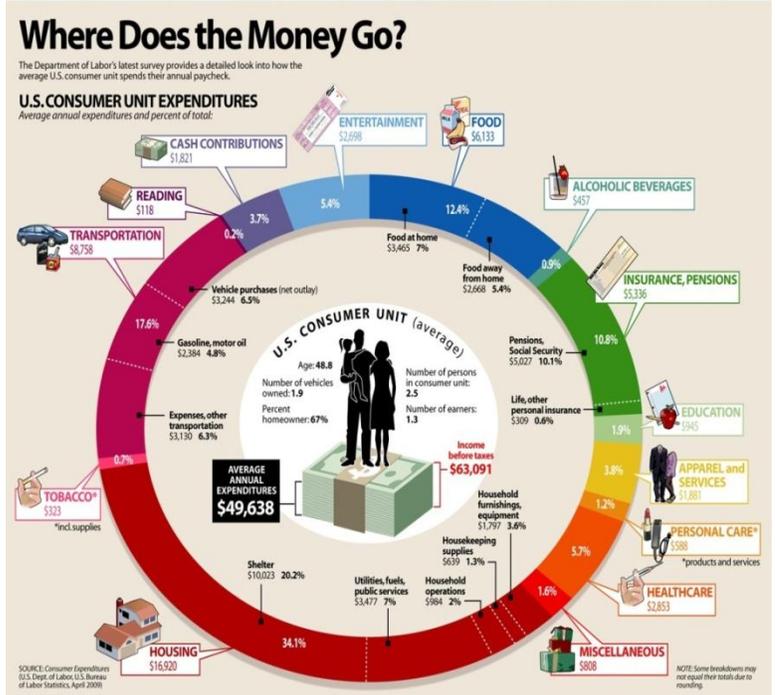
## Demand Projection

### *Methodology*

To project potential demand for new retail products and services at the redevelopment site, AKRF used a combination of data sources. Current demographic projections were obtained from ESRI, while data from HPD and DCP were used to identify recent trends and calibrate demographic projections. Expenditure projections are based on the Consumer Expenditure Survey (CES), a Bureau of Labor Statistics (BLS) program that consists of quarterly surveys to gather information on the buying habits of American consumers, including data on their expenditures, income, and consumption preferences. AKRF had initially used ESRI expenditure and sales projections but discovered major discrepancies between data and on-the-ground information. Because of these discrepancies, AKRF developed a retail expenditure gap model from the ground up, based on consumer expenditures reported by the BLS. The agency classifies and categorizes data based on major regions (e.g., Northwest, Southeast, and Northeast), household income, or family size. Unfortunately most of these variables cannot be queried across the various categories.

Average expenditure patterns for low-income households in the U.S. were used as the starting point for the analysis. Since the low-income household expenditures represent national averages, these expenditures were adjusted to reflect the higher prices prevalent in the Northeast and New York City in particular. The average household size was adjusted to account for the larger household size in the study area. The flow chart in Figure 9 describes the demand projection process.

**Figure 8:**  
**Consumer Expenditure Categories, Averages for the United States**

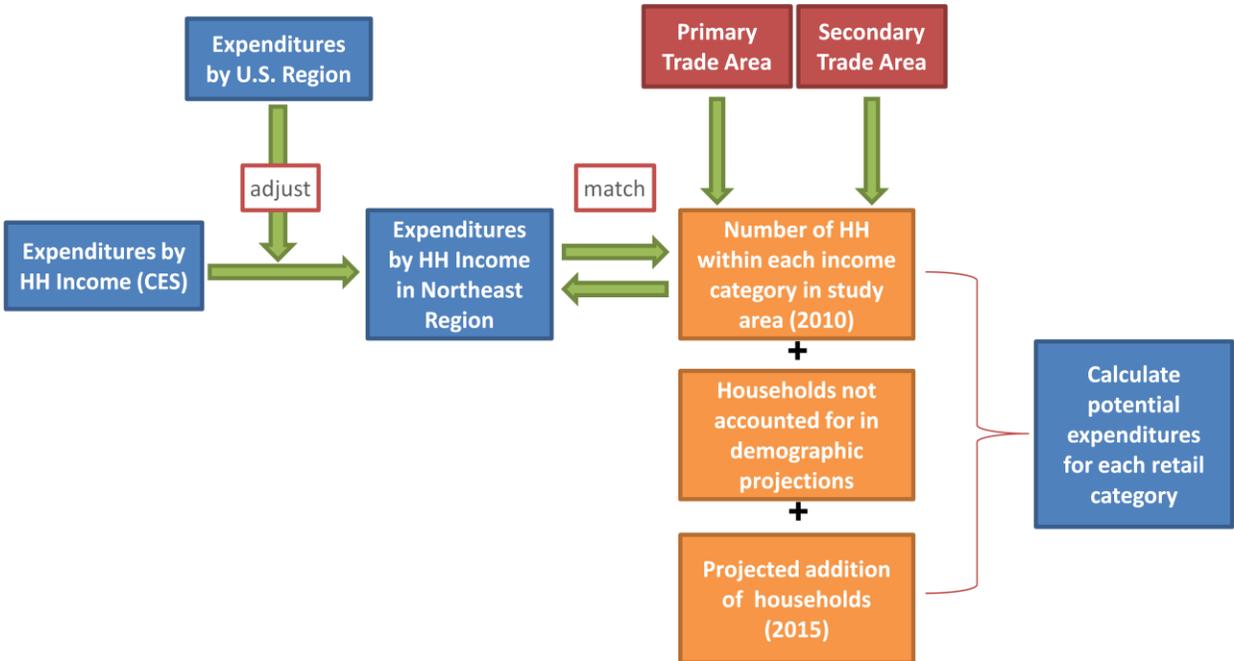


Source: Consumer Expenditure Survey, Department of Labor, Bureau of Labor Statistics, 2011

To capture the area’s growth over the past decade, AKRF identified new households in the study area by household income category, using ESRI 2010 demographic projections. To check the accuracy of the projections, we compared the 2010 commercial estimates with HPD on-the-ground development data and DCP’s block and lot database. Based on the comparison, growth estimates were updated.

AKRF then calculated the expenditure potential of the residential populations in the Primary and Secondary Study Area by multiplying expenditures for selected retail categories with the number of households, stratified by household income. Since the Secondary Trade Area includes an area that is beyond what is considered a reasonable walking distance, its demand potential was only determined for the portion of households owning a vehicle (based on Census data) that could potentially drive to a store at the Prospect Plaza site.

**Figure 9:  
Demand Projections Flow Chart**



Source: AKRF, Inc.

To represent conditions at the completion of the redevelopment project, units proposed for the Prospect Plaza Project and known no-build projects were added to the 2010 base line (see Appendix A 6). Table 2 shows the number of households within each income category for the Primary and Secondary Trade Area.

**Table 2:**  
**Households Stratified by Income for Primary and Secondary Trade Area**

Primary Study Area							
Existing Demand	<\$15K	\$15K - \$24K	\$25K - \$34K	\$35K - \$49K	\$50K - \$74K	> \$75K	Total
Existing Households (ESRI)	4,599	1,412	1,196	1,324	1,324	1,010	10,865
Adjusted Demand (affordable)	70	97	141	113	51	9	481
Adjusted Demand (free market)	-	-	131	261	261	218	871
<b>Future Demand</b>							
Future Additions (Prospect Plaza)	152	47	40	44	44	33	360
Future Additions (No-Build Projects)	96	29	25	28	28	21	226
<b>Total Primary Trade Area</b>	<b>4,917</b>	<b>1,585</b>	<b>1,532</b>	<b>1,769</b>	<b>1,708</b>	<b>1,291</b>	<b>12,803</b>
Secondary Study Area							
Existing Demand	<\$15K	\$15K - \$24K	\$25K - \$34K	\$35K - \$49K	\$50K - \$74K	> \$75K	Total
Existing Households (ESRI)	2,052	816	789	925	1,054	870	6,503
Adjusted Demand (free market)	-	-	31	62	62	52	206
<b>Future Demand</b>							
Future Additions (ESRI 2015 projection)	40	16	15	18	20	17	126
<b>Total Primary Trade Area</b>	<b>2,092</b>	<b>832</b>	<b>835</b>	<b>1,005</b>	<b>1,136</b>	<b>938</b>	<b>6,835</b>
<b>Grand Total</b>	<b>7,009</b>	<b>2,417</b>	<b>2,368</b>	<b>2,774</b>	<b>2,844</b>	<b>2,230</b>	<b>19,638</b>

Source: Consumer Expenditure Survey, ESRI, and AKRF, Inc.

Table 3:

Expenditure Demand Potential for Primary and Secondary Trade Area

	<\$15K	\$15K - \$24K	\$25K - \$34K	\$35K - \$49K	\$50K - \$74K	> \$75K	Total
<b>Primary Study Area</b>							
<b>Households</b>	4,917	1,585	1,532	1,769	1,708	1,291	12,803
Average total annual expenditures	\$ 102,439,035	\$ 41,249,043	\$ 54,951,310	\$ 76,833,449	\$ 91,701,439	\$ 116,332,371	\$ 518,319,125
Grocery Stores	\$ 12,908,020	\$ 4,072,188	\$ 4,915,385	\$ 6,408,442	\$ 6,909,730	\$ 7,283,708	\$ 45,557,291
Restaurants	\$ 5,977,743	\$ 1,708,713	\$ 2,742,343	\$ 4,005,338	\$ 5,098,173	\$ 6,541,461	\$ 27,951,082
Home Improvement	\$ 4,088,760	\$ 1,688,766	\$ 2,054,024	\$ 2,775,627	\$ 3,417,840	\$ 4,710,607	\$ 20,084,589
Apparel/Clothing	\$ 4,545,907	\$ 1,257,460	\$ 1,824,484	\$ 2,442,050	\$ 2,837,465	\$ 3,801,817	\$ 17,912,245
Health & Personal Care	\$ 3,829,095	\$ 1,654,246	\$ 2,046,728	\$ 2,846,095	\$ 3,256,064	\$ 3,629,896	\$ 18,504,996
Entertainment	\$ 5,142,798	\$ 1,758,777	\$ 2,734,974	\$ 3,650,615	\$ 4,582,533	\$ 6,279,673	\$ 25,888,126
Other convenience	\$ 3,395,592	\$ 1,245,926	\$ 1,749,005	\$ 2,287,700	\$ 2,562,836	\$ 2,609,942	\$ 14,848,273
<b>Grand Total</b>	<b>\$ 39,887,914</b>	<b>\$ 13,386,076</b>	<b>\$ 18,066,944</b>	<b>\$ 24,415,867</b>	<b>\$ 28,664,641</b>	<b>\$ 34,857,104</b>	<b>\$ 170,746,602</b>
<b>Secondary Study Area</b>							
<b>Households</b>	2,092	832	835	1,005	1,136	938	6,835
Percent owning a vehicle	29%						
Total with vehicle	607	241	242	291	330	272	1,982
Average total annual expenditures	\$ 12,698,370	\$ 6,278,011	\$ 8,685,191	\$ 12,652,167	\$ 17,689,330	\$ 24,515,394	\$ 88,459,791
Grocery Stores	\$ 1,592,540	\$ 619,778	\$ 776,889	\$ 1,055,278	\$ 1,332,896	\$ 1,534,938	\$ 7,410,006
Restaurants	\$ 737,510	\$ 260,062	\$ 433,434	\$ 659,559	\$ 983,444	\$ 1,378,520	\$ 4,773,112
Home Improvement	\$ 504,455	\$ 257,026	\$ 324,644	\$ 457,063	\$ 659,306	\$ 992,693	\$ 3,425,240
Apparel/Clothing	\$ 560,856	\$ 191,383	\$ 288,364	\$ 402,133	\$ 547,351	\$ 801,179	\$ 2,992,236
Health & Personal Care	\$ 472,418	\$ 251,772	\$ 323,490	\$ 468,667	\$ 628,099	\$ 764,949	\$ 3,118,872
Entertainment	\$ 634,498	\$ 267,682	\$ 432,269	\$ 601,147	\$ 883,977	\$ 1,323,352	\$ 4,441,215
Other convenience	\$ 418,935	\$ 189,627	\$ 276,435	\$ 376,716	\$ 494,374	\$ 550,008	\$ 2,472,133
<b>Total</b>	<b>\$ 4,827,672</b>	<b>\$ 1,998,606</b>	<b>\$ 2,803,257</b>	<b>\$ 3,948,842</b>	<b>\$ 5,430,064</b>	<b>\$ 7,213,681</b>	<b>\$ 28,110,114</b>
<b>Total Households (SUMMARY)</b>							
<b>Households</b>	7,009	2,417	2,368	2,774	2,844	2,230	19,638
Average total annual expenditures	\$ 115,137,405	\$ 47,527,053	\$ 63,636,500	\$ 89,485,615	\$ 109,390,768	\$ 140,847,765	\$ 606,778,915
Grocery Stores	\$ 14,500,560	\$ 4,691,966	\$ 5,692,274	\$ 7,463,720	\$ 8,242,626	\$ 8,818,646	\$ 52,967,297
Restaurants	\$ 6,715,253	\$ 1,968,775	\$ 3,175,777	\$ 4,664,897	\$ 6,081,617	\$ 7,919,981	\$ 32,724,193
Home Improvement	\$ 4,593,215	\$ 1,945,793	\$ 2,378,667	\$ 3,232,690	\$ 4,077,146	\$ 5,703,300	\$ 23,509,830
Apparel/Clothing	\$ 5,106,763	\$ 1,448,842	\$ 2,112,849	\$ 2,844,183	\$ 3,384,816	\$ 4,602,996	\$ 20,904,481
Health & Personal Care	\$ 4,301,513	\$ 1,906,019	\$ 2,370,219	\$ 3,314,761	\$ 3,884,163	\$ 4,394,844	\$ 21,623,869
Entertainment	\$ 5,777,296	\$ 2,026,459	\$ 3,167,244	\$ 4,251,762	\$ 5,466,510	\$ 7,603,025	\$ 30,329,342
Other convenience	\$ 3,814,526	\$ 1,435,553	\$ 2,025,439	\$ 2,664,416	\$ 3,057,210	\$ 3,159,951	\$ 17,320,406
<b>GRAND TOTAL</b>	<b>\$ 44,715,586</b>	<b>\$ 15,384,682</b>	<b>\$ 20,870,201</b>	<b>\$ 28,364,709</b>	<b>\$ 34,094,705</b>	<b>\$ 42,070,785</b>	<b>\$ 198,856,717</b>

Source: Consumer Expenditure Survey, ESRI, and AKRF, Inc.

Table 4 shows a summary of the end results of the process described in Figure 9. The table displays expenditures for each household income and major consumer retail category for the Primary and Secondary Trade Area. Expenditures for the Secondary Trade Area include only potential expenditures for households that own vehicles.

*Demand Summary*

Based on AKRF’s projections, households in the combined trade area are expected to spend approximately \$600 million in 2015 on all retail goods and services, including automobiles and home expenses, such as rent (see Table 3 and Table 4). About \$200 million of the \$600 million will be spent on a typical array of retail goods commonly used by households, including groceries, clothing, personal care products, as well as spending for entertainment and restaurants.

**Table 4:**  
**Summary of Expenditure Demand Potential for Combined Trade Area**

Expenditures	Total
Average total annual expenditures <sup>1</sup>	\$ 606,778,915
Grocery Stores	\$ 52,967,297
Restaurants	\$ 32,724,193
Home Improvement	\$ 23,509,830
Apparel/Clothing	\$ 20,904,481
Health & Personal Care	\$ 21,623,869
Entertainment	\$ 30,329,342
Other convenience	\$ 17,320,406
<b>GRAND TOTAL (selected categories)</b>	<b>\$ 198,856,717</b>

<sup>1</sup>Note: Includes all consumer expenditures, including rent and automobiles.

Source: Consumer Expenditure Survey, ESRI, and AKRF, Inc.

The combined expenditures relevant for a new supermarket, i.e., potential expenditures for grocery stores, is projected to be approximately \$53 million (see Table 4).

### Customer Profile (from Customer Surveys and Interviews)

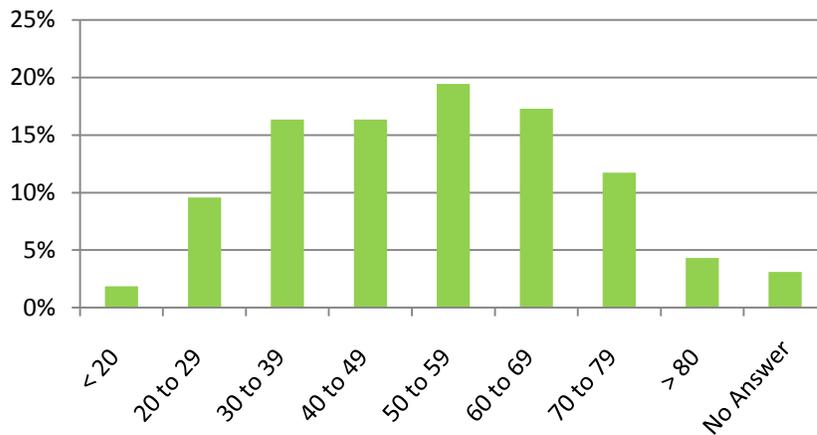
While the demographic assessment and the demand projections provide a macro-view of the entire population within the trade area, the customer profile drills down in effort to develop a finer-grained picture of potential customers at the future retail stores at Prospect Plaza. The profile sheds light on shopping and consumption preferences and desires of future customers. Although the demographic assessment provides some clues about potential preferences, e.g., based on age or place of origin, a much more reliable and accurate customer profile was developed by surveying and interviewing the trade area population.

To obtain input from potential customers and residents in the area, NYCHA and AKRF conducted extensive intercept surveys, interviewing pedestrians in various locations throughout the trade area. In addition, surveys were mailed to area residents, and an online survey tool was developed to further extend the outreach to local residents and potential customers. Survey questions and forms are attached in the Appendix. Interviews and surveys were conducted over a 6-week time frame, between January 6 and February 15, 2011. Combined, the intercept and mail surveys yielded more than 420 responses (150 intercept surveys, 260 mail surveys, and 15 online responses). Information gathered from customer surveys about shopping patterns, spending habits, customers' likes and dislikes, and hopes for future shopping resources was supplemented with merchant interviews. Although the surveys closely reflect the residential population in the trade area, they cannot be considered a true representative sample because mailed surveys were sent to residents of subsidized housing only (for survey form see Appendix A 1).

#### *Sex and Age*

Of the more than 400 respondents, 62% were female and 23% male; 15% did not provide an answer. This distribution likely reflects decision-making patterns in the households, where women tend to be responsible for meal planning. The majority of respondents were between 30 and 70 years old (70%). See Figure 10.

**Figure 10:**  
**Age Distribution of Respondents**

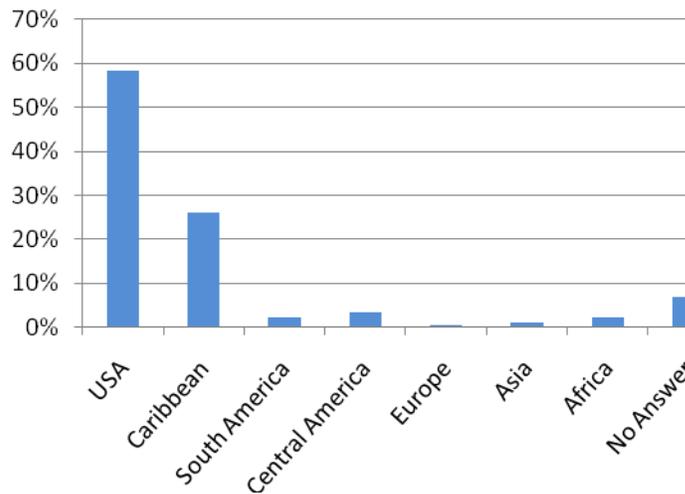


### *Race and Place of Origin*

The racial distribution of respondents is in line with results from the demographic analysis. More than 74% of survey respondents considered themselves black or African American, while 15% described themselves as Hispanic.

Since the demographic profile identified a large share of foreign-born residents, the survey asked participants for their place of origin. About 35% of respondents indicated that they were not born in the U.S. The vast majority of respondents were from Latin America, with 26% originating in the Caribbean and 5% in South and Central American. See Figure 11.

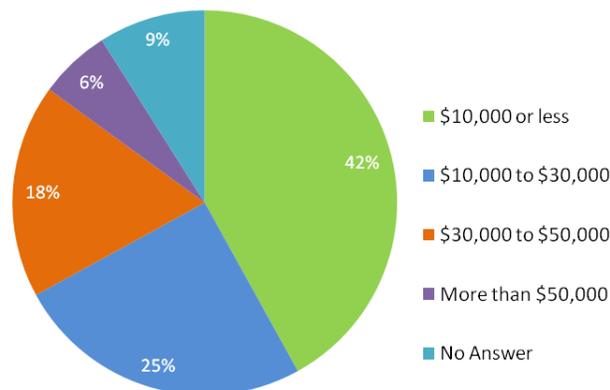
**Figure 11:**  
**Distribution by Place of Origin**



### *Economic Characteristics*

Income characteristics of survey participants confirm results from the demographic profile. Overall, respondents are much less affluent than residents across New York City. Figure 12 illustrates that approximately two-thirds of responding households earn less than \$30,000 per year.

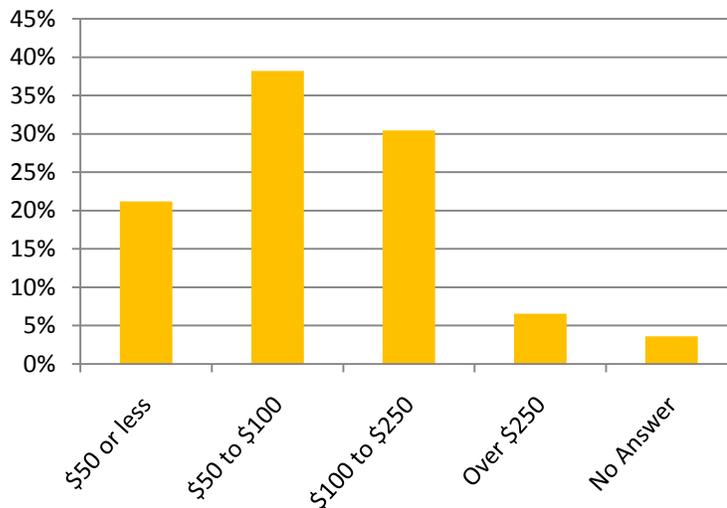
**Figure 12:**  
**Household Income Distribution**



The group earning less than \$10,000 per year is the largest, exceeding 42% of total respondents. Only about 6% of respondents indicated their earnings at more than \$50,000 per year. Many of those surveyed use food stamps either as a sole source to purchase groceries or to supplement their incomes. Approximately 52% of respondents indicated using food stamps to shop for groceries, while 45% used cash. Only 3% of survey participants declined to answer this question.

In terms of weekly spending, 55% of people surveyed indicated spending of \$100 or less per week on groceries, with about 20% spending less than \$50 per week. An additional 30% of respondents spend between \$100 and \$250 per week on grocery items (see Figure 13).

**Figure 13:  
Per Week Grocery Spending**



*Where people live*

The vast majority of respondents live in Zip Codes 11233 and 11213 (see Figure 14). Of the 420 respondents, 54% live in the same zip code as Prospect Plaza, 16% of live in the adjacent zip code west of the Primary Trade Area, and only 8% of live south of Eastern Parkway. This distribution is not surprising since mail surveys were mainly sent to developments within these two zip codes. However, intercept surveys provided a very similar picture, with the majority of people living in the area north of Eastern Parkway and only a few shoppers crossing Eastern Parkway to shop. Given the strong presence of the retail cluster on Pitkin Avenue and availability of supermarkets on Pitkin Avenue (NSA), East New York Avenue (Western Beef) and 98<sup>th</sup> Street (C-Town), residents have no major reason to cross over Eastern Parkway and into the Primary Trade Area to shop, particularly for grocery items. This confirms the trade area delineated for the analysis and emphasizes the neighborhood-based characteristics of local retail clusters.

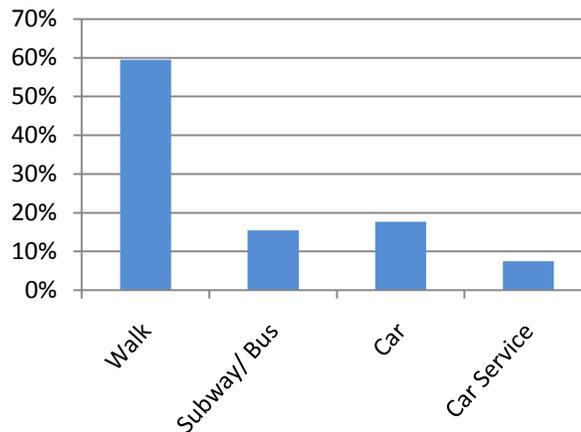
**Figure 14:  
Respondents by Zip Code**



*Mode of Transportation*

The mode of transport people predominantly use to get to their preferred supermarkets is walking, confirming the Primary and Secondary Trade Area definitions presented on pages 2-3. Approximately 60% of respondents walk to the store of their choice when shopping for groceries. About 15% use public transportation and 17% drive to do their grocery shopping. Only about 7% use a car service to travel to the supermarket. See Figure 15.

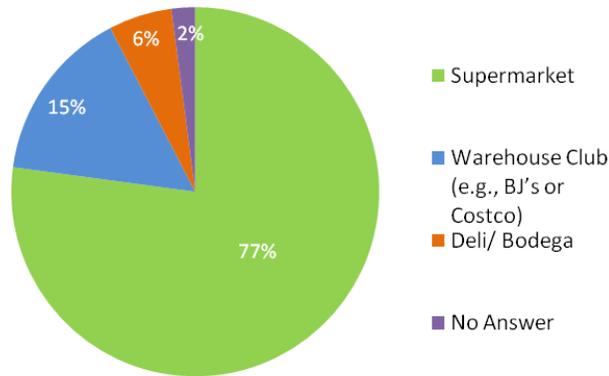
**Figure 15:  
Mode of Transportation**



*Preferred Type of Market*

The vast majority of shoppers get their groceries from a supermarket (78%). More than 15% shop at a warehouse club such as BJ's or Costco, while only about 5% conduct their shopping at a local deli or bodega. Many shoppers indicated that they shop at both a warehouse club and their local supermarket for grocery and personal care items. Shoppers indicated that they visit warehouse clubs about once per month to stock up on bulk items, while weekly produce needs are satisfied by the local supermarket. See Figure 16.

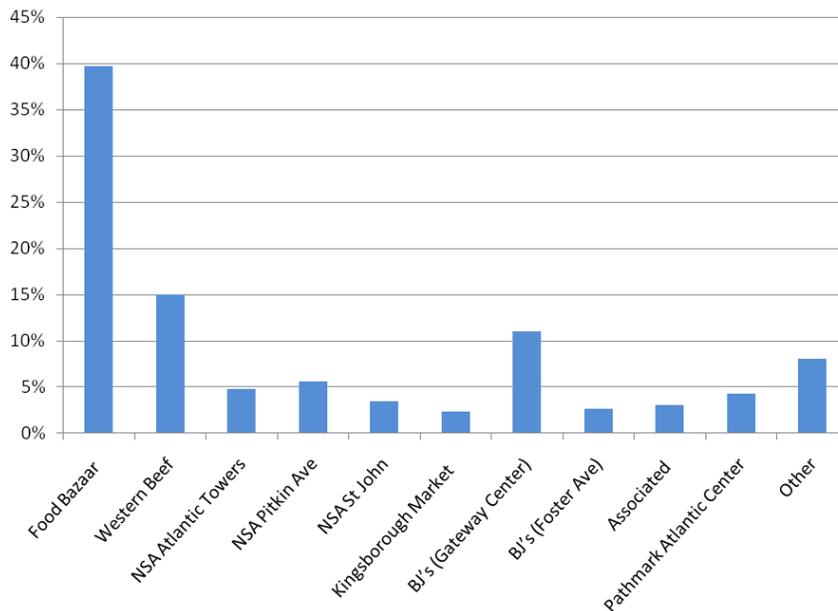
**Figure 16:  
Preferred Type of Market**



*Preferred Supermarket*

In addition to identifying their preferred type of store for grocery shopping, participants were also asked to name their preferred supermarket in the area. The Food Bazaar on St. John's Place, between Howard and Ralph Avenues, is the most popular market in the trade area. More than 40% of respondents shop at this particular market on a regular basis. See Figure 17.

**Figure 17:  
Preferred Supermarket**



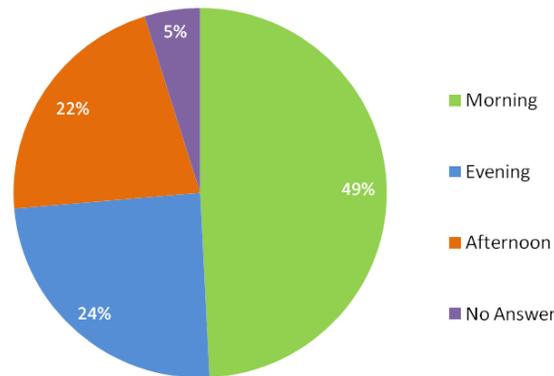
The second most frequented market is Western Beef (15%), followed by BJ's at Gateway Center. Based on the survey, almost 35% the respondents supplement their daily shopping by frequenting one of the BJ's in Brooklyn or the Western Beef market on East New York Avenue, which also offers many items in bulk. Although it is within walking distance, the NSA supermarket on Pitkin Avenue does not receive many customers from the neighborhood north of Eastern Parkway (5%).

Figure 17 shows that there is currently a major outflow of grocery expenditures from the Primary Trade Area. Approximately 40% of survey participants indicated that they shop at a market outside of the trade area (i.e., BJ’s at Gateway Center and Foster Avenue, Associated, Pathmark at Atlantic Center, and other markets).

*Preferred Time to Shop*

There is no clear preference to shop either on a weekday or the weekend, but the majority of respondents (73%) prefer to shop during the day (morning or afternoon), with half of participants shopping in the morning. See Figure 18.

**Figure 18:**  
**Preferred Time to Shop**

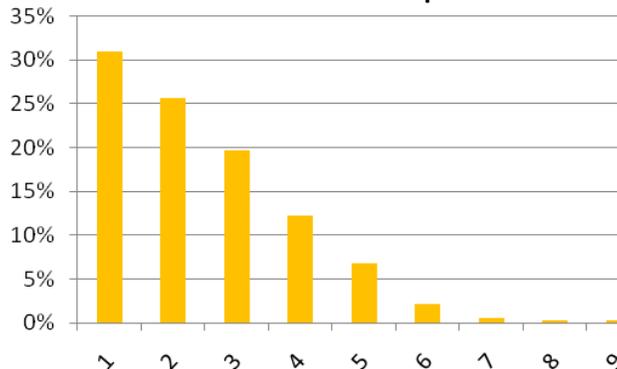


*Number of People in Household*

The demographic profile indicated that the average household size in the Primary Trade Area is 2.7 people per household. Based on the survey, approximately 75% live in households with three people or less. Approximately 45% of respondents shop for households with two or three people, while one-third shop only for themselves. Figure 19 shows that large-size households are the exception in the trade area.

**Figure 19:**

**Number of People in Household**

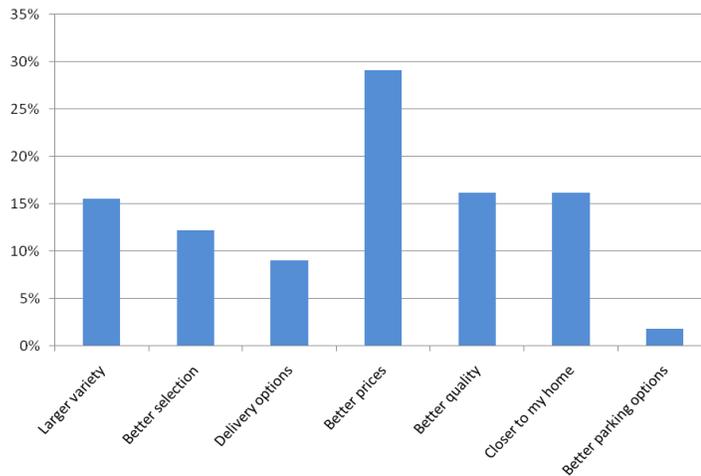


*Desired Improvements*

In terms of the current supermarket offerings, more than 27% of survey participants would like grocery products to be better priced (see Figure 20). However, a large portion of respondents would also like better quality food (16%), in particular when it comes to fresh produce and

meat. Many interviewees complained about the poor quality of produce at many of the area markets. A large portion would also like to see a broader variety of goods (15%) and better selection of products (12%). 14% of respondents, particularly in housing developments close to Atlantic Avenue, such as Kingsborough Houses, would like to have a supermarket closer to where they live. Given the limited parking options at many of the area supermarkets, it was expected that the lack of parking would be perceived as an issue. However, only 2% of respondents indicated that they would desire better parking options.

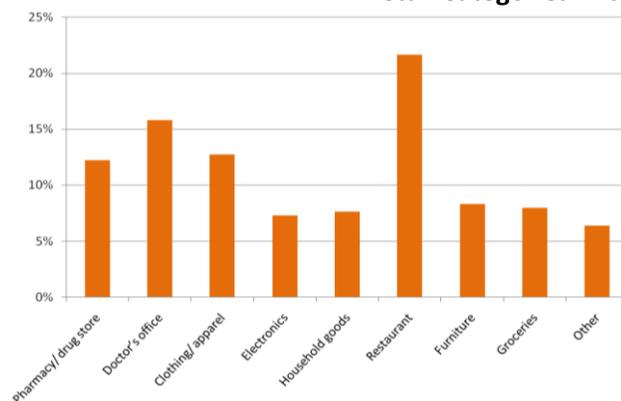
**Figure 20:  
Desired Improvements to Supermarkets**



*Other Retail Products and Services*

The survey also asked residents if they are lacking any other retail products and services, independent of supermarkets (see Figure 21). More than one fifth of respondents would like to have more restaurants in the area. This is particularly an issue north of Eastern Parkway where most of the eating and drinking establishments are takeout restaurants. Pharmacies and doctor’s offices are also lacking according to the local population, especially since some of the area hospitals have recently closed. Local residents would also like to see more apparel stores and drug stores.

**Figure 21:  
Retail Categories Missed**



## A II SUPPLY ANALYSIS

### Market Trends

#### *General Overview*

To obtain an overview of the general market conditions in Ocean Hill-Brownville, AKRF utilized commercial real estate sales data from the “Brooklyn Sales Report, 2010,” published by Terra CRG. The report indicates that the average price per square foot of retail buildings sold in Brownsville in 2010 was \$188, based on the sale of seven properties; this is about 45% lower than in the borough of Brooklyn as a whole, which is about \$272 per square foot (see Table 5).<sup>1</sup> The sales volume is relatively high (third highest number of sales in Brooklyn—7 buildings), which suggests that Brownsville is a growing, low-cost commercial market.

In addition, within a half-mile of the project site there are 18 developments that are underway or are planned to be completed by 2015. Five of these buildings are commercial, including the mixed-use Loew’s Pitkin Theater redevelopment project on Pitkin Avenue.

**Table 5:**  
**Rent Ranges and Vacancies North of Eastern Parkway and Pitkin Avenue**

Sales Category	Number of Sales	Total Value of Sales	Average Sale Price	Total SF Sold	Average Price per SF
Retail Buildings	7	\$4,375,000	\$625,000	24,910	\$188
Commercial-zoned Industrial Buildings	1	\$250,000	\$250,000	2,290	\$109
Mixed Use Buildings <sup>1</sup>	5	\$2,095,660	\$419,132	22,783	\$90
<b>Notes:</b> SF = Square Foot <sup>1</sup> Buildings with residential units and commercial use. No SF break-down was provided. <b>Source:</b> Terra CRG, “Brooklyn Sales Report 2010”					

#### *Rents and Vacancies*

AKRF contacted 12 brokers and developers who are active in the larger Ocean Hill-Brownville area to better understand current rent ranges and vacancy level. In addition, AKRF reviewed a study about the Pitkin Avenue corridor conducted in 2010 for the Pitkin Avenue Business Improvement District (BID).<sup>2</sup>

In general, real estate professionals believe that the area north of Eastern Parkway is currently underserved by retail businesses and that leasing activity/turnover is low. There is a large discrepancy in market conditions between the Pitkin Avenue corridor and the less bustling retail area north of Eastern Parkway. Rents on Pitkin Avenue range between \$24 per square foot at less desired locations and \$50 per square foot at high traffic corners, such as the

<sup>1</sup> Based on data from Community Board 16

<sup>2</sup> JGSC Group and Larisa Ortiz, “Pitkin Avenue BID Market Analysis & Consumer Survey Report” prepared for Pitkin Avenue BID, August 2010.

intersection of Pitkin and Rockaway Avenue (see Table 6). Rents north of Eastern Parkway are much lower and typically range from \$12-26 per square foot.

**Table 6:  
Rent Ranges and Vacancies North of Eastern Parkway and Pitkin Avenue**

	Pitkin Avenue Corridor	North of Eastern Parkway
<b>RENT</b> per square foot	\$24-50 <sup>1</sup>	\$12-26 <sup>2</sup>
<b>VACANCY</b>	10.8% <sup>3</sup>	7.7% <sup>3</sup>

**Sources:**

**1** CPEX Real Estate 2010 Retail Report and AKRF merchant surveys

**2** AKRF merchant surveys and discussions with real estate brokers

**3** HUD USPS Vacancy Data, September 30, 2010

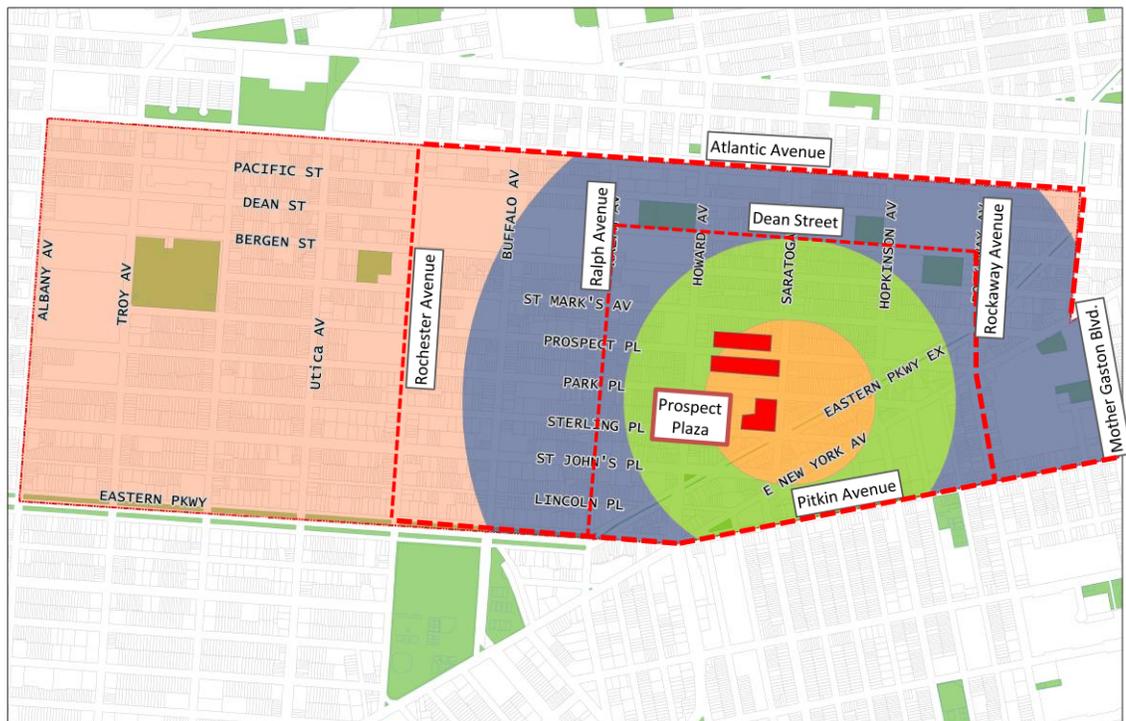
Businesses predominantly lease their space, as indicated by 11 out of 14 merchants surveyed by AKRF, compared with just one merchant who owns the space. To determine vacancies, AKRF searched the HUD USPS database. The search indicated vacancies of 7.7% for commercial properties north of Eastern Parkway and 10.8% for Pitkin Avenue, somewhat higher than vacancies recorded through AKRF’s retail inventory in the area.

**Retail Inventory**

To better understand current retail conditions in the immediate area of the proposed project, AKRF inventoried all stores in the Primary Trade Area. Overall, 450 stores were recorded, of which 222 were located south of Eastern Parkway and 232 north of Eastern Parkway. During the inventory effort AKRF recorded the types of stores, names, and vacancies in the ¼-mile study area. A map showing inventoried stores in the ¼-mile study area can be found in Appendix A 4.

For the remaining portion of the Primary Trade Area, stores were classified solely by type. Figure 22 outlines the areas for which the retail inventory was conducted.

**Figure 22:  
Retail Inventory Area**



For this analysis we grouped retail stores into the following broad categories: shopping goods stores, convenience goods stores, neighborhood services, eating and drinking establishments, building materials and garden supply stores, auto-related stores, and vacant stores.

North of Eastern Parkway

As mentioned above, the retail inventory identified 232 storefronts in the area north of Eastern Parkway. The highest concentrations of stores were found on Atlantic Avenue (44), St. John's Place (39), and Ralph Avenue (36). However, many stores on Atlantic Avenue are auto-related businesses and building materials stores.

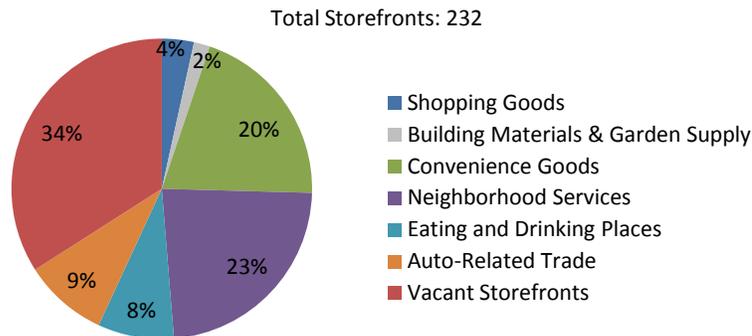
The majority of stores are located on the ground floor of two- and three-story buildings, typically with residential units above the retail store. National chains are underrepresented throughout this area. In stark contrast to the HUD USPS database for commercial properties, which indicated vacancies of 7.7% for commercial properties north of Eastern Parkway, the on-the-ground survey identified more than 79 vacant storefronts, which is equal to a vacancy rate of 34%.

Figure 23 illustrates the distribution of retail stores in the area north of Eastern Parkway by retail category. Neighborhood services stores represent the largest single category of commercial occupancy with 23% of the occupied storefronts. The category includes 16 hair and nail salons and 9 laundromats. Notably absent from the neighborhood service category are banks; there is not a single bank in the area north of Eastern Parkway.

Convenience goods stores comprise the second largest category (20%), with the majority of stores being delis or bodegas (36 establishments), while other convenience goods stores represented by two supermarkets and four pharmacies.

There were 19 restaurants in the area north of Eastern Parkway, including only one full-service restaurant. The most common types of restaurants in the area are Chinese take-out, fried chicken, and pizza places. Only 4% of the total stores are shopping goods stores.

**Figure 23:**  
**Distribution of Retail Stores North of Eastern Parkway**



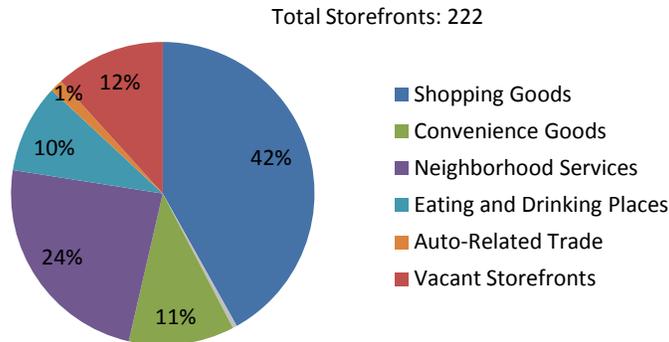
#### South of Eastern Parkway - Pitkin Avenue Corridor

Although encompassing a much smaller area, the area south of Eastern Parkway within the study area included nearly as many stores as the area north of Eastern Parkway (222 stores). This is not surprising since the southern area includes the Pitkin Avenue retail corridor, one of the most active retail districts in eastern Brooklyn. Based on AKRF's inventory, the area has a much lower vacancy rate at 12% than the area north of Eastern Parkway at 34%.

In contrast to the northern area, shopping goods dominate the retail category (see Figure 24). In fact, 42% of stores are shopping goods stores, including 48 clothing and accessories stores (such as Rainbow, Jimmy Jazz, and Payless Shoes); 16 general merchandise stores (such as Shoppers World, Bargain Hunters, and 6 discount general merchandise stores); and 12 furniture stores (such as Lindo Home Furniture).

Neighborhood service stores represent the second strongest commercial category with 24% of stores, including 18 hair and nail salons; 7 tax offices; 8 medical/dental offices; and 4 pawn shops. There are the same number of restaurants on Pitkin Avenue as there are north of Eastern Parkway (19), and many are limited service establishments. However, the restaurant inventory also includes national chains such as McDonald's, Subway, Domino's, and KFC. There is one full-service family-style Caribbean restaurant in the area. In the convenience goods category there are only two grocery stores in the area south of Eastern Parkway: the NSA Supermarket on Pitkin Avenue and Western Beef at East New York Avenue. Pitkin Avenue is home to four pharmacies, including Rite Aid and Sims Pharmacy.

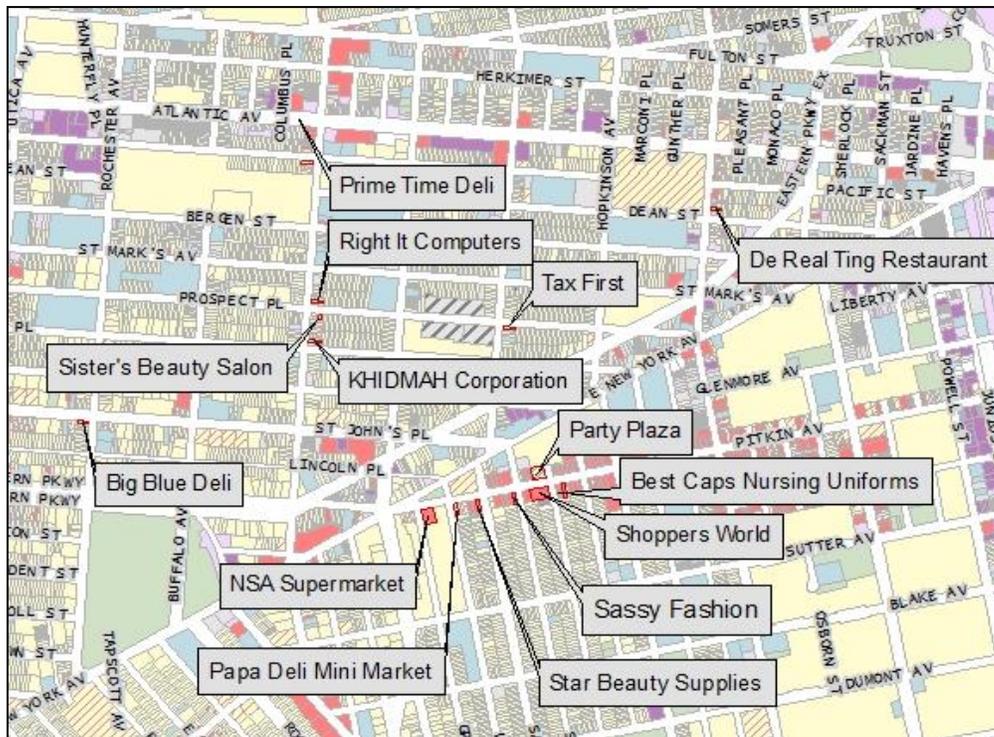
**Figure 24:**  
**Distribution of Retail Stores South of Eastern Parkway**



**Merchant Surveys**

To obtain a better understanding of the benefits and challenges of operating a business in the area, AKRF conducted a number of interviews with business owners and store managers. Overall, interviewers were able to speak with 14 merchants. Seven of the merchants were in the area north of Eastern Parkway and 7 were on Pitkin Avenue. Figure 25 shows the locations and names of merchants interviewed.

**Figure 25:**  
**Merchants Interviewed**



The type of stores included: 3 bodegas; 2 professional service establishments; 2 clothing stores; 1 supermarket; 1 discount department store; 1 beauty supply store; 1 party supply store; 1 electronics store; 1 beauty salon; and 1 restaurant.

Merchant interviews were divided into three sections: business operations, such as store square footage, rent, and number of years in business at the current location; customer profile; and neighborhood and business environment, such as crime, safety, and other challenges to conducting business in the area. A sample interview form is provided in Appendix A 2.

Business Operations

The merchant surveys revealed a wider range of store sizes on Pitkin Avenue compared with the area north of Eastern Parkway. Stores on Pitkin Avenue ranged between 1,500 and 40,000 square feet, while stores north of Eastern Parkway ranged between 600 and 2,000 square feet. This discrepancy seems to be related to the fact that most stores north of Eastern Parkway are located on the ground floor of residential buildings, while many stores on Pitkin Avenue were located in buildings designed and built for commercial use with larger foot prints.

The typical retailer rents the store. There were only very few merchants who owned their space. Many of the retailers are part of the local fabric and know their clientele’s shopping patterns because they live in the neighborhood. Of the 14 merchants interviewed, only 4 do not live in neighboring areas.

As indicated in the market overview section, rental rates tended to be substantially higher on Pitkin Avenue, where retail space demands between \$24 and \$50 per square foot compared with \$12 to \$26 per square foot in stores north of Eastern Parkway.

When asked about their peak periods, most merchants stated that they are busiest on the weekends. Table 7 provides a summary of answers asked in his section.

**Table 7:  
Operational Characteristics of Stores**

	North of Pitkin Avenue	Pitkin Avenue
Store size	600-sf to 2,000-sf	1,500-sf to 40,000-sf
Length of time in location	Less than 1 year – 1 1-2 years – 4 20-25 years– 2	4-5 years – 2 9 -15 years – 3 45 years – 1 No Answer – 1
Rent or own space	All 7 Rent	Rent – 6 Owns – 1 (discount department store)
Merchants’ residence	1 of 7 merchants do not live in the neighborhood	3 of 7 merchants do not live in the neighborhood
Rent (psf)	\$12 psf to \$26 psf	\$24 psf to \$31 psf
Languages spoken by employees	English, Spanish, and Arabic	English and Spanish
When are you busiest?	Weekends – 3 No Answer – 4	Weekends – 6 Everyday – 1 (supermarket)

### Customer Profile

Only one of the merchants interviewed believes that most of his customers drive to stores and park in the area. All other merchants believe that their customers walk or take the bus. However, all merchants stated that customers are coming from the immediately surrounding neighborhoods.

Merchants at bodegas and supermarkets where food stamps can be used indicated that many of their customers use food stamps. While English was the main language spoken by customers, Spanish is also very common.

In term of retail products and services lacking in the area, four merchants on Pitkin Avenue believed that customers can find everything they in the neighborhood. Merchants north of Pitkin Avenue stated that the area lacks pharmacies, restaurants, and banks. See Table 8.

**Table 8:  
Customer Characteristics of Stores**

	North of Pitkin Avenue	Pitkin Avenue
Where do your customers live?	All merchants responded that customers live nearby.	
How do customers get to your store?	Most merchants responded walk and/or bus. Driving was only mentioned by 1 merchant north of Eastern Parkway.	
Customers predominant language	English – 3 English & Spanish – 3 Spanish – 1	English – 5 English & Spanish – 2
Do customers use food stamps?	Merchants at bodegas and supermarkets responded yes.	
Is there anything your customers can't get in the neighborhood?	All retail is available – 2 Pharmacy – 3 Restaurant – 2 Bank – 1 Fax machine – 1 Library – 1	All retail is available – 4 Specialty food/drinks – 1 Restaurants – 1 Supermarket – 1 Hardware – 1

### Neighborhood and Business Environment

Many merchants surveyed, particularly north of Eastern Parkway, described the area as bad, tough, or dangerous and had concerns about crime and safety. Nine participants called the business atmosphere in the area fair, while three said it was poor; “not enough customers” and “crime” were cited as the biggest challenges to running a business in the area.

Common suggestions for the types of businesses needed in the area include sit-down restaurants (3 respondents), banks (2 respondents), and supermarkets (2 respondents). In order to make businesses in the area more successful, six respondents called for better security, three called for storefront improvements, three wanted to see more parking, and one respondent said that the area needs “more jobs.” See Table 9.

**Table 9:  
Characteristics of Area Stores**

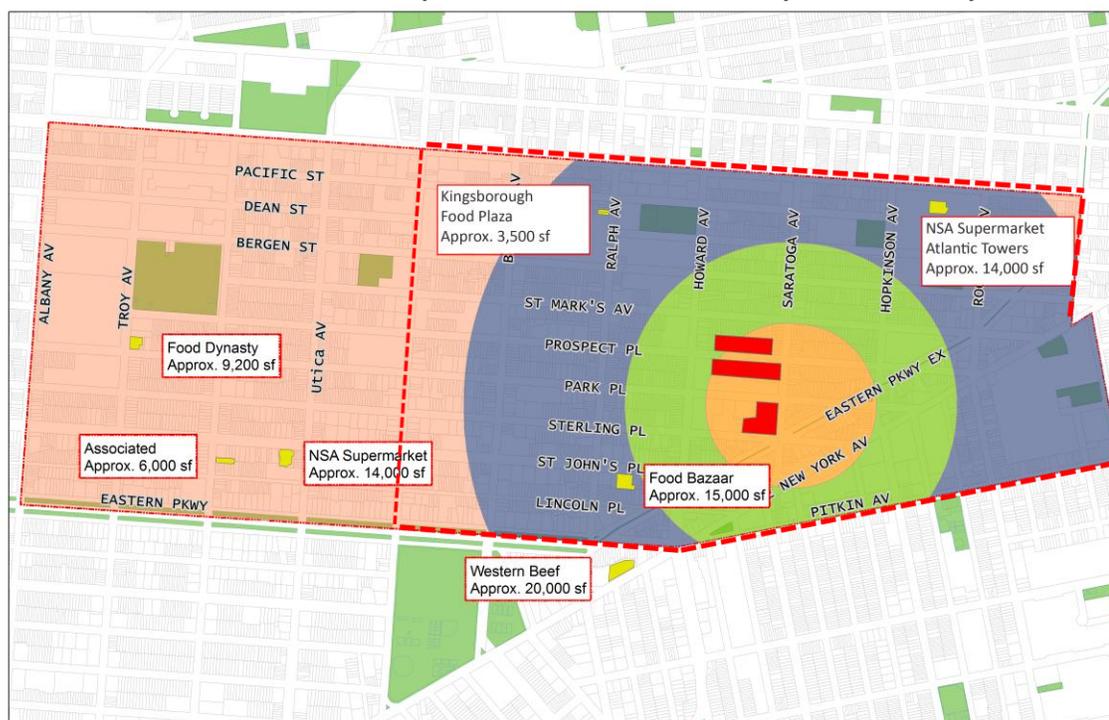
	North of Pitkin Avenue	Pitkin Avenue
Perception of the area	5 of 7 merchants described the area as bad, tough, or dangerous.	3 of 7 merchants described the area as a bad area or noted safety concerns. 2 merchants had more positive comments: improving and pride.
Challenges to running a business in the area	Crime – 3 Not enough customers – 3 Not enough parking – 1 Too much competition – 1	Crime – 3 Not enough customers – 2 Not enough businesses – 1
Overall business activity in the area	Fair – 5 Poor – 2	Fair – 4 Poor – 1 No Answer – 1
How would you describe security?	Good – 2 Fair – 4 Poor – 1	Good – 1 Fair – 3 Poor – 1 No answer – 2
What types of businesses are lacking?	Banks, restaurants, pharmacy	Hardware, supermarket, restaurants, notary public, and “more mom and pop retail”
What would make the area more successful?	Parking – 3 Better/More Security – 3 Storefront improvements – 2	Better/More Security – 3 Storefront improvements – 1 Big name brand stores – 1 More jobs – 1

### Supply Projections

Since residents in the immediate vicinity of the redevelopment site will generate the vast majority of sales at a potential new supermarket, supply projections focused on supermarkets in the Primary Trade Area. To quantify supermarket supply conditions, AKRF and G. Lamont Blackstone conducted a supermarket survey in the vicinity of the project site and identified those markets relevant to the analysis, inspected each store and developed profiles for each market, including square footage, variety and selection of product offered in the store, attractiveness of the displays, cleanliness of the stores, and the general look and feel of the market. See Figure 26.

Figure 26:

Supermarkets within the Primary and Secondary Trade Areas



Based on field inspections and input from intercept interviews and mail surveys, it was determined that the following full-service supermarkets are currently the primary providers of grocery products for residents in the Primary Trade Area:

- Food Bazaar
- NSA Supermarket (Atlantic Tower)
- Kingsborough Food Plaza
- Western Beef

The Western Beef on Pitkin Avenue is considered to be a minor factor in the supply of grocery items specifically to residents in the Primary Trade Area. Survey respondents indicated that they shop at Western Beef infrequently and primarily for bulk purchases, while satisfying their daily needs mostly at the Food Bazaar. The NSA on Pitkin Avenue contributes marginally to the supply of grocery items for trade area residents, since only about 5% of survey respondents frequent this location.

To estimate annual sales of these four supermarkets, AKRF applied sales per square foot ratios to each store. Sales per square foot ratios were derived from various sources, i.e., Urban Land Institute: Dollars & Cents, 2010; USDA: Supermarket Characteristics and Operating Costs in Low-Income Areas, 2002; and ICIC Initiative for a Competitive Inner City: The Changing Models of Inner City Grocery Retailing, 2006. In addition, the sales and ratios provided in these databases and reports were vetted by New York City real estate brokers and other retail professionals. For comparison purposes, according to *Dollars & Cents*, the median sales per square foot for supermarkets within a neighborhood shopping center in the United States was \$475 in 2008 and the top 10% of supermarkets achieved median sales per square foot of \$654.

**Food Bazaar** was the number one supermarket destination mentioned in the intercept interviews and mail surveys. Based on popularity and customer volume observed during field visits, it is estimated that the market can achieve a sales per square feet ratio of \$650 psf.

The **NSA Supermarket at Atlantic Towers** is at the edge of the Primary Trade Area and not very accessible. It appears to mainly cater to the residents of the adjacent towers. The sales-per-square-foot ratio is estimated to be at \$400 per square foot.

The **Kingsborough Food Plaza** is a small grocery store mainly serving residents of Kingsborough Houses, operated by New York City Housing Authority. Given its small size and limited product assortment, the sales per square foot ratio is estimated to be about \$300 per square foot.

**Western Beef** is where residents of the Primary Trade Area shop primarily for bulk purchases. According to the consumer surveys, residents of the Primary Trade Area shop at Western Beef infrequently. Because of the availability of onsite parking and its location at the edge of the Primary Trade Area, the market is likely to have a larger trade area, extending further to south than other markets in the trade area. As a result, the sales-per-square-foot ratio is expected to be at around \$630 per square foot.

**Table 10:  
Estimated Sales of Area Supermarkets**

	<b>Square Feet</b>	<b>Sales per Square Foot</b>	<b>Total Sales (annual)</b>	<b>Total Sales Generated by Primary Trade Area (annual)</b>
Food Bazaar	15,000	\$650	\$9,750,000	\$9,750,000
NSA Atlantic Towers	14,000	\$400	\$5,600,000	\$5,600,000
Kingsborough	3,500	\$300	\$1,050,000	\$1,050,000
Western Beef	20,000	\$630	\$12,600,000	\$6,300,000
<b>Total</b>	<b>52,500</b>		<b>29,000,000</b>	<b>22,700,000</b>

Table 10 lists the approximate square footage of each store included in the analysis, as well estimated sales-per-square-foot ratio and resulting total annual sales. Again, because of the availability of parking and bulk meat, fish and grocery items, the Western Beef’s trade area is likely to be more extensive that any of the other markets in the trade area’s supply. Therefore, we conservatively assumed that 50% of sales of Western Beef are generated by Primary Trade Area residents. The total sales generated in the four supermarkets by local residents are approximately \$22.7 million annually. Overall, the Primary Trade Area is currently served by 52,500 square feet of grocery store space, which is equal to a ratio of 1.59 square feet per capita. In a study by NYC DCP, a ratio of 3 square feet per resident was considered an adequate level of service.<sup>1</sup>

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<sup>1</sup> New York City Department of City Planning with assistance from New York City Economic Development Corporation and the Department of Health, “New York City’s Neighborhood Grocery Store and Supermarket Shortage,” April 2008.

### A III DEMAND GAP ASSESSMENT

#### Current Service Level

Currently, the population in the Primary Trade Area generates a demand of approximately \$40.5 million for grocery products. Table 11 shows that at the same time, existing supermarkets capture only about \$22.7 million of the population's potential retail expenditures, which is equal to a capture rate of about 56%. Because of their convenience nature, supermarkets are able to capture up to 70% of the available grocery expenditures within their trade area. The relatively low capture rate in the Primary Trade Area indicates a large outflow of supermarket-related expenditures into surrounding areas. Intercept interviews and mail surveys support this scenario by indicating that many of the respondents shop at markets outside of the trade area. For example, many of those surveyed indicated that they shop at the Pathmark at Atlantic Center on their way home from work. Some residents also shop on Fulton Street, especially those living at the edge of the Primary and Secondary Trade Areas, where many of public housing developments are located. While these shoppers cross what is typically considered a barrier to a trade area, i.e., a wide, highly trafficked thoroughfare like Atlantic Avenue, their preference to take a 10-minute walk out of the trade area indicates that the retail offerings currently within the trade area are not meeting their demands.

**Table 11:  
Current and Future Supermarket Capture Rate  
Without Additional Grocery Space**

<b>Existing Conditions</b>	
Existing demand - Primary Trade Area (2010)	\$40,588,945
Existing supply	\$22,700,000
Current capture rate of retail expenditures	56%
<b>Future Conditions</b>	
Future demand - Primary Trade Area (2015)	\$45,557,291
Future demand - Secondary Trade Area (2015)	\$7,410,006
<i>Future demand total</i>	<i>\$52,967,297</i>
<i>Future capture rate without additional market</i>	<i>43%</i>

Over the next five years, the trade areas' populations are projected to further increase and the total demand potential for grocery products is expected to reach approximately \$53 million. Without adding new supermarket space to accommodate the expenditure potential increase, the future capture rate would drop down to 43% and further decrease service levels in the area.

### Future Supermarket Space Demand

To quantify future supermarket space demand, AKRF considered two scenarios. The first scenario assumes that the capture rate would be lifted to the current level of 56%. The second scenario assumes that the capture rate would increase to 65%, reaching a level that is typically observed for local supermarket trade areas. To reflect the potential sales-per-square-foot range, \$500 and \$650 were used to calculate upper and lower limits for the two scenarios.

Increasing the current expenditure rate back to its current level 56% would result in additional demand of between 10,700 and 14,000 square feet. Using a capture rate of 65% for groceries would result in additional demand of between 18,000 and 23,500 square feet. See Table 12.

**Table 12:  
Future Supermarket Demand**

Square footage supported by psf sales ratio of		
	Retaining the current capture rate	Applying reasonable conservative capture rate
Future capture rate of retail expenditures	56%	65%
Potentially captured by local supermarkets	\$29,661,686	\$34,428,743
Exiting supply	\$22,700,000	\$22,700,000
Uncaptured potential	\$6,961,686	\$11,728,743
\$500 per square foot	<b>\$13,923</b>	<b>\$23,457</b>
\$650 per square foot	<b>\$10,710</b>	<b>\$18,044</b>

## **TASK B**

### **B I DEVELOPMENT RECOMMENDATIONS**

#### **Tenant Mix**

##### *Key Assumptions*

Prior to the beginning of the market study, a preliminary site plan was developed for the three target sites that included approximately 33,000 square feet of retail space. According to the preliminary plan, the majority of the space (23,000 square feet) would be located at the development site located along Saratoga Avenue between Park Place and Sterling Place (now known as Saratoga Park). A supermarket was considered to be the primary occupant of the retail space. An additional 10,000 square feet were planned for the redevelopment site along Saratoga Avenue between Park Place and Prospect Place (now known as Prospect Place South). Smaller neighborhood retailers were considered as likely occupants for the smaller footprint.

During the supply and demand analysis conducted in Task A, it became apparent that the cluster of small commercial spaces in Prospect Plaza South would not be feasible as stand-alone retail stores. The cluster would have very limited visibility from Eastern Parkway and would not be immediately adjacent to an anchor or destination store. Many of the existing retail storefronts on Saratoga Avenue are currently vacant and the street lacks sufficient foot traffic to support additional retailers. In addition, the inventory of commercial uses developed as part of the retail supply analysis identified a very high vacancy rate for commercial storefronts within a half-mile, indicating limited demand for small store retailers.

The AKRF team believes that concentrating the retail space on the Saratoga Park site would create a more viable retail development based on several factors: (1) it would create a critical mass of retail uses with the ability to attract more customers to the site; (2) it would locate the retail stores on the site with the highest visibility, exposure to existing vehicular traffic, and potential increasing pedestrian activity on Eastern Parkway and Saratoga Avenue due to the new retail businesses; (3) it would provide an opportunity to develop surface parking to meet the demands of retailers. However, current zoning regulations restrict the amount of retail space at the Saratoga Park site to approximately 23,000 square feet. Therefore, the financial feasibility analysis conducted as part of Task B assumed that future retail uses in the Prospect Plaza redevelopment would be located only at the Saratoga Park site and not exceed 23,000 square feet.

It was assumed for the financial feasibility analysis that the community center space, which is part of the redevelopment plan, would be constructed by the same entity that develops the commercial/retail space, allowing the developer/owner to take advantage of market rate rents that are likely to be paid by such occupancy. The benefits of achieving market rate rents for a community center are reflected in the pro forma calculations prepared for Task B.

##### *Anchor Tenancy*

An anchor tenant is typically the major generator of foot traffic and customers for the entire retail cluster, and contributes to the overall financial stability of a project. In the case of the Prospect Plaza development, a new supermarket would play the role of the anchor tenant. Based on the conservative market demand scenario developed in Subtask D, the study recommends a supermarket of approximately 15,000 square feet. Based on prior experience, the AKRF team anticipates that the location and the available footprint for a supermarket on the Saratoga Park site would be most attractive to independent supermarket operators, such

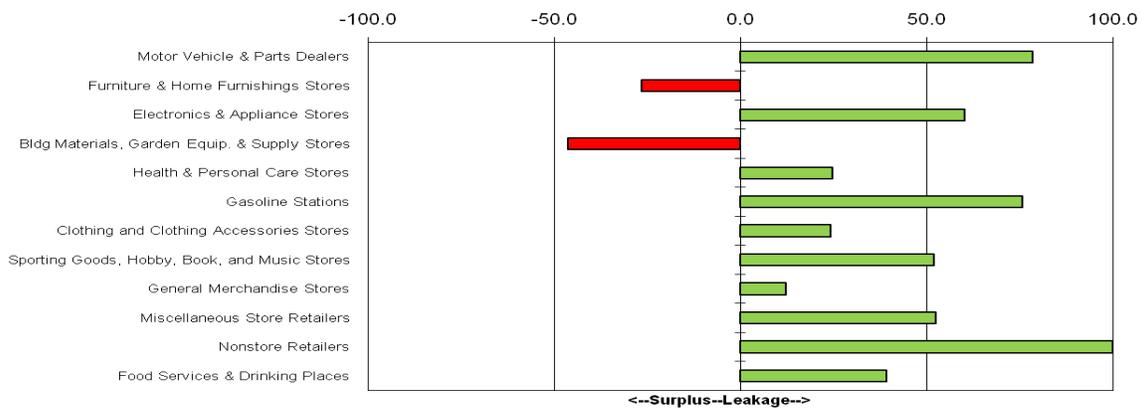
as Associated Supermarkets, C-Town or Met Food. The cluster could be co-anchored by a drug store such as Walgreens or CVS that would occupy approximately 8,000 square feet. Walgreens, for example, requires a minimum of 8,000 square feet in order to consider a location for a new store. As an alternative to a drug store, the site could also a combination of other small retailers, a restaurant, or medical or health care offices which would occupy the remainder of the commercial space fronting on Saratoga Avenue.

*In-Line Stores*

Although smaller in-line retailers are not deemed viable for the smaller retail cluster in Prospect Plaza South, they could succeed in combination with an anchor store and potentially serve as a substitute for a drug store co-anchor. Customer surveys conducted by AKRF and the community planning workshop organized by NYCHA indicate that there is a desire by the local community to attract a supermarket to the redevelopment area, as well as a food service establishment (e.g., a table service restaurant, medical offices, neighborhood services (e.g., nail salon, barber shop, bank, check cashing outlet), or shopping goods store (e.g., cell phone store, discount general merchandise store).

In addition to surveying potential customers in the area, AKRF also conducted a gap analysis for selected retail products and services in the Primary Trade Area. Figure 27 illustrates the types of retail stores that are leaking potential sales to retailers outside the trade area.

**Figure 27:  
Surplus and Leakage for Selected Retail Categories**



With the exception of furniture and home furnishings stores, and building materials, garden equipment, and supply stores, the data and surveys indicate that residents are leaving the Primary Trade Area to shop at other types of stores shown in Figure 27 either because the quality, selection, and pricing of the goods at retail stores in the trade area are unacceptable or because the stores do not exist in the trade area. In either case, available consumer expenditures are leaking from the Primary Trade Area.

*Key Findings*

The market demand assessment has shown that the trade area can support a small-format grocery store. Conservative estimates suggest limiting the size of the store to 10,000 to 15,000 square feet. Since future retail stores would be located in a newly constructed facility, they are expected have a much stronger draw than comparable existing establishments. Over time, it is

expected that anchor tenants will stimulate market demand for a variety of in-line retail services, although at rent levels below the nearby Pitkin Avenue retail corridor.

**Site Plan**

*Anchor Locations*

Given the current zoning regulations and the orientation of the redevelopment area, there are only a limited number of options to configure commercial development the site. The corner of Saratoga Avenue and Sterling Place is most desirable for potential new tenants because it provides the highest visibility from Eastern Parkway. The limited exposure could pose a potential conflict between co-anchors over who locates at the Sterling/Saratoga corner. Figure 28 illustrates the two potential site configuration options.

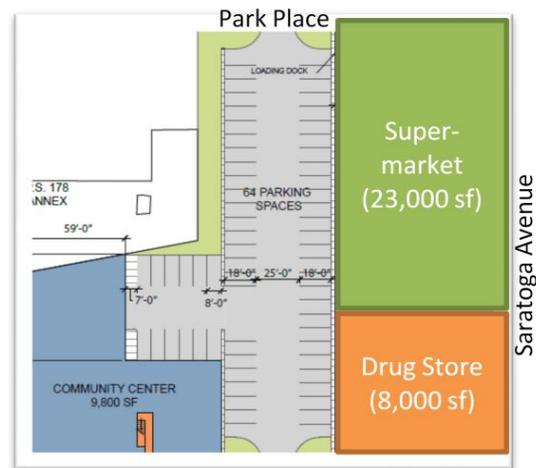
**Figure 28:  
Supermarket within the Primary and Secondary Trade Area**

Option 1:



Supermarket at Sterling/Saratoga corner & drug store at Park Place/Saratoga corner

Option 2:



Drug store at Sterling/Saratoga corner & supermarket at Park Place/Saratoga corner

*Parking Requirements*

Most retailers require sufficient parking in order to consider a location. Drug store chains will likely require a minimum of 20 to 25 off-street parking spaces for a store of 8,000 to 10,000 square feet. For the supermarket portion of the recommended development the analysis assumes 2 parking spaces per 1,000 square feet of occupied retail space, or 30 parking spaces for a store of approximately 15,000 square feet. This ratio takes into consideration the low auto ownership in the area and current pattern of the majority of residents that walk to shop for groceries. However, since most existing grocers in the area offer little or no off-street parking (except for Western Beef), providing dedicated parking for customers on the Saratoga Park site will be a competitive advantage. To ensure the availability of such parking for retail operations, the site design should include parking controls such as signage, a time-limited and ticketed free parking kiosk at the entry point(s), and/or an identified residential parking area separated from the retail parking field.

### *Site Access*

To facilitate vehicular circulation, the Saratoga Park site should have ingress/egress options from Sterling Place and Park Place. To promote the availability of off-street parking for the retail stores, NYCHA needs to investigate whether New York City Department of Transportation (NYCDOT) or other appropriate agencies will allow wayfinding improvements to facilitate vehicular circulation and use of the parking lot. In addition, the designated developer should consider a signage program to announce retail location and to guide vehicular traffic into the site. To prevent area residents from using available spaces for long-term parking, the developer should incorporate signage and other controls to discourage the use of parking spaces dedicated for use by retail customers.

### *Key Findings*

Visibility will be a key factor for the success of the new retail facility. The Sterling/Saratoga intersection offers only limited visibility and poor advance visibility from Eastern Parkway. As indicated above, the configuration of the site and the need to maximize visibility may lead to conflicts between anchor and co-anchor. Adequate parking options are essential to the marketability of the site to co-anchor tenants, since access by mass transit is limited. The availability of parking is a particularly important locational factor for drug stores. In addition to parking, the site plan also needs to consider logistical (truck service) requirements. The site will need to include one loading dock each for the supermarket and drug store.

### **Retail Podium**

#### *Building Configuration*

Retaining as much flexibility as possible is important to planning the site. Chain drug stores are typically less flexible with building configuration than independent grocers. Therefore the site design needs to incorporate maximized bay widths and column spacing. In addition, 16-foot ceiling heights will allow retailers to display products more effectively and enhance the retail ambience.

#### *Legal Structure*

It is recommended that separate condominium ownership be created to facilitate the allocation and distribution of capital costs between the retail and residential components. Creating separate owning entities would also facilitate the separation of financing for the affordable housing component of the redevelopment from the retail development. In addition, a separation strategy helps to decouple potential exit strategies for either the retail component or the housing component of the redevelopment.

Setting up separate ownership units for the residential and retail components would facilitate the creation of reciprocal easement agreements<sup>1</sup>, for example, where there is common usage of the off-street parking spaces. In addition, since independent supermarket operators prefer

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<sup>1</sup> In a commercial real estate environment, a Reciprocal Easement Agreements (REA) is used to document the rights and obligations for a shared facility (e.g., a parking field or lot or roads), to be used by separate ownership interests. Even if housing and retail components for the Prospect Plaza development are developed and later owned by the same entity, an REA may still be required by lenders financing both components separately, to ensure that each has the necessary rights associated with the shared facility. Since the parking plan indicates a need for separate parking for retail and residential uses, rights and obligations may have to be documented via an REA.

to own versus lease their space, a condominium structure can facilitate the sale of a space to a grocer. The condominium structure could also be used for the community center, if it is incorporated at Saratoga Plaza.

## **B II FINANCIAL ANALYSIS**

### **General Concepts**

#### *Supermarket Economics*

Within the retail industry the supermarket category operates on one of the thinnest profit margins, i.e., 1% to 2% of sales. While operating on thin margins, the supermarket sector has one of the highest per-square-foot construction cost profiles among all retail categories. In addition, many supermarkets are unable to pay market rents as a result of this limited profitability structure. Although supermarket operators would prefer locations in affluent neighborhoods with a high expenditure potential, local, regional, and national chains are coming to understand that higher-than-average sales productivity per square foot can be achieved in dense, underserved urban areas.

Credit strength, worthiness, and financeability vary among supermarket operators, and these factors have a direct impact financing terms and conditions. As a result, many independent, small format operators often rely on their wholesalers as a source of financing. Supermarkets typically operate under base lease terms of 10 to 20 years, which provides stability to income projections. Longer lease terms also increase the financeability of a project.

#### *Drug Store Economics*

Drug stores tend to have the ability to pay higher rents than supermarkets. However, they cannot function as a retail anchor and are also unlikely to locate at Saratoga Park without a grocery store as anchor. Many of the major drug store chains (with the exception of Rite Aid) are financially strong and have some of the highest credit ratings in the retailing industry.

Currently, drug stores are actively pursuing new, free-standing store locations. Similar to supermarkets, drug stores have base terms of leases of 10 to 20 years. Some drug store operators, such as CVS and Walgreens, have incorporated health care clinics in select locations, providing basic medical services administered by physician assistants.

#### *In-Line or Small Shop Economics*

Smaller in-line stores can be incorporated into a shopping center project to balance a revenue stream, because they are typically able to pay higher rents than the anchor tenants. Small shops benefit from the traffic-generating ability of the anchor tenants. However, they may be barred from locating at the center by exclusivity clauses in the anchor tenant leases.

In-line stores tend to execute shorter leases ranging from 3 to 5 years for chains, while mom-and-pop stores often operate on a month-to-month occupancy, especially in weaker market environments. Although shorter leases can add an element of instability to a project, it can also allow the developer/owner to benefit from rising market rents as the space turns over and the rent is then raised to market levels. Retail developers at Saratoga Park are expected to have rents significantly below the \$35 to \$50 range reported for Pitkin Avenue.

## Incentive Programs

Incentives would play a major role in developing the retail portion of the Saratoga Park site. In fact, the project would not be considered feasible by developers without subsidies.

Following is brief summary of key requirements and process milestones followed by recommendations to be considered during the implementation process. The section also includes a description of the main impacts incentive programs may have on the project and its financing. The impacts of incentive programs have been assessed for both the development phase (development cost) and operational phase (cash flow).

### *NYC Food Retail Expansion to Support Health (FRESH) Program*

This City-sponsored program is designed to encourage supermarket development through a package of tax and zoning incentives administered through the New York City Industrial Development Agency. In February 2010, the first two supermarkets were approved for the program – both of which were located in the Bronx.

*Contact: Joanna Frank, Director, FRESH Program. NYCEDC Real Estate Transaction Services. [jfrank@nycedc.com](mailto:jfrank@nycedc.com). 212.312.429*

### Requirements

- Provide minimum of 6,000 square feet of retail space for grocery products
- Provide at least 50% of a general line of food products intended for home preparation, consumption and utilization
- Provide at least 30% of retail space for perishable goods that include dairy, fresh produce, fresh meats, poultry, fish and frozen food
- Provide at least 500 square feet of retail space for fresh produce
- A restrictive declaration would be placed on the property to ensure grocery store use in perpetuity

### Incentives

- Consists of Zoning incentive component and Financial incentive component
- All incentive awards are discretionary and are awarded based on the relative merits of the project. There is no single “pot” that the awards come from; they are awarded on a case by case basis
  - Zoning Component: One additional square foot of residential floor area will be available for every square foot provided for a grocery store in a mixed-use building, up to a 20,000 square foot limit
    - TDR: this space can be transferred by the developer to another site
    - Reduction in required parking
  - Financial Incentive Component:
    - Real Estate Tax Reductions: 25-year land tax abatement, equal to \$500 multiplied by each full-time equivalent employee at time of application; 25-year stabilization of building taxes, based on the pre-improvement assessed value; the phasing-out of real estate tax benefits begins in year 22 and continues through year 25 at 20% each year. In year 26, real estate taxes increase to full amount.

- Sales Tax Exemption: An exemption from the 8.875% sales tax on materials to construct, renovate or equip facilities.
- Mortgage Recording Tax Deferral: A deferral of mortgage recording tax relating to the project's financing, equal to 2.05% of the mortgage amount for mortgages of \$500,000 or less, and 2.80% for mortgages greater than \$500,000.

#### Application process

- Rolling applications (no due date). Complex, case-by-case process:
  1. Meet with NYCIDA staff to discuss the project and preliminary qualifications
  2. NYCIDA to perform “due diligence” before a formal application is submitted. This would take about 2 months (this is approximate – the program is new and so far only 2 applicants have been approved). NYCIDA will want to see:
    - Development Plan: will document the need for the store and show market feasibility and include a site plan and store design details
    - Financing Plan
    - Proof of eligibility, including site plan showing two-thirds of space dedicated to fresh foods provision
    - Conformance with zoning, environmental, and other pertinent regulations
  3. Submission of Application (at least 2 months, easily more, depending on the project)
    - Application forms supplied by NYCIDA
    - Public approval process: a public hearing must take place, and notice of one month must be given before the hearing date
    - Approval required by the City Planning Commission (for any Zoning incentives)
    - Approval required by the NYCIDA Board of Directors

#### Implementation considerations

1. According to the program fact sheet, a zoning incentive of additional development rights will be granted of “one additional square foot of floor area in mixed residential development and commercial buildings for every square foot provided for a grocery store, up to a 20,000 square foot limit.” Therefore, housing developers can evaluate the incremental benefit that a 15,000 square foot supermarket provides for the development at Saratoga Park.
2. Since the operational requirements of attracting a supermarket will probably require providing it with off-street parking, the parking waiver is probably of negligible benefit.
3. The sales tax exemption on construction materials will be beneficial as a capital cost offset but limited in its relative impact as compared to the other grant sources. The pro formas assume that the sales tax exemption is applicable to not only the grocery building but also the drug store and community center components and sitework.
4. The real estate tax reductions will be beneficial to the tenants of the retail podium as they reduce tenant occupancy costs. However, since retail leases are typically structured as triple net and allow the landlord to recover real estate tax expenses, the pro formas assume that the reductions do not significantly improve operating cash flow to the developer.

5. Although the mortgage recording tax deferral may have some net present value benefits (i.e., discounted cash flow impact) relating to when the tax must be paid, it has been excluded from the pro forma analysis.
6. Companies must request IDA assistance prior to entering into any lease, acquisition or renovation contracts, unless such contracts are contingent upon IDA assistance. NYCHA should anticipate responding developers may want to incorporate such a contingency.
7. All IDA benefits are discretionary and subject to the approval of the IDA's Board of Directors. During FY 2010, the IDA board met monthly with the exception of August. Therefore, it seems that there are less timing issues relating to deal approval as compared to the OCS and NMTC programs.

### Financial Impact of Incentives

#### Development Costs

The FRESH program provides abatement for the sales tax portion of construction materials costs and mortgage recording tax deferral.

#### Cash Flow

The program abates the land portion of real estate taxes at \$500 for each full time employment equivalent (FTE) employed by the supermarket operator. In addition, taxes on the building portion of the property would remain unchanged from pre-improvement status.

#### Additional Considerations

The FRESH program grants a maximum zoning bonus of 15,000 square feet of additional residential floor area. Although the zoning bonus has no direct impact on the retail financials, it can be leveraged in negotiations between affordable housing developer and any separate entity engaged in development or acquisition of the retail condominium.

#### *New York State Healthy Food & Healthy Communities Fund*

The New York Healthy Food & Communities Fund is a \$30mm statewide program created to encourage food market development in underserved communities throughout the state by providing financing for crucial capital and real estate and related expenses. Our team reviewed the program literature in addition to speaking with a representative of the Low Income Investment Fund (LIIF) which is serving as an administrator of the program.

*Contact: Low Income Investment Fund, 212-509-5509 x16*

### Requirements

- Location in LMI census tract or below average supermarket density or >50% of customers live in LMI tract
- 66% of floor space must be used for sale of a general line of grocery products; at least 50% for non-prepared foods; at least 30% for perishable goods
- Sponsor equity requirements, financial record check, 8 years of operating experience, loan guarantee/full recourse

### Incentives

- Loans: \$250,000 to \$5 million. Term of 2 to 7 years
  - Amount granted is discretionary and on a case by case basis

- There is a fixed pot of money
- Interest-only payments during term; principal due at maturity
- Floor of 6% interest plus other fees/details, including underwriting requirements
- Grants: \$5,000 to \$500,000 capital grants.
  - Total fund size is \$30 million
  - Available for land assembly, infrastructure, real estate, equipment, and predevelopment
  - Determining size of grant is a complicated process (factors considered are listed below). Size of grant is sometimes not even determined when notice is given that grant is approved.

Application process

- Loans:
  - Evidence of site control
  - 3 years of financial statements, 3-5 years of operating projections; development budget with sources and uses
  - Phase I environmental report
  - Want financing info, ownership
  - Floor of 6% interest, some other fees and conditions
- Grants:
  - 1) Submit sections I-VII of Application to determine consistency with goals/objectives of the program
  - 2) Applicant will receive a letter confirming applicability and an invitation to apply for financing. Section VIII of the Application is then submitted (process takes about 3 months and depends on the application and applicant).
    - Factors considered:
      - Impact on local economy
      - Tax revenue generation
      - Adherence to sound land use principles
      - Promote community development by working in conjunction with other programs
      - Incorporates energy efficiency and green building
      - Healthy nutritious foods. Sustainable agriculture a bonus
      - Participate in Pride of NY Program (NYS DAM)
      - Pay wages/benefits that are comparable to the supermarket industry in the region
      - Hire local residents/low-income New Yorkers
      - Location efficiency: close to transit, accessible to pedestrians/bikes

### Implementation considerations

1. For a statewide program, the current \$30mm capitalization is limited. LIIF reports that de facto geographic restrictions may apply since they are looking for worthy projects throughout the state. That may dictate how many projects they will fund in NYC.
2. Funding is handled on a first-come, first-serve basis. Although LIIF has generated a pipeline of potential projects, they haven't committed to a loan yet and they have made just one small grant.
3. A project could apply for both a loan and a grant. Although they could fund just a grant, their preference is to lend.
4. A developer (as opposed to a grocer) could be an eligible applicant for funding provided that the developer demonstrates that the project will include a supermarket. This could be shown by a letter of intent followed by an executed lease as a condition of closing.
5. The supermarket doesn't have to be a minimum size; however, there are space allocation parameters within the supermarket which must be met relating to non-prepared foods and perishables.
6. HFHC funds are intended for capital expenses that may otherwise be barriers to development. Capital expenses may include, but are not limited to, costs associated with predevelopment, land acquisition, construction or rehabilitation, and other capital needs. Funding may not be used for working capital, inventory, job training or other non-real estate-related expenses.
7. The pro formas assume that only the grant is applied for. Since the maximum construction loan sizing estimated for the project (\$4.9mm) is under the \$5mm ceiling for the HFHC program, the fund could potentially be a provider of a portion of the construction financing as part of a loan syndication of two or more lenders or, potentially, the entire loan – subject to the deal structure meeting the healthy food space allocation requirements, perhaps on a pro rata basis relating to the ratio of the supermarket leasable area to the combined total of the supermarket/drug store component or the entire ground floor condo inclusive of the community center.

### Financial Impact of Incentives

#### Development Costs

The Healthy Food and Healthy Communities Fund provides one-time grant funding of up to \$500,000 to offset construction costs. Although transaction costs are not excessive, they will require budgeting for reporting requirements and “clawback” issues.

#### Cash Flow

Loan terms are not fixed but are commensurate with market pricing. Annual reporting requirements may entail incremental professional fees.

#### City and State Grocer Initiatives—Potential Issues

The scope of eligible costs and eligible applicants could result in competition between the project's developer and the supermarket operator over who gets the incentives.

### *New Markets Tax Credits (NMTC)*

The Reasonable Scenario pro forma assumes that gap funding from all subsidy sources totaling \$2,728,000 will be provided in order to achieve the scenario return of 8.7% on total development costs. Of that approximately \$2.7mm, \$1.5mm is assumed as coming from a NMTC investment in the form of equity.

#### Requirements

- To receive NMTC awards, an organization must be certified as a Community Development Entity (CDE). To qualify as a CDE, an organization must:
  - Be a domestic corporation or partnership registered with the IRS;
  - Demonstrate a primary a mission of serving, or providing investment capital for, low-income communities or low-income persons; and
  - Maintain accountability to residents of low-income communities through representation on a governing board of or advisory board to the entity.
- Applications for CDE certification are available at the Community Development Financial Institutions Fund website: <http://www.cdfifund.gov>
  - CDE Application requires documentation of mission such as articles of incorporation, annual reports, etc.
  - Applicants must establish their service area, which either focuses on a low-income area (i.e. a low-income census tract), or whose board is made up of at least 20% of a representative cross-section of a larger area that is served (i.e., a state).
- NMTC projects must be in a Low-Income Community (LIC), which is defined as any census tract that meets following criteria:
  - Poverty rate of at least 20 percent; or
  - Median Family Income (MFI) does not exceed 80 % of Metropolitan Area

#### Incentives

- A credit against Federal income taxes for making qualified equity investments in a CDE, which in turn must use the funds to make investments in an LIC.
- Credit provided to the investor totals 39 % of the cost of the investment and is claimed over a seven-year credit allowance period.
- In each of the first three years, the investor receives a credit equal to five percent of the total amount paid for the stock or capital interest at the time of purchase.
- For the final four years, the value of the credit is six percent annually.
- Investors may not redeem their investments in CDEs prior to the conclusion of the seven-year period.

#### Application process

- 2010 Round Deadlines (2011 Deadlines have not yet been announced)
  - Release of Notice and Application materials: April 7, 2010
  - CDE Certification Applications must be postmarked on or before: April 26, 2010
  - Online Submission of Allocation Application: June 2, 2010

- Online Submission of Allocation Application Attachments: June 4, 2010
- Date by which prior-year allocatees must issue the requisite percentage of QEIs: July 21, 2010

#### Implementation considerations

1. Identify funders with allocations of NMTCs who historically have been interested in deals in New York City. Table 1.0 below shows a list of allocatees or recipients for the 2010 round that have a New York State focus. For the 2010 round, 99 organizations nationwide were approved to receive an allocation out of a pool of 250 applicants. Information was not available regarding the 2011 round of applicants at the time of preparation of this study.
2. It should be recognized that NMTC deal structures entail significant transaction costs involving extensive attorney time as well as accountants. The pro formas include soft cost line allowances for a NMTC deal structure. The allowances for NMTC transaction costs serve to increase the size of the funding gap.
3. Projects must meet a “but for” test to qualify for the credits. Demonstrating the funding gap will provide the “but for” argument.
4. It should also be recognized that for gap funding purposes the value of a NMTC allocation is the net effect of the capital infusion after accounting for the 39% tax credit offset available against federal income tax obligations and the market price of the credits which do not trade at parity with the dollar. In other words, the investor marketplace buys the credits at a fraction of the dollar amount of the credit in order to leverage the value of income tax offset of the credit. Reported trading ranges for the credits are a low of 71 cents on the dollar to 75 cents on the dollar.
5. The \$1.5mm net investment of NMTC gap funding equity assumed in the Reasonable Scenario is equivalent roughly to an allocation of \$5.1mm to \$5.5mm in tax credits based on market pricing assumptions and the 39% value of the credit applied via a leveraged loan structure. The \$5.5mm estimate is deemed to be feasible since the effective limits for the allocation of NMTCs will be the total development costs (estimated at \$7.1mm) and the ratio of the requested Saratoga Park allocation to the total allocation of a single NMTC allocatee/recipient (see Table 1.0 below) – assuming one of the larger allocatees or a combination of two allocatees (see comment #7).
6. Given the estimated total development costs of \$7.1mm, it is estimated that the maximum NMTC gap funding equity that could be provided for the project is between \$1.9mm and \$2.1mm – levels that would not be sufficient to completely replace all other subsidy sources in the event they were not obtained. However, an increase in the NMTC investment could cover a shortfall of \$400,000 to \$600,000 in subsidies from other sources. In order to obtain the maximum NMTC gap funding equity, an allocation of \$7.1mm in credits would likely be necessary.
7. The \$5.1mm to \$7.1mm aforementioned estimates can be compared to the allocations received by prospective funders listed in Table 1.0 below. Expect that no funder is likely to allocate a significant percentage of its total allocation to one project. However, precedent exists of two funders joining forces to share allocation requirements for one project. This will also add, however, to the complexity and transaction costs of the deal.

8. Once NMTCs are allocated to or approved for a specific project there is a time limit of one year within which the transaction and funding must close. This should be taken into account in planning the implementation and phasing of Saratoga Park. In addition, although the program has enjoyed bipartisan support since its inauguration in 2000, there is no guarantee that it will be reauthorized after the 2011 round. As such, and all other considerations being equal, it may be prudent to make Saratoga Park the first phase of the overall development.
9. The solicitation process with a NMTC funder will be similar to that which is involved in submitting a loan request for a construction loan. Developers should have an appropriate deal package assembled for review. However, preliminary and noncommittal interest can be probed with any of the funders listed in the table below.

**Table 14:**  
**Current and Potential NMTC Allocation Recipients**

<b>2010 NMTC Allocation Recipients with New York State Focus</b>		
	<b>Total Allocation</b>	<b>Investment Preference</b>
BRP CDE, LLC	\$21mm	Real Estate
Capital One Community Renewal Fund	\$63mm	Businesses
Carver Community Development Corp.	\$25mm	Real Estate
Community Impact Capital	\$21mm	Real Estate
Corporation for Supportive Housing	\$25mm	Real Estate
ESIC New Market Partners	\$62mm	Real Estate
Forest City Community Development Entity LLC	\$28mm	Real Estate
Local Initiatives Support Corp.	\$70mm	Real Estate
Nonprofit Finance Fund	\$21mm	Businesses
Related Community Development Group LLC	\$42mm	Real Estate
<b>Total Group Allocation</b>	<b>\$378mm</b>	
<b>Other Past &amp; Potential Future Recipients &amp; Investors with New York City Interest:</b>		
JP Morgan Chase – Community Development Group		
US Bancorp Community Development Corp.		
Bank of America Merrill Lynch		
Citi Community Capital		
Goldman Sachs Urban Investment Group		
Source: Community Development Financial Institutions Fund (U.S. Dept. of the Treasury, <i>List of Allocation Recipients</i> )		

### Financial Impact of Incentives

#### Development Costs

New Market Tax Credits can be added in the form of equity and can be used to as a potential source to bridge financing gap in the development budget. However, the transaction costs for

attorneys and accountants would be significant. Annual reporting requirements may be capitalized and treated as an additional development cost.

#### Cash Flow

Using a subsidized loan structure could potentially reduce the blended costs of the permanent financing. Annual reporting requirements may entail incremental professional fees that could be treated as an operating expense.

#### Additional Considerations

For a 7-year period, the program requirements would limit options for refinancing and sale of the project as an exit strategy.

#### *U.S. Department of Health and Human Services*

The Community Economic Development (CED) grant program administered by the Office of Community Services (OCS) has a long history of funding projects that involve the development of supermarket-anchored projects in underserved, inner-city communities. The Harlem Pathmark project on 125<sup>th</sup> Street is an example of a project that benefitted from an OCS grant in the mid-1990s of several hundred thousand dollars made available to fund predevelopment expenses. The current maximum funding limit is \$800,000 within a proposed national program budget of \$20mm.

Info: <http://www.acf.hhs.gov/programs/ocs/ced/index.html>

#### Requirements

- Projects that address economic self-sufficiency for low-income persons and distressed communities
- Eligibility: Private Non-Profit Community Development Corporations, which must be documented:
  - List of governing board members with designation as community resident, business leader or civic leader
  - Document that primary purpose is planning, developing or managing low-income housing or community development activities
  - Documentation may include incorporation documents or other official documents that identify the organization
  - Applications that do not include proof of non-profit status in the application will be disqualified
  - Public Housing Authorities NOT eligible (a non-profit CDC developer would be required for the project to access these funds)

#### Incentives

- Competitive discretionary grant
- \$36 million appropriation in 2010; maximum grant of \$800,000; 46 awardees (average grant of \$792K)

#### Application process

- 2010 applications:
  - Letter of Intent June 15; Application posted May 17; Due July 1; Awarded in the fall

- No announcement yet re: 2011 applications and funding
- Stringent documentation requirements, including: (see website for more details)
  - Written financial commitments for non-CED funding
  - Management staff and resource plan
  - Evidence of site control through a lease agreement or deed
  - 3 years of financial statements; 3-5 years operating projections; development budget
  - Referral sources to help identify low-income individuals to fill positions
  - 150 page limit, including project narrative, supporting materials
  - Forms: Application for Federal Assistance; Budget Information – Non-Construction Programs; Assurances – Non-Construction Programs; Budget Information – Construction Programs; Assurances – Construction Programs; Certification Regarding Lobbying; Disclosure of Lobbying Activities

Implementation considerations

1. Given the federal budget negotiations underway, there is no guarantee that the program will be appropriated at the requested level or at all.
2. Should the program continue, the Notice of Funding Availability (NOFA) would likely be posted by late April or early May with applications due by May or June. Awards would be announced by Sept. 30<sup>th</sup> with grants available for funding by October 1<sup>st</sup>.
3. Only private, non-profit organizations with a main purpose of planning, developing or managing low-income housing or community development activities are eligible recipients. That would include but not be limited to those organizations in NYC that are deemed to be community development corporations (CDCs). Therefore, NYCHA should consider what non-profits or CDCs have acceptable track records in Brooklyn or the Ocean Hill-Brownsville community and which might be potential applicants in support of the project. NYCHA might consider working with LISC to identify a relevant applicant – particularly if LISC might be tapped as a potential source of NMTCs (see above NMTC discussion and Table 1.0).
4. It should be noted that the program is not limited to funding supermarket projects since a variety of job-generating projects have been funded. The creation of new employment or business opportunities for low-income individuals is the key criterion.
5. Historically, the program has provided 40 to 45 grants annually. There were at least 10 projects involving grocery components funded during the last round. In addition, there were at least 9 projects funded involving community centers and one involving a drug store development.
6. Historically, for every OCS grant dollar awarded, three to five dollars from other capital sources are leveraged.
7. A condition of the grant is the provision of evidence of some form of site control. That could create a timing issue giving the application deadlines for the program vs. the timeline for issuance of the RFP. The mismatch could result in waiting for a future round of program funding.

### Financial Impact of Incentives

The Office of Community Services of the Federal Department of Health and Human Services offers grants of up to \$800,000 to defray development costs. Grants could be used as a potential source of gap financing for the development budget.

### Cash Flow

The program has no direct cash flow impacts. Annual reporting requirements may entail incremental professional fees that could be treated as an operating expense.

### Additional Considerations

OCS grants are federal funds and thus may trigger Davis-Bacon labor requirements.

## **B III IMPLEMENTATION STRATEGY**

### **Legal Structure**

As mentioned in Section E, structuring the commercial component and the community center as a condominium can facilitate the financing of the retail component separately from the affordable housing component. The retail component should be structured to allow for separate retail sub-condominiums for the supermarket or drug store, should either co-anchor prefer to own their own space.

The mixed-use nature of the project will create issues regarding proper cost allocation between the commercial and housing components. As much cost as possible should be shifted to residential component, e.g., proportionate allocation of structural system costs.

Following are major steps and guidelines that NYCHA may want to consider during the development planning stages. Guidelines include recommended steps during the site planning and development stage, the development facilitation and funding phase, and project marketing stage.

### **Site Development**

- RFP should require site plans allowing for 16-foot ceiling heights. Site plans should also consider truck service and bays for both the supermarket and co-anchor
- RFP should allow for co-anchor alternatives to drug store (e.g., an aesthetically-appealing discount general merchandise store operation) and/or subdivision of space to provide for in-line or small shops
- Identify any truck service issues with NYCDOT that would restrict truck movements to the site and impair the anchors' logistical system
- A portion of the Saratoga Park site lies within 30 feet of the mapped street bed of Eastern Parkway. As such a provision in the New York City Administrative Code may restrict development within the portion of the site within this area (see map xx). The RFP should encourage proposals to utilize this portion of the site.

### **Development Facilitation/Coordination**

- Draft the RFP to allow for development of the commercial condominium by retail developers in partnership with affordable housing developers

- Draft the RFP to allow for purchase and sale takeout of the commercial condominium upon construction completion by investors specializing in retail projects
- Partner with the New York City Economic Development Corporation (NYCEDC) to market the project at International Council of Shopping Centers events including RECon (May 2011) and the New York national show (December 2011)
- Promote the project to trade groups of affordable housing developers
- Promote the project to trade groups of minority developers, e.g., African-American Real Estate Professionals of New York, Inc. (AAREPNY)
- Identify (but do not require) community development corporations operating in the area that might be prospective partners for applicable grant and loan programs, e.g., Dept. of Health and Human Services and LISC
- Allow sufficient response time (e.g., 4 months) in RFP to allow affordable housing developers to seek out partnerships with retail developers and investors
- Require developers to include development budget and cash flow projections in response to RFP to justify estimates of required gap funding
- Include market analysis and survey findings by AKRF/GLBA in RFPs to developers

#### **Obtaining Funding**

- Alert program staff at Dept. of Health and Human Services, USDA, NYS Healthy Food and Healthy Communities Fund, and Empire State Development Corporation to planned retail and grocery component and vet all coordination issues including funding cycles and underwriting timelines
- Enhance the credit profile and financeability of the project by securing commitment of a City or State agency to execute or guarantee the community center lease
- Alert NMTC allocatees/recipients interested in NYC projects to planned retail and grocery component
- Coordinate project development timelines with any planned program sunsets for funding sources, e.g., NMTC
- RFP should discourage the incorporation of uses prohibited by the NMTC program, e.g., liquor stores

#### **Project Marketing**

- Alert trade groups serving the supermarket industry to the planned retail and grocery component, e.g., National Supermarkets Association, Korean-American Grocers Association of NY, Food Marketing Institute, Associated Supermarkets, Krasdale, White Rose
- Solicit list of inner-city supermarket operators from United Food and Commercial Workers Union Local 1500
- RFP should mandate that any supermarket lease must meet the space allocation requirements of all applicable subsidy programs

**APPENDIX:**

**A 1: Residential Survey Form**

**New York City Housing Authority (NYCHA)  
Retail Feasibility Study for Prospect Plaza – Ocean Hill-Brownsville, Brooklyn**

NYCHA is sponsoring a retail feasibility study for the retail uses proposed by former Prospect Plaza residents and neighbors in the *Re-Vision Prospect Plaza* Community Plan, which will re-make Prospect Plaza into a vibrant place to live. This survey, designed by AKRF - the consultant retained by NYCHA to complete the study, will collect information about the shopping preferences and opinions of people residing nearby Prospect Plaza.

Thank you in advance for completing this survey. Participation is voluntary and your responses are anonymous and confidential. All information collected will be summarized and data will not identify any individual respondent. Your feedback is very important in making determinations about new retail in your neighborhood. **Please return the survey in the enclosed envelope by January 22, 2011.**

**1. WHERE DO YOU LIVE?** Zip Code: \_\_\_\_\_ **If Zip 11233**, what intersection: \_\_\_\_\_

**2. WHERE DO YOU TYPICALLY SHOP FOR GROCERIES?**

Supermarket                       Warehouse Club (e.g., BJ's or Costco)                       Deli/Bodega

**2. A. IF SUPERMARKET OR WAREHOUSCLUB, WHICH IS YOUR PREFERRED MARKET?**

Food Bazaar                       Western Beef (East NY Ave)                       NSA Atlantic Towers                       NSA Pitkin Ave  
 Kingsborough Market                       BJ's (Gateway Center)                       BJ's (Foster Ave)

Other \_\_\_\_\_

**2. B. WHAT IS THE PRIMARY REASON YOU SHOP THERE? PLEASE CHECK ONE.**

Proximity/convenience                       Price/Value                       Good selection                       Quality products  
 Clean/organized                       Parking (on-site)                       Parking (street)

Other reasons \_\_\_\_\_

**3. WHAT IS THE PRIMARY WAY YOU GET TO YOUR PREFERRED MARKET? PLEASE CHECK ONE.**

Walk                       Subway/Bus (Line \_\_\_\_ )                       Car                       Car Service

**4. DO YOU TYPICALLY COMBINE GROCERY SHOPPING WITH OTHER SHOPPING ACTIVITIES?**

Yes                       No

**5. HOW OFTEN DO YOU USUALLY SHOP FOR GROCERIES?**

Every day                       Once a week                       Every other week                       Once a month

**6. WHEN DO YOU USUALLY SHOP?**

Weekday                       Weekend                       Morning                       Evening                       Afternoon

**7. ABOUT HOW MUCH DO YOU SPEND ON GROCERIES PER WEEK?**

\$50 or less                       \$50 to \$100                       \$100 to \$250                       Over \$250

**8. HOW MANY PEOPLE DO YOU SHOP FOR / ARE IN YOUR HOUSEHOLD?** \_\_\_\_\_

**9. DO YOU CURRENTLY USE FOOD STAMPS TO BUY GROCERIES?**

- Yes  No

**10. WHAT IS THE PRIMARY WAY YOUR PREFERRED SUPERMARKET COULD IMPROVE? PLEASE CHECK ONE.**

- Larger variety  Better selection  Delivery options  Better prices  
 Better quality  Closer to my home  Better parking options

Other \_\_\_\_\_

**11. ARE THERE ANY PRODUCTS OR SERVICES THAT YOU MISS IN YOUR NEIGHBORHOOD?**

- Pharmacy/drug store  Doctor's office  Clothing/apparel  Electronics  
 Household goods  Restaurant  Furniture  Groceries

Other \_\_\_\_\_

**12. WHAT IS YOUR ANNUAL HOUSEHOLD INCOME?**

- \$10,000 or less  \$10,000 to \$30,000  \$30,000 to \$50,000  More than \$50,000

**13. PLEASE SHARE YOUR THOUGHTS OR COMMENTS ON RETAIL STORES IN THE AREA:**

**OPTIONAL:**

**IN ORDER TO HELP US BETTER UNDERSTAND WHO NEW RETAILERS IN YOUR AREA WOULD SERVE, PLEASE SHARE THE FOLLOWING INFORMATION ABOUT YOURSELF. AGAIN, ALL RESPONSES ARE ANONYMOUS AND CONFIDENTIAL, AND DATA WILL NOT IDENTIFY ANY INDIVIDUAL RESPONDENT.**

**What is your gender:** Female Male

**What is your age:**

- Under 20 years  20 to 29 years  30 to 39 years  40 to 49 years  
 50 to 59 years  60 to 69 years  70 to 79 years  Over 80 years

**Please tell us which ethnic or racial group you most closely identify with:**

- Black/African American  Hispanic  Asian  Native American  
 White/Caucasian  Two or more races  Other \_\_\_\_\_

**Please tell us where you're from:**

- USA/North America  Caribbean  South America  Central America  
 Europe  Asia  Africa

## A 2: Merchant Survey Form

**MERCHANT SURVEY: Prospect Plaza**

**Part 1: Basic Business Operations**

Store name	
Store location	
Store Category	
How long have you been in this location?	Since
How big is your store?	
Do you own or rent your store?	Own                  Rent
Do you live in the neighborhood?	Yes                  No
If renting, can you please share your monthly rent?	Total                  Per sq
What are your hours of operation?	
What languages do your employees speak?	
Who do you think is your biggest competitor?	
Other operational comments:	

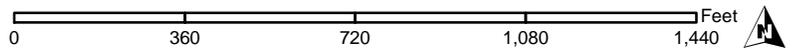
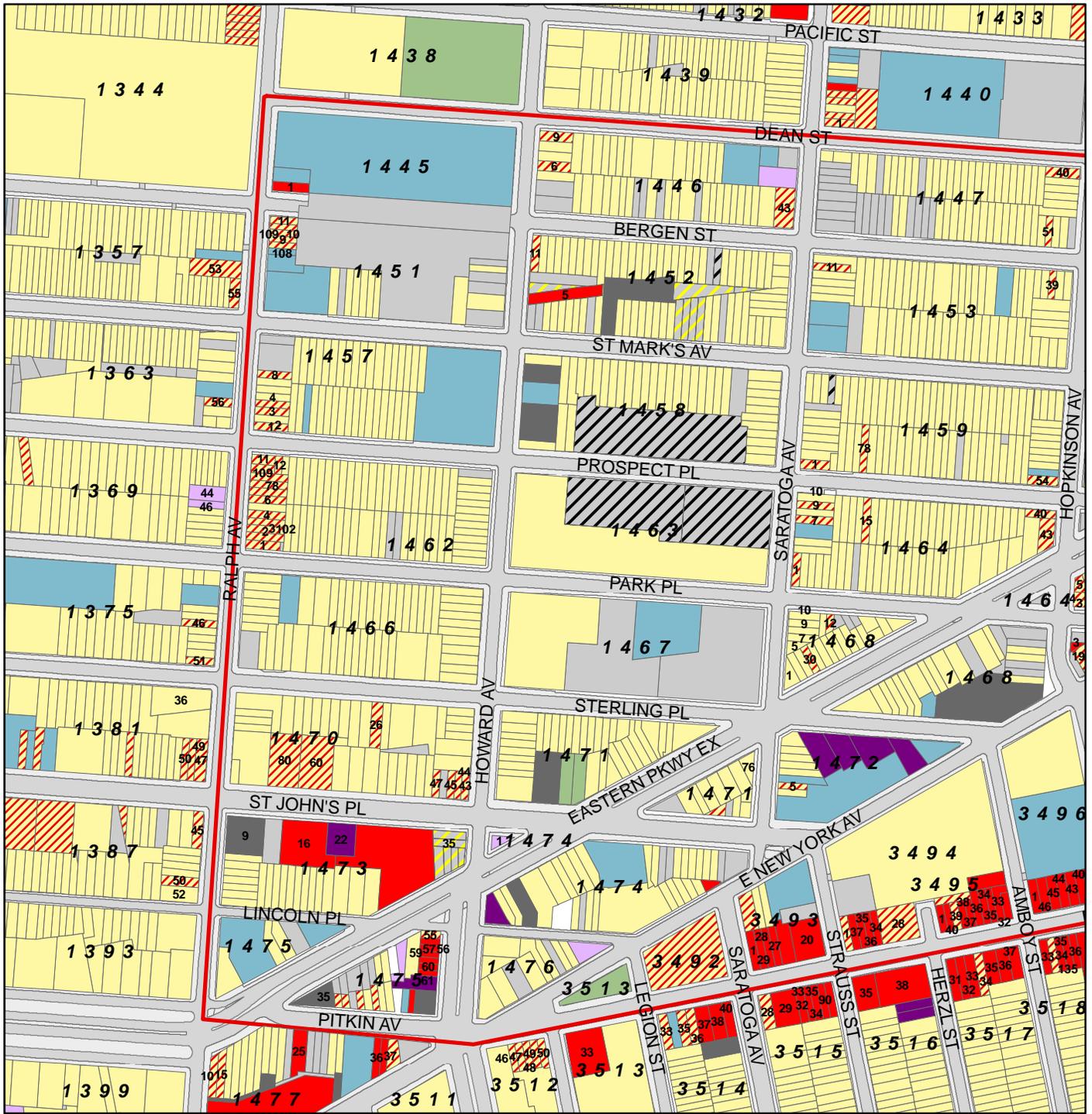
**Part 2: Customer Profile**

Describe your overall business activity – busiest time?	What day (weekday or weekend)? What time of day? What time of year?
What is your best selling product?	
How often do your customers come in? What percentage of your business is from repeat customers?	Daily                  Weekly                  Once a month
Where do most of your customers live?	
How do they get to your store?	Walk                  Drive                  Subway
What is the predominant language of your customers?	English                  Spanish                  Other
Has your clientele changed in the recent past?	
Is there anything your customers can't get in the neighborhood?	
Do your customers use food stamps?	
Other customer comments:	

**Part 3: Neighborhood and Business Environment**

In your opinion, what is the perception that people have of the area?	
What are the challenges of running a business in the area?	<ul style="list-style-type: none"> <li>• Not enough customers?</li> <li>• Not enough parking?</li> <li>• Not enough businesses?</li> <li>• Too much competition?</li> <li>• Crime?</li> </ul>
Are these challenges unique to your business?	
Overall business activity on the area?	Poor                  Fair                  Good
Are there any major traffic generators that bring business to the area?	
How would you describe security in this area?	Poor                  Fair                  Good
If crime is an issue, what are you most concerned about?	
If crime is an issue, what should be done to decrease crime?	
Pedestrian safety – signs, street crossing, etc.	Poor                  Fair                  Good
Parking availability	Poor                  Fair                  Good
If parking is a concern, what are the reasons?	Meter timing                  General availability Other
Loading/unloading conditions	Poor                  Fair                  Good
What type of businesses does the area need that it currently lacks?	
What would make businesses more successful in the area?	Storefront improvements Better/more security Parking Other
Other neighborhood comments:	

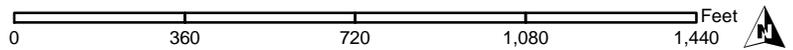
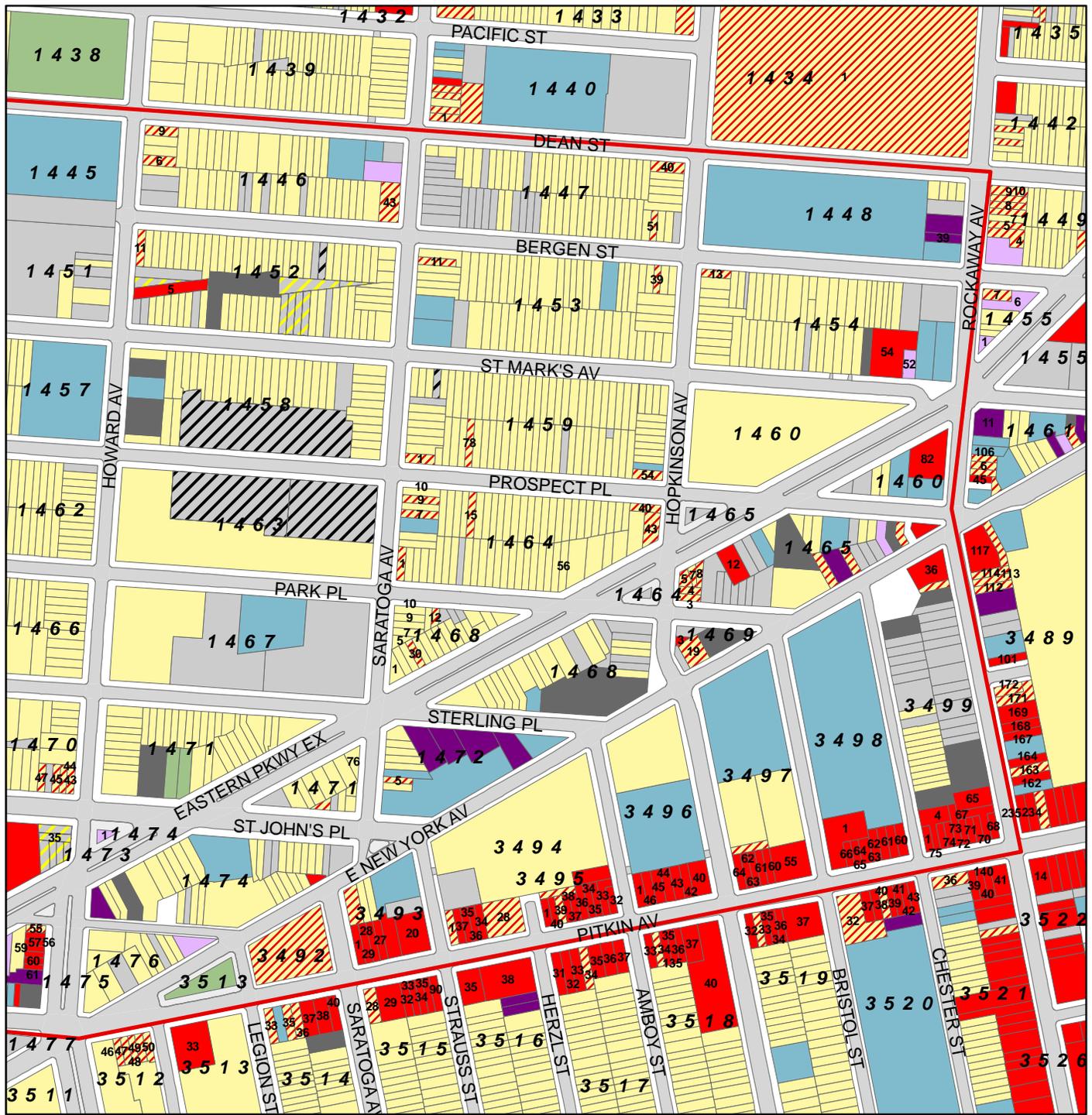
### **A 3: Retail Inventory Maps (1/4-Mile)**



- |   |  |
|---|--|
|  1/4-Mile Study Area               |  Public Facilities and Institutions |
|  Residential                       |  Open Space and Outdoor Recreation  |
|  Residential with Commercial Below |  Parking Facilities                 |
|  Hotels                            |  Vacant Land                        |
|  Commercial and Office Buildings   |  Vacant Building                    |
|  Industrial and Manufacturing      |  Under Construction                 |
|  Transportation and Utility        |  |

PROSPECT PLAZA RETAIL MARKET STUDY

Retail Inventory (1/4-Mile Study Area)



- |   |  |
|---|--|
|  1/4-Mile Area                     |  Public Facilities and Institutions |
|  Residential                       |  Open Space and Outdoor Recreation  |
|  Residential with Commercial Below |  Parking Facilities                 |
|  Hotels                            |  Vacant Land                        |
|  Commercial and Office Buildings   |  Vacant Building                    |
|  Industrial and Manufacturing      |  Under Construction                 |
|  Transportation and Utility        |  |

PROSPECT PLAZA RETAIL MARKET STUDY

Retail Inventory (1/4-mile Study Area)

**A 4: Retail Inventory List of Businesses (1/4-Mile)**

Prospect Plaza Retail Market Study- Retail Inventory (1/4-mile study area)

Block	Lot	Address	Zoning District	Commercial Overlay	Land Use	Number of Floors	Lot Area	Total Building Area	Retail Area	Store Type	Store Name
1357	53	440 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	3	6,765	4,320	1,920	Church	NA
1357	55	444 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	4	2,000	7,520	1,750	Vacant storefront, General Merch., Vacant storefront, Convenience stores	NA, Phil's Barber Shop (gen. merch), NA, Yudy Grocery
1363	56	474 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	4	1,875	5,255	944	Vacant storefront	NA
1369	44	490 RALPH AVENUE	R6		Transportation & Utility	1	3,883	3,883	0	Automotive repair and maintenance	Golden Touch Auto Collision
1369	46	496 RALPH AVENUE	R6		Transportation & Utility	1	2,000	1,200	0	Automotive repair and maintenance	A+A Jump Start Auto Repairs
1375	46	526 RALPH AVENUE	R6	C1-3	Mixed Residential & Commercial Buildings	3	1,900	2,700	1,350	Vacant storefront	NA
1375	51	536 RALPH AVENUE	R6	C1-3	Mixed Residential & Commercial Buildings	3	1,500	4,080	1,360	Convenience store	Super Deli and Grocery Corp.
1381	36	1682 STERLING PLACE	R6	C1-3	Multi-Family Walk-Up Buildings	4	7,680	29,150	3,000	Convenience store	Shop Smart Meat Market
1381	47	558 RALPH AVENUE	R6	C1-3	Mixed Residential & Commercial Buildings	4	3,125	10,170	2,543	Beer, wine and liquor store, Vacant storefront	ABC Liquor, NA
1381	49	1645 ST JOHN'S PLACE	R6	C1-3	Mixed Residential & Commercial Buildings	3	2,047	4,104	1,368	Limited-service eating place	China King Restaurant
1381	50	1643 ST JOHN'S PLACE	R6	C1-3	Mixed Residential & Commercial Buildings	3	2,047	4,104	1,368	Limited-service eating place	Crown Fried Chicken and Pizza
1387	45	1660 ST JOHN'S PLACE	R6	C2-3	Mixed Residential & Commercial Buildings	4	2,256	7,968	1,992	Vacant storefront, Convenience store, Laundromat	NA, Amigos Grocery, Dios Mery's Super Laundromat
1387	50	576 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	3	2,667	3,219	1,073	Church	NA
1387	52	578 RALPH AVENUE	R6		Multi-Family Walk-Up Buildings	4	4,000	14,400	3,600	Convenience store	Peralta Grocery
1434	1	214 HOPKINSON AVENUE	R6	C1-2	Mixed Residential & Commercial Buildings	23	339,094	762,336	13,000	Supermarket	NSA Supermarket
1440	1	311 SARATOGA AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	2	1,586	2,676	1,586	Vacant	NA
1445	1	427 RALPH AVENUE	R6		Commercial & Office Buildings	1	2,500	2,500	2,000	Funeral homes and funeral services	A Barrett Funeral Services, Inc.
1446	6	373 HOWARD AVENUE	R6		Mixed Residential & Commercial Buildings	3	2,430	5,338	1,779	Hair, nail, and skin services, Vacant storefront	Barber Shop, NA
1446	9	2062 DEAN STREET	R6		Mixed Residential & Commercial Buildings	3	2,355	6,240	1,040	Convenience store	Dean Street Grocery Deli
1446	43	1939 BERGEN STREET	R6	C2-3	Mixed Residential & Commercial Buildings	4	5,358	19,000	1,213	Vacant storefront, Laundromat, Vacant storefront, Taxi and limousine services, Automotive repair and maintenance	NA, T.K. Laundromat, NA, BAL Car Service, Saratoga's Limousine and Taxi Rental Services
1447	40	2220 DEAN STREET	R6		Mixed Residential & Commercial Buildings	3	2,430	5,670	1,620	Convenience store	2220 Deli Grocery
1447	51	2005 BERGEN STREET	R6		Mixed Residential & Commercial Buildings	2	1,600	3,300	1,100	Church	NA
1448	39	262 ROCKAWAY AVENUE	R6	C2-3	Industrial & Manufacturing	2	2,500	2,980	640	Vacant storefront	NA
1449	4	243 ROCKAWAY AVENUE	R6		Mixed Residential & Commercial Buildings	2	3,500	5,000	0	Vacant storefront	NA
1449	5	241 ROCKAWAY AVENUE	R6		Mixed Residential & Commercial Buildings	3	1,800	3,672	918	Church	NA
1449	7	237 ROCKAWAY AVENUE	R6		Mixed Residential & Commercial Buildings	3	1,800	3,672	918	Church	NA
1449	8	235 ROCKAWAY AVENUE	R6		Mixed Residential & Commercial Buildings	3	1,800	3,672	918	Vacant storefront	NA
1449	9	233 ROCKAWAY AVENUE	R6		Mixed Residential & Commercial Buildings	3	1,800	3,672	918	Laundromat	Perfect Laundromat
1449	10	231 ROCKAWAY AVENUE	R6		Mixed Residential & Commercial Buildings	3	2,442	5,397	1,099	Convenience store	Abreheim's Food Central

Block	Lot	Address	Zoning District	Commercial Overlay	Land Use	Number of Floors	Lot Area	Total Building Area	Retail Area	Store Type	Store Name
1451	9	433A RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	1,263	2,220	1,110	Vacant storefront	NA
1451	10	431 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	1,263	2,220	1,110	Limited-service eating places	Fortune G Chinese Food Take-Out
1451	11	429 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	1,331	2,326	0	Church	NA
1451	108	435 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	1,263	2,220	1,110	Church	NA
1451	109	433 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	1,263	2,220	1,110	Convenience store	Morales Grocery
1452	5	403 HOWARD AVENUE	R6		Commercial & Office Buildings	1	5,895	3,150	3,150	Vacant storefront	NA
1452	11	1872 BERGEN STREET	R6		Mixed Residential & Commercial Buildings	3	2,000	4,080	1,960	Convenience store	Tenares Grocery Corp.
1453	11	339 SARATOGA AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	4	2,000	6,300	800	Convenience store	JAK 1129 Grocery and Deli
1453	39	2006 BERGEN STREET	R6		Mixed Residential & Commercial Buildings	3	1,500	3,000	0	Church	NA
1454	13	2018 BERGEN STREET	R6		Mixed Residential & Commercial Buildings	4	1,600	5,760	1,440	Convenience store, 2 vacant storefronts	PD Deli and Grocery Corp., NA
1454	52	1667 ST MARK'S AVENUE	R6		Transportation & Utility	1	2,531	2,475	0	Automotive repair and maintenance	Luxury Automotive Repair
1454	54	1655 ST MARK'S AVENUE	R6		Commercial & Office Buildings	1	13,415	13,157	0	Other neighborhood services	Learning Support Center
1455	1	267 ROCKAWAY AVENUE	R6		Transportation & Utility	1	920	850	0	Automotive repair and maintenance	Wally's Auto Radiators
1455	6	2096 BERGEN STREET	R6		Transportation & Utility	1	4,692	270	0	Automotive accessories	Giove Auto Sound and Security
1455	7	251 ROCKAWAY AVENUE	R6		Mixed Residential & Commercial Buildings	2	2,137	2,794	1,082	Automotive repair and maintenance	Roberto Auto Repair
1457	1	479 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	3	1,790	3,882	1,082	Limited-service eating place	No. 1 Chinese Restaurant
1457	2	477 RALPH AVENUE	R6		Multi-Family Walk-Up Buildings	3	1,790	3,120	0	Computer and software store	Right IT Computers
1457	3	475 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	3	1,790	3,300	1,100	Laundromat	Laundromat
1457	4	473 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	3	1,790	3,300	0	Church	NA
1457	8	465 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	3	1,790	3,300	550	Hair, nail, and skin services	Calvin and Tex Studio Barber Shop
1459	1	1797 PROSPECT PLACE	R6	C1-3	Mixed Residential & Commercial Buildings	3	1,887	5,232	872	Convenience store	Prospect Place Mini Market
1459	54	1873 PROSPECT PLACE	R6		Mixed Residential & Commercial Buildings	3	1,887	4,594	0	No Retail	NA
1459	78	1821 PROSPECT PLACE	R6		Mixed Residential & Commercial Buildings	2	2,555	3,360	0	Church	NA
1460	82	1710 EASTERN PARKWAY EXT	C8-2		Commercial & Office Buildings	1	11,050	3,168	3,168	Limited-service eating places	Dunkin Donuts, Baskin Robbins
1461	4	319 ROCKAWAY AVENUE	R6	C2-3	Commercial & Office Buildings	2	1,160	2,288	0	Church	NA
1461	5	317 ROCKAWAY AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	2	1,318	2,636	0	Church	NA
1461	6	315 ROCKAWAY AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	2	1,318	2,636	1,318	Vacant storefront	NA
1461	11	301 ROCKAWAY AVENUE	R6	C2-3	Industrial & Manufacturing	2	5,875	6,450	0	Pawn shop, Automotive repair and maintenance, professional service	St. Marks Gold, LLC, K and W Chung Auto - Collision Specialists, BBF Printing
1461	106	313 ROCKAWAY AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	2	1,353	2,706	1,353	Vacant storefront	NA
1462	1	509 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	1,980	3,062	1,522	Pharmacy and drug store	Gulshan Pharmacy, Inc.
1462	2	507 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	2,033	1,788	894	Professional office	KHIDMAH Corp.
1462	3	503 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	2,033	1,788	0	Church	NA

Block	Lot	Address	Zoning District	Commercial Overlay	Land Use	Number of Floors	Lot Area	Total Building Area	Retail Area	Store Type	Store Name
1462	4	501 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	2,033	1,788	894	Vacant storefront	NA
1462	6	495 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	2,033	1,788	0	Church	NA
1462	7	493 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	2,033	1,788	0	Church	NA
1462	8	491 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	2,033	1,788	0	Church	NA
1462	9	489 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	2,058	1,788	894	Vacant storefront	NA
1462	10	487 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	1,500	3,000	0	Church	NA
1462	11	483 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	1,500	2,982	1,482	Convenience store	483 Ralph Food Market Corp.
1462	12	1646 PROSPECT PLACE	R6		Mixed Residential & Commercial Buildings	2	1,000	1,800	900	Hair, nail, and skin services	Sister's Beauty Salon
1462	102	505 RALPH AVENUE	R6		Mixed Residential & Commercial Buildings	2	2,033	1,788	0	Church	NA
1464	1	409 SARATOGA AVENUE	R6	C1-3	Mixed Residential & Commercial Buildings	4	1,912	6,500	1,140	Vacant storefront (3)	NA
1464	7	397 SARATOGA AVENUE	R6	C1-3	Mixed Residential & Commercial Buildings	3	2,000	4,200	2,000	Professional office	Zalimah Contracting Inc.
1464	9	393 SARATOGA AVENUE	R6	C1-3	Mixed Residential & Commercial Buildings	3	2,000	3,300	0	Vacant storefront	NA
1464	10	391 SARATOGA AVENUE	R6	C1-3	Mixed Residential & Commercial Buildings	4	2,000	7,400	1,800	All other professional offices (travel, tax, etc.)	Tax First
1464	15	1820 PROSPECT PLACE	R6		Mixed Residential & Commercial Buildings	3	2,555	3,300	0	Church	NA
1464	40	352 HOPKINSON AVENUE	R6		Mixed Residential & Commercial Buildings	3	1,600	4,800	2,000	Vacant storefront	NA
1464	43	1631 EASTERN PARKWAY EXT	R6		Mixed Residential & Commercial Buildings	4	3,478	12,000	0	Convenience store	Mendez Mini Market
1465	3	379 HOPKINSON AVENUE	C8-2		Mixed Residential & Commercial Buildings	2	1,100	2,200	0	Vacant storefront	NA
1465	4	377 HOPKINSON AVENUE	C8-2		Mixed Residential & Commercial Buildings	2	1,195	2,390	0	Vacant storefront	NA
1465	5	1634 EASTERN PARKWAY EXT	C8-2		Mixed Residential & Commercial Buildings	2	1,204	2,408	1,204	Floor covering store	Comfort Carpet Wholesale
1465	7	1636 EASTERN PARKWAY EXT	C8-2		Mixed Residential & Commercial Buildings	2	1,031	2,060	0	Hair, nail and skin services	Clara's Mirror Unisex Salon
1465	8	1638 EASTERN PARKWAY EXT	C8-2		Mixed Residential & Commercial Buildings	2	1,134	2,260	1,130	Limited-service eating place	Kennedy Fried Chicken
1465	12	1648 EASTERN PARKWAY EXT	C8-2		Commercial & Office Buildings	0	5,250	11,384	0	Professional office	Law Office
1468	1	1547 EASTERN PARKWAY EXT	R6	C2-3	Mixed Residential & Commercial Buildings	3	2,036	4,290	1,828	Vacant storefront	NA
1468	5	425 SARATOGA AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	3	1,220	3,660	1,220	Professional office	Unnamed Professional Office
1468	7	423 SARATOGA AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	3	1,515	3,000	1,000	Vacant storefront	NA
1468	9	419 SARATOGA AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	3	1,691	3,000	1,000	Professional office	3-Tees Printing
1468	10	417 SARATOGA AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	4	1,609	5,848	731	Convenience store	Columbo Mini Market
1468	12	1838 PARK PLACE	R6	C2-3	Mixed Residential & Commercial Buildings	3	926	2,394	0	Church	NA
1468	30	1553 EASTERN PARKWAY EXT	R6	C2-3	Mixed Residential & Commercial Buildings	3	1,600	3,000	0	Church	NA
1469	3	385 HOPKINSON AVENUE	R6	C2-3	Commercial & Office Buildings	1	1,176	400	400	Vacant storefront	NA
1469	19	1453 EAST NEW YORK AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	3	4,200	8,640	2,880	Hair, nail, and skin services, Vacant storefront	Yole's Beauty Salon; NA

Block	Lot	Address	Zoning District	Commercial Overlay	Land Use	Number of Floors	Lot Area	Total Building Area	Retail Area	Store Type	Store Name
1470	26	1746 STERLING PLACE	R6		Mixed Residential & Commercial Buildings	2	3,618	2,240	0	Day care	Unique Start Day Care
1470	43	1715 ST JOHN'S PLACE	R6	C2-3	Mixed Residential & Commercial Buildings	3	1,532	3,712	1,512	Hair, nail, and skin services; Convenience store	Elite Barber Shop, Howard Deli Grocery Inc.
1470	44	1711 ST JOHN'S PLACE	R6	C2-3	Multi-Family Walk-Up Buildings	3	1,532	3,300	0	Vacant storefront	NA
1470	45	1709 ST JOHN'S PLACE	R6	C2-3	Mixed Residential & Commercial Buildings	3	1,532	3,300	0	Church	NA
1470	47	1705 ST JOHN'S PLACE	R6	C2-3	Mixed Residential & Commercial Buildings	3	1,532	3,500	0	Church	NA
1470	60	1677 ST JOHN'S PLACE	R6	C2-3	Mixed Residential & Commercial Buildings	4	12,301	39,600	1,600	Vacant storefront, Day care	NA, Smiling Faces Day Care
1470	80	1661 ST JOHN'S PLACE	R6	C2-3	Mixed Residential & Commercial Buildings	4	12,301	39,600	1,600	Hair, nail, and skin services; Limited-service eating place; All other general merch.	New Image Hair Salon, Zhang's Garden Chinese Restaurant, Lucky Chai 99 Cent and Up
1471	76	452 SARATOGA AVENUE	R6		Multi-Family Walk-Up Buildings	3	1,978	5,646	0	Other neighborhood services	Sunrise Postal Service Center
1472	5	459 SARATOGA AVENUE	R6		Mixed Residential & Commercial Buildings	3	1,440	3,240	0	Church	NA
1473	9	567 RALPH AVENUE	R6		Parking Facilities	1	10,000	7,000	0	Automotive repair and maintenance	Josh's Auto Repair, AV Auto Repair
1473	16	1682 ST JOHN'S PLACE	R6		Commercial & Office Buildings	1	15,962	24,000	18,000	Supermarket	Food Bazaar
1473	22	1700 ST JOHN'S PLACE	R6		Parking Facilities	1	6,375	6,375	630	Automotive repair and maintenance, Limited Service Eating Place	Lucky Trade Transmissions, Pizzaria Lubrense
1473	35	522 HOWARD AVENUE	R6		Parking Facilities	0	1,740	0	0	Other miscellaneous shopping goods	Atlantic Commons
1474	1	519 HOWARD AVENUE	R6		Transportation & Utility	1	1,140	120	0	Gasoline Station	Citgo Gas Station
1475	35	1412 EASTERN PARKWAY EXT	C8-2		Parking Facilities	2	4,295	2,272	0	Gasoline station	Sunoco Gas Station
1475	55	542 HOWARD AVENUE	C8-2		Mixed Residential & Commercial Buildings	2	929	1,850	925	Vacant storefront	NA
1475	56	544 HOWARD AVENUE	C8-2		Commercial & Office Buildings	2	850	1,530	1,530	Hardware store	Hardware Store
1475	57	546 HOWARD AVENUE	C8-2		Commercial & Office Buildings	2	850	1,530	1,530	Hardware store	Hardware store
1475	59	550 HOWARD AVENUE	C8-2		Commercial & Office Buildings	2	850	1,530	1,530	Vacant storefront	NA
1475	60	552 HOWARD AVENUE	C8-2		Commercial & Office Buildings	2	850	1,530	1,530	Vacant storefront	NA
1475	61	554 HOWARD AVENUE	C8-2		Commercial & Office Buildings	2	850	1,530	1,530	Vacant storefront	NA
1477	10	1380 EASTERN PARKWAY EXT	C8-2		Mixed Residential & Commercial Buildings	3	2,131	4,320	1,440	Convenience store	New York Deli and Grocery
1477	15	1382 EASTERN PARKWAY EXT	C8-2		Mixed Residential & Commercial Buildings	2	2,409	3,880	1,400	Laundromat	Parkway Laundromat
1477	25	1406 PITKIN AVENUE	C8-2		Commercial & Office Buildings	2	4,550	8,000	0	Funeral homes and funeral services	Unity Funeral Chapel
1477	36	1428 PITKIN AVENUE	C8-2		Commercial & Office Buildings	3	2,200	5,500	1,000	Automotive parts, accessories, and tires	Auto Tech
1477	37	1430 PITKIN AVENUE	C8-2		Commercial & Office Buildings	3	1,793	6,000	2,000	Automotive parts, accessories, and tires, Other neighborhood services	Rutland Tire Shop, McMillan Home Care
3489	101	367 ROCKAWAY AVENUE	R6	C2-3	Commercial & Office Buildings	1	2,002	1,500	1,500	Convenience store	Rockaway Food, Inc. Deli and Grill
3489	112	343 ROCKAWAY AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	2	2,002	1,680	840	Vacant storefront (2)	NA
3489	113	341 ROCKAWAY AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	2	2,002	2,740	1,060	Photocopy store	Copy King
3489	114	339 ROCKAWAY AVENUE	R6	C2-3	Mixed Residential & Commercial Buildings	2	2,002	1,680	420	Vacant storefront	NA
3489	117	1536 EAST NEW YORK AVENUE	R6	C2-3	Commercial & Office Buildings	3	7,350	13,860	5,670	Electronics store (2), Vacant storefront	Yamit Video and Electronics, NA, unnamed electronics store
3489	162	407 ROCKAWAY AVENUE	C4-3		Commercial & Office Buildings	3	2,502	7,000	2,500	Furniture store	Liquidation House, LLC
3489	163	405 ROCKAWAY AVENUE	C4-3		Mixed Residential & Commercial Buildings	3	2,502	3,600	1,200	Furniture store, Professional office	Unnamed Furniture Store, Mundo Tours, Inc.

Block	Lot	Address	Zoning District	Commercial Overlay	Land Use	Number of Floors	Lot Area	Total Building Area	Retail Area	Store Type	Store Name
3489	164	399 ROCKAWAY AVENUE	C4-3		Commercial & Office Buildings	1	2,502	1,000	1,000	Used merchandise store	Furniture Old and New Buy and Sell
3489	167	393 ROCKAWAY AVENUE	C4-3		Commercial & Office Buildings	3	2,502	6,750	2,250	Church, Furniture store	NA, D and M Best Furniture
3489	168	391 ROCKAWAY AVENUE	C4-3		Commercial & Office Buildings	1	2,502	3,081	3,081	Vacant storefront	NA
3489	169	385 ROCKAWAY AVENUE	C4-3		Commercial & Office Buildings	4	5,004	18,500	9,500	Used merchandise store	Rockaway New and Used Furniture
3489	171	16 GLENMORE AVENUE	C4-3		Mixed Residential & Commercial Buildings	3	3,129	6,129	3,129	Used merchandise store	Minaya's Flea Market
3489	172	375 ROCKAWAY AVENUE	C4-3		Mixed Residential & Commercial Buildings	3	1,875	3,875	1,292	Used merchandise store	Goody Goody Place
3489	234	1699 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,500	5,408	3,832	Hair, nail, and skin services	Liberty House of Beauty
3489	235	1697 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	2,500	7,500	0	Bank	Chase Bank
3493	1	1525 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,000	5,080	2,000	Hair, nail and skin services; vacant store	Master's Barber Shop, NA
3493	20	1547 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	8,000	16,000	16,000	All other general merchandise store, Fitness and recreational sports centers	99 Cent Xpress, Lucille Roberts Gym
3493	27	1535 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,000	4,160	1,080	Medical or dental offices; Hair, nail, and skin services	Pitkin Medical Diagnostics, Arlene's Hair Impressions & Fatima African Hair Braiding
3493	28	1529 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,000	4,200	2,000	Drycleaning and laundry services	Tavarez Dry Cleaners
3493	29	1527 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,000	4,160	2,000	Pharmacy and drug store	Zoya Pharmacy, Inc.
3494	1	1841 STRAUSS STREET	C4-3		Mixed Residential & Commercial Buildings	4	1,800	3,750	1,350	Shoe store	Pitkin Avenue Shoe
3494	28	1561 PITKIN AVENUE	C4-3		Mixed Residential & Commercial Buildings	4	9,000	25,128	2,958	Hair, nail, and skin services (2), Gift, novelty, and souvenir stores, Limited-service eating places, women's clothing store, check cashing	Natural Top Nails, Party Plaza, Big Apple Cafe, SAIMA Fashions, Pay-o-matic-Western Union, Gloria's Beauty Salon
3494	34	1559 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,800	4,040	1,800	Women's clothing store	Rainbow Women's Clothing
3494	35	1557 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,800	4,040	1,800	Women's clothing store	Rainbow Women's Clothing
3494	36	1553 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,800	4,040	1,800	Women's clothing store	Rainbow Women's Clothing
3494	37	1551 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,800	4,040	1,800	Women's clothing store	Rainbow Women's Clothing
3495	1	1573 PITKIN AVENUE	C4-3		Commercial & Office Buildings	1	1,400	1,400	1,400	Women's clothing store	Ashley Stewart Women's Clothing
3495	32	1595 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,400	3,640	1,400	Mobile phone store	Metro PCS
3495	33	1593 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,200	5,560	2,200	Furniture store	Seaman's Furniture
3495	34	1589 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	1,800	3,600	3,600	Men's and women's clothing store	Jimmy Jazz
3495	35	1587 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	1,800	3,600	3,600	Men's and women's clothing store	Jimmy Jazz
3495	36	1585 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,800	3,600	1,720	Vacant storefront	NA
3495	37	1583 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,400	3,060	1,120	Limited-service eating place	Miami Subs Pizza and Grill
3495	38	1581 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,400	3,140	1,200	Women's clothing store	Styloe Fashion
3495	39	1577 PITKIN AVENUE	C4-3		Mixed Residential & Commercial Buildings	3	1,400	3,000	1,500	Shoe Store	5 Dollar Shoe Store
3495	40	1575 PITKIN AVENUE	C4-3		Commercial & Office Buildings	1	1,400	1,400	1,400	Women's clothing store	Ashley Stewart Women's Clothing
3496	1	1597 PITKIN AVENUE	C4-3		Commercial & Office Buildings	1	2,160	2,064	2,064	Men's clothing store	Jeans Plus
3496	40	1615 PITKIN AVENUE	C4-3		Commercial & Office Buildings	1	4,140	4,140	4,140	Shoe store, Mobile phone store, Optical goods	For Ever Shoes, Boost Mobile, Shades of Brooklyn Optical
3496	42	1613 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,340	5,616	2,236	Family clothing store	Lara
3496	43	1609 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,340	5,460	2,236	Beauty supply store	Simple Beauty Supply
3496	44	1607 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,340	4,821	2,229	Shoe store	Fabco Shoes
3496	45	1603 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,333	5,754	2,229	Men's clothing store	Handsome Boutique
3496	46	1601 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	2,340	3,900	2,236	Men's clothing store	Jeans Plus
3497	55	1631 PITKIN AVENUE	C4-3		Commercial & Office Buildings	1	9,000	12,772	8,872	Pharmacy and drug store	Rite Aid
3497	60	1629 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,800	4,680	1,800	Furniture store	Furniture Gallery
3497	61	1627 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,800	4,680	1,800	Pawn shop	East Pawnbroker, Inc.

Block	Lot	Address	Zoning District	Commercial Overlay	Land Use	Number of Floors	Lot Area	Total Building Area	Retail Area	Store Type	Store Name
3497	62	1625 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,800	3,800	2,800	All other general merchandise store; Hair, nail, and skin services	Dollar Champion and Discount, Edith Hair World
3497	63	1623 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,800	3,800	1,800	Vacant storefront	NA
3497	64	1621 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,800	5,400	1,800	Pharmacy and drug store	Pitkin Care Pharmacy
3498	1	1645 PITKIN AVENUE	C4-3		Commercial & Office Buildings	1	10,850	10,400	10,400	All other home furnishings store	Paramount Decorations
3498	60	1667 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	2,125	4,250	4,250	Limited-service eating place	Kentucky Fried Chicken
3498	61	1665 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	2,125	4,250	4,250	Furniture store	Long Last Furniture, Inc.
3498	62	1663 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,125	4,925	2,125	Women's clothing store	D. Fashions, Inc.
3498	63	1661 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,108	6,020	3,220	Hair, nail, and skin services (2)	Bintou African Hair Braiding, William Barber Shop
3498	64	1653 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,927	3,660	2,700	Limited-service eating place, Shoe store	Golden Crust, Sneaker Net Corp
3498	65	1651 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,286	2,880	2,880	All other general merchandise store	Brooklyn 99 Cents and Up Discount and Variety Store
3498	66	1649 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,287	2,880	2,880	Other health and personal care	Hair and Wig Collection
3499	1	1669 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,287	3,280	1,280	Shoe store	Shoe Warehouse
3499	4	1671 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	5,287	10,327	4,807	Men's clothing store	Porta Bella
3499	36	326 ROCKAWAY AVENUE	R6	C2-3	Commercial & Office Buildings	1	6,942	6,942	6,942	Vacant storefront	NA
3499	65	408 ROCKAWAY AVENUE	C4-3		Commercial & Office Buildings	3	5,000	13,500	0	Medical offices, Convenience store	BMS Life and Wellness Center, Affinity Health Plan Office, Rockaway Deli
3499	67	1689 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	3,788	7,620	3,780	Pet and pet supplies store	Petland
3499	68	1691 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,287	3,858	100	Professional office	H and R Block
3499	70	1685 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,285	3,128	1,288	Limited-service eating place	Subway Sandwiches
3499	71	1683 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,288	3,858	1,288	Vacant storefront	NA
3499	72	1681 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,288	3,864	1,288	Vacant storefront	NA
3499	73	1679 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,287	5,600	2,160	Men's clothing store	Porta Bella
3499	74	1677 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,287	3,287	1,287	Men's clothing store	Porta Bella
3499	75	1673 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,287	3,287	1,287	Men's clothing store	Porta Bella
3512	46	1466 PITKIN AVENUE	R6	C1-3	Mixed Residential & Commercial Buildings	3	1,500	3,000	1,050	Convenience store	Stop 2 Food Market
3512	47	1468 PITKIN AVENUE	R6	C1-3	Mixed Residential & Commercial Buildings	3	1,500	3,000	1,050	Limited-service eating place	Shun Li Kitchen
3512	48	1470 PITKIN AVENUE	R6	C1-3	Mixed Residential & Commercial Buildings	3	1,500	3,000	1,050	Beer, wine, and liquor store	Liquor Store
3512	49	1474 PITKIN AVENUE	R6	C1-3	Mixed Residential & Commercial Buildings	3	1,500	3,000	0	Limited-service eating place	Villa Castillo Restaurant
3512	50	1476 PITKIN AVENUE	R6	C1-3	Mixed Residential & Commercial Buildings	3	1,585	3,985	1,585	Limited-service eating place	Crown Fried Chicken and Pizza
3513	33	1480 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	12,052	23,200	23,200	Supermarket, Furniture store	NSA Supermarket, Lindo Home Furniture
3514	33	1500 PITKIN AVENUE	C4-3		Mixed Residential & Commercial Buildings	4	2,323	8,350	1,044	Hair, nail, and skin services; Convenience store	Lorena's Barber Shop, Papa Deli Mini Market
3514	35	1508 PITKIN AVENUE	C4-3		Mixed Residential & Commercial Buildings	3	2,323	5,700	2,100	Discount department store, Laundromat	Varieties Discount Store, PTO Laundromat
3514	36	1512 PITKIN AVENUE	C4-3		Mixed Residential & Commercial Buildings	3	2,323	7,500	2,100	All other general merchandise store	99 Cents and Up
3514	37	1518 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	3,484	6,262	6,262	Discount department store	Kid City
3514	38	1520 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	3,484	6,262	6,262	Discount department store	Kid City
3514	40	1522 PITKIN AVENUE	C4-3		Commercial & Office Buildings	1	2,323	2,300	2,300	Beauty supply store, general merchandise store	Star Beauty Supplies, Avon Bargain Store
3515	28	1526 PITKIN AVENUE	C4-3		Mixed Residential & Commercial Buildings	4	2,788	12,438	6,219	Discount department store	Bargain Hunters
3515	29	1530 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	6,440	23,960	11,980	Discount department store	Bargain Hunters
3515	32	1538 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,858	3,840	1,760	Vacant storefront	NA
3515	33	1540 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,858	3,120	1,040	Other neighborhood services	Distinction Taz
3515	34	1542 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,858	4,650	3,610	Furniture store	Kai Furniture
3515	35	1546 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,858	4,800	1,840	Vacant storefront	NA
3515	90	1548 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,858	4,255	1,855	Women's clothing store	Sassy Fashion Ladies Wear
3516	35	1550 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	5,575	10,500	10,500	Women's clothing store	Lane Bryant

Block	Lot	Address	Zoning District	Commercial Overlay	Land Use	Number of Floors	Lot Area	Total Building Area	Retail Area	Store Type	Store Name
3516	38	1558 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	13,009	17,609	16,619	Discount Department store	Shoppers World
3517	31	1574 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,948	8,175	2,725	Shoe store	Payless Shoe Store
3517	32	1578 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,948	6,225	2,725	Shoe store	Payless Shoe Store
3517	33	1580 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,948	6,200	2,700	Other clothing store	Best Caps Nursing Uniforms
3517	34	1582 PITKIN AVENUE	C4-3		Mixed Residential & Commercial Buildings	3	2,948	6,200	4,450	Beauty supply store; Hair, nail, and skin services	DSK Body Care, AWA African Hair Braiding
3517	35	1588 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	3,165	6,456	6,040	Furniture store	Furniture Fulton Store
3517	36	1592 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	3,165	6,040	6,040	Women's clothing store	Pretty Girl
3517	37	1596 PITKIN AVENUE	C4-3		Commercial & Office Buildings	1	2,713	2,700	2,700	All other general merchandise store	99 Cent Magic
3518	33	1598 AMBOY STREET	C4-3		Commercial & Office Buildings	3	1,858	4,400	1,840	Women's clothing store	Spicy Moda
3518	34	1600 PITKIN AVENUE	C4-3		Mixed Residential & Commercial Buildings	3	1,858	3,920	1,720	Shoe store	City Hoops Sneakers
3518	35	1602 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,858	4,040	1,840	All other general merchandise store	Unnamed store
3518	36	1608 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,858	4,055	1,855	Jewelry store	Jazz Jewelry and Repair
3518	37	1610 PITKIN AVENUE	C4-3		Commercial & Office Buildings	1	4,558	4,550	4,550	Women's clothing store (2)	Q Collection, unnamed women's clothing
3518	40	1620 PITKIN AVENUE	R6		Commercial & Office Buildings	1	24,724	10,380	0	Bank	Banco Popular
3518	135	1606 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,858	4,055	1,855	Men's clothing store	Brookville Men's Wear
3519	32	1622 PITKIN AVENUE	C4-3		Commercial & Office Buildings	2	1,858	2,855	1,855	Hobby, toy and games store	Game Stop
3519	33	1624 PITKIN AVENUE	C4-3		Mixed Residential & Commercial Buildings	3	1,858	3,000	990	Women's clothing store	Tic Tac Women's clothing
3519	34	1626 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,858	3,855	1,855	Family clothing store	Bambino Sport
3519	35	1628 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,858	3,800	1,800	Men's clothing store	Perfect Men
3519	36	1630 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,858	3,800	1,800	Beauty supply store	Bina Drugs Discount Beauty Supply
3519	37	1640 PITKIN AVENUE	C4-3		Commercial & Office Buildings	1	9,292	9,292	9,292	Computer and software store, Shoe store, Jewelry, Beauty supply store	Radio Shack, Foot Locker, C and C Jewelry, Beauty Supply
3520	32	79 BRISTOL STREET	C4-3		Mixed Residential & Commercial Buildings	6	15,070	43,200	7,200	Limited-service eating place, Shoe store	McDonald's, New York Sneakers
3520	37	1652 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,988	4,638	1,974	Women's clothing store	Deco Ladies Wear
3520	38	1656 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	2,041	5,472	2,736	Shoe store	Pitkin Wonderful Shoes
3520	39	1658 PITKIN AVENUE	C4-3		Mixed Residential & Commercial Buildings	3	1,612	4,000	2,800	Shoe store	Universal Shoes
3520	40	1660 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,612	4,000	1,600	Discount department store	Bargain Land Discount Center
3520	41	1662 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,612	4,000	1,600	Discount department store	Bargain Land Discount Center
3520	42	1666 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,612	4,000	1,600	Discount department store	Bargain Land Discount Center
3520	43	1668 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,612	4,400	1,600	Discount department store	Bargain Land Discount Center
3521	36	93 CHESTER STREET	C4-3		Mixed Residential & Commercial Buildings	4	3,050	10,800	2,700	Limited-service eating place, Jewelry store, Other miscellaneous shopping goods (2), Men's and women's clothing store	Pitkin Seafood, Chesta Jewels, Shou's Wigs and Bags, 1 Stop Leather and Cellular Phones, Pitkin Sportswear
3521	39	1684 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,611	3,744	1,600	Accessories store	Sene Clothing, Inc.
3521	40	1686 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,612	3,240	3,240	Limited-service eating place	Sal and Paul Pizzeria
3521	41	1690 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	7,200	9,522	3,808	Tax services, Optical goods, Medical office	Jackson Hewitt Tax Service, Pitkin Eye Care, Brooklyn Community Health Group
3521	140	1688 PITKIN AVENUE	C4-3		Commercial & Office Buildings	3	1,612	3,373	1,377	Jewelry store, All other general merchandise store	Jewelry Store; You Want it, We Got it
3522	14	1698 PITKIN AVENUE	C4-3		Commercial & Office Buildings	1	4,542	4,320	4,320	Mobile phone store	T Mobile

Sources: NYC Department of City Planning's MapPLUTO data (10v1), AKRF, Inc.

**A 5: Retail Inventory Summary Table (by Retail Category)**

**Retail Survey  
North of Eastern Parkway**

Category	Establishments		Category	Establishments	
	No.	Percent		No.	Percent
<b>SHOPPING GOODS</b>	<b>8</b>	<b>3.4%</b>	<b>CONVENIENCE GOODS</b>	<b>47</b>	<b>20.3%</b>
<b>General Merchandise</b>	<b>5</b>		<b>Food and Beverage</b>	<b>41</b>	
Department (except discount)	0		Supermarkets and other grocery	2	
Discount department	0		Convenience stores	36	15.5%
Warehouse clubs and supercenters	0		Meat markets	0	
All other general merchandise	5		Fish and seafood markets	0	
<b>Clothing and Clothing Accessories</b>	<b>1</b>		Fruit and vegetable markets	0	
Men's clothing	0		Other specialty food stores	2	
Women's clothing	0		Beer, wine, and liquor stores	1	
Children's clothing	0		<b>Health and Personal Care</b>	<b>5</b>	
Family clothing	0		Pharmacies and drug stores	4	
Accessories	1		Beauty supplies and perfume	1	
Other clothing	0		Other health and personal care	0	
Shoes	0		<b>Other Convenience Goods</b>	<b>1</b>	
Jewelry	0		Florists	1	
Luggage and leather goods	0		Tobacco stores	0	
<b>Furniture, Home Furnishings, Equipment</b>	<b>1</b>		Newsdealers and newsstands	0	
Furniture	0		Pet and pet supplies stores	0	
Floor covering	1		Other miscellaneous convenience goods	0	
Window treatment	0		<b>NEIGHBORHOOD SERVICES</b>	<b>54</b>	<b>23.3%</b>
All other home furnishings	0		Taxi and limousine services	1	
<b>Electronics and Appliance</b>	<b>1</b>		Banks	0	
Appliance, television, and other electronics	1		Check cashing	1	
Computer and software	0		Pawn shops	1	
Camera and photographic supplies	0		Video tape and disc rentals	0	
<b>Sporting Goods, Hobby, Books, Music</b>	<b>0</b>		Photocopy stores	1	
Sporting goods	0		Fitness and recreational sports centers	0	
Hobby, toy, and games	0		Electronics repair (computer, stereo, etc.)	3	
Sewing, needlework, and piece	0		Personal & household goods repair (appliance, garden equipment, footwear, etc.)	0	
Musical instrument and supplies	0		Hair, nail, and skin services	16	
Books	0		Funeral homes and funeral services	1	
Tape, compact disc, and record	0		Laundromats	9	
<b>Miscellaneous Store Retailers</b>	<b>0</b>		Drycleaning and laundry services	2	
Optical goods	0		Photofinishing	0	
Office supplies and stationary	0		Parking lots and garages	0	
Gift, novelty, and souvenir	0		Medical or dental offices	3	
Used merchandise	0		All other professional offices (travel, tax, etc.)	8	
Art dealers	0		Other neighborhood services (palm reading, etc.)	8	
Other miscellaneous shopping goods	0		<b>EATING AND DRINKING PLACES</b>	<b>19</b>	<b>8.2%</b>
<b>BLDING MTR'LS &amp; GARDEN SUPPLY</b>	<b>4</b>	<b>1.7%</b>	Full-service restaurants	1	
Home centers	0		Limited-service eating places	18	
Paint and wallpaper	0		Special food services (e.g., caterers)	0	
Hardware	1		Drinking places (alcoholic beverages)	0	
Other building material dealers	3		<b>AUTO-RELATED TRADE</b>	<b>21</b>	<b>9.1%</b>
Lawn and garden equipment & supplies	0		Automobile dealers	0	
<b>VACANT STOREFRONTS</b>	<b>79</b>	<b>34.1%</b>	Other motor vehicle dealers (motorcycle, boat, etc)	0	
Boarded-up	79		Automotive parts, accessories, and tires	7	
Under renovation, no tenant specified	0		Gasoline stations	4	
Under renovation, future tenant specified	0		Car rental	0	
			Automotive repair and maintenance	10	
<b>STOREFRONT SUMMARY</b>					
<b>Total Storefronts</b>	<b>232</b>	<b>100.0%</b>	Neighborhood Services	54	23.3%
Shopping Goods	8	3.4%	Eating and Drinking Places	19	8.2%
Blding Mtr'ls & Garden Supply	4	1.7%	Auto-Related Trade	21	9.1%
Convenience Goods	47	20.3%	Vacant Storefronts	79	34.1%

**Source:** AKRF, Inc. field surveys conducted in January 2011.

**Retail Survey  
South of Eastern Parkway**

Category	Establishments		Category	Establishments	
	No.	Percent		No.	Percent
<b>SHOPPING GOODS</b>	<b>93</b>	<b>41.9%</b>	<b>CONVENIENCE GOODS</b>	<b>25</b>	<b>11.3%</b>
<b>General Merchandise</b>	<b>16</b>		<b>Food and Beverage</b>	<b>14</b>	
Department (except discount)	0		Supermarkets and other grocery	1	
Discount department	3		Convenience stores	8	
Warehouse clubs and supercenters	0		Meat markets	0	
All other general merchandise	13		Fish and seafood markets	0	
<b>Clothing and Clothing Accessories</b>	<b>48</b>		Fruit and vegetable markets	0	
Men's clothing	6		Other specialty food stores	3	
Women's clothing	15		Beer, wine, and liquor stores	2	
Children's clothing	1		<b>Health and Personal Care</b>	<b>9</b>	
Family clothing	5		Pharmacies and drug stores	4	
Accessories	3		Beauty supplies and perfume	5	
Other clothing	1		Other health and personal care	0	
Shoes	12		<b>Other Convenience Goods</b>	<b>2</b>	
Jewelry	5		Florists	1	
Luggage and leather goods	0		Tobacco stores	0	
<b>Furniture, Home Furnishings, Equipment</b>	<b>14</b>		Newsdealers and newsstands	0	
Furniture	12		Pet and pet supplies stores	1	
Floor covering	1		Other miscellaneous convenience goods	0	
Window treatment	0		<b>NEIGHBORHOOD SERVICES</b>	<b>53</b>	<b>23.9%</b>
All other home furnishings	1		Taxi and limousine services	0	
<b>Electronics and Appliance</b>	<b>8</b>		Banks	2	
Appliance, television, and other electronics	6		Check cashing	1	
Computer and software	2		Pawn shops	4	
Camera and photographic supplies	0		Video tape and disc rentals	0	
<b>Sporting Goods, Hobby, Books, Music</b>	<b>0</b>		Photocopy stores	0	
Sporting goods	0		Fitness and recreational sports centers	1	
Hobby, toy, and games	0		Electronics repair (computer, stereo, etc.)	0	
Sewing, needlework, and piece	0		Personal & household goods repair (appliance, garden equipment, footwear, etc.)	0	
Musical instrument and supplies	0		Hair, nail, and skin services	18	
Books	0		Funeral homes and funeral services	1	
Tape, compact disc, and record	0		Laundromats	3	
<b>Miscellaneous Store Retailers</b>	<b>7</b>		Drycleaning and laundry services	1	
Optical goods	2		Photofinishing	0	
Office supplies and stationary	0		Parking lots and garages	0	
Gift, novelty, and souvenir	1		Medical or dental offices	8	
Used merchandise	4		All other professional offices (travel, tax, etc.)	12	
Art delaers	0		Other neighborhood services (palm reading, etc.)	2	
Other miscellaneous shopping goods	0		<b>EATING AND DRINKING PLACES</b>	<b>21</b>	<b>9.5%</b>
<b>BLDING MTR'LS &amp; GARDEN SUPPLY</b>	<b>1</b>	<b>0.5%</b>	Full-service restaurants	2	
Home centers	0		Limited-service eating places	19	
Paint and wallpaper	0		Special food services (e.g., caterers)	0	
Hardware	1		Drinking places (alcoholic beverages)	0	
Other building material dealers	0		<b>AUTO-RELATED TRADE</b>	<b>3</b>	<b>1.4%</b>
Lawn and garden equipment & supplies	0		Automobile dealers	0	
<b>VACANT STOREFRONTS</b>	<b>26</b>	<b>11.7%</b>	Other motor vehicle dealers (motorcycle, boat, etc)	0	
Boarded-up	26		Automotive parts, accessories, and tires	1	
Under renovation, no tenant specified	0		Gasoline stations	1	
Under renovation, future tenant specified	0		Car rental	0	
			Automotive repair and maintenance	1	
<b>STOREFRONT SUMMARY</b>					
<b>Total Storefronts</b>	<b>222</b>	<b>100.0%</b>	Neighborhood Services	53	23.9%
Shopping Goods	93	41.9%	Eating and Drinking Places	21	9.5%
Blding Mtr'ls & Garden Supply	1	0.5%	Auto-Related Trade	3	1.4%
Convenience Goods	25	11.3%	Vacant Storefronts	26	11.7%

**Source:** AKRF, Inc. field surveys conducted in January 2011.

## A 6: No-Build Projects

### No-Build Projects within the Primary Trade Area

Address	Description	Residential Units	Status/Build Year
2356 Atlantic Ave	Residential	16	Approval Pending
1734 St Johns Place	Residential	18	2012
2158 Atlantic Ave	Residential	28	2012
59 Tapscott Street	Residential	6	2012
57 Tapscott Street	Residential	6	2012
170 Hopkinson Ave	Residential	4	Approval Pending
2103 Pacific Street	Residential	2	Approval Pending
403 Howard Avenue	Residential	63	Under construction
1505 St. Mark's Avenue	Residential	71	Under construction
1812 St. John's Place	Residential	12	Under construction
<b>Total</b>		<b>226</b>	
<b>Sources:</b> New York City Department of Buildings, New York City Department of Housing and Preservation, AKRF			



**EXHIBIT F: HPD DESIGN GUIDELINES  
FOR NEW CONSTRUCTION**

# HPD Design Guidelines for New Construction

HPD has outlined a set of design principles and guidelines to foster quality and encourage creative approaches throughout the entire design development process. The design guidelines apply to all new construction housing projects subject to HPD review and approval.

The purpose of these guidelines is to establish minimum criteria for the design of quality housing. These guidelines are not intended to supersede the requirements of any other rules or regulations of any other agency having jurisdiction, in which case the more restrictive will govern.

Other agency rules and regulations may include but are not limited to New York City Building Code; Housing Maintenance Code; Zoning Resolution; Local Law 58 Handicap Standards, and particular program requirements. Also, projects must meet Federal, State, and City environmental laws, including those pertaining to: historic preservation; air, water, and noise quality; flood plain, wetland and coastal zone management; and solid waste management.

Guidelines using the word, must, are mandatory. However, the word, should, is advisory and minor deviations from the guidelines will be allowed if necessary to accommodate a clearly superior design. Substantial deviations from the advisory guidelines may disqualify proposals.

## I. SITE PLANNING

### A. Relationship to Neighborhood

1. When applicable, the height of a new building should relate to the prevailing heights of the existing buildings in the immediate neighborhood. The street wall and façade materials of any new building should visually and physically harmonize with the immediate neighborhood.
2. The design should be pedestrian friendly and provide architectural elements that generate activity, interest and interaction at the street level, such as stoops, porches, setbacks, bay windows, etc.

### B. Outdoor Space

1. A variety of outdoor spaces should be programmed and landscaped for specific uses according to the project's intended population, e.g.
  - If provided, front yards should be appropriately landscaped.
  - toddler play area with matting and safe equipment
  - infrastructure for tenant gardens
  - seating and game tables in the shade
2. Outdoor spaces must be buffered from vehicular service areas.
3. Wherever possible, windows should be located to insure surveillance of public and private outdoor spaces.
4. A secure barrier, such as the building or a steel picket fence (chain link fence is not acceptable along the street), should protect the perimeter of the site. The number of entry points into a building or project site should be minimized.

5. Street trees must be provided along the street frontage as per the NYC department of Parks and Recreation and the NYC Department of Transportation standards.

#### C. Street Facade/Building Elevation

1. The façade materials of all new buildings should be compatible with the surrounding neighborhood. Brick should be used in neighborhoods with a predominantly brick character.
2. Dimensions and spacing of fenestration should echo neighborhood patterns and maximize daylight into the unit.
3. Color, texture, material, and fenestration should be used to:
  - relate to adjacent buildings
  - define the base, middle, and top of buildings
  - reinforce the human scale at the base level

#### D. Parking

1. Parking should be shielded from the street and from on-site open spaces. Trees should provide a canopy over the parking areas.
2. If a large number of parking spaces is needed, consideration should be given to parking below grade.
3. Front pad parking should be avoided.

## **II. BUILDING PLANNING**

#### A. Lobby

1. The lobby should be treated as an attractive and gracious space with materials and furnishings that are attractive, durable, and easy to maintain.
2. The lobby should be undisrupted by other elements, i.e.
  - garbage removal should not pass through the lobby
  - the compactor chute should not open into the lobby
  - janitor's closet and fire stair should not be visible.
3. If a mailroom is provided, it should be located in an area that is visible and accessible from the lobby.
4. Natural light should be maximized, and if possible, a view of the exterior landscaped space should be exploited.
5. The primary vertical circulation/elevator should be visible and accessible from the lobby.
6. The lobby should be visible from the street to insure security. Main residential entry should be clearly articulated and differentiated from commercial/retail entry.
7. Entry from the project's open space, the parking area, and the sidewalk should lead directly into the same lobby.

#### B. Interior Circulation

1. Public circulation space should be minimized.
2. The interior circulation system should have a minimal number of changes in corridor direction and minimal recesses or offsets.

3. Natural light should be maximized in circulation spaces.

#### C. Community Spaces

1. A variety of community spaces should be programmed for specific uses and sized accordingly with appropriate finishes and furnishings, e.g.
  - children's indoor play room with safe and durable play equipment and playful finishes
  - party room or adult lounge with comfortable furniture, T.V., bar/kitchenette, in close proximity to laundry room
  - exercise room with ventilation and natural light
  - common laundry room conveniently located and directly accessible from the public circulation. In 1 to 3 family houses, provide laundry hook-up for the homeowner.
2. All community spaces should receive natural light and have direct physical and visual access to the outdoor recreation space.
3. Appropriate relationships between community spaces should be fostered.

#### D. Building Services

1. Janitor closets should be provided with slop sinks.
2. Provide vandal/frost-proof hose bibb at front and rear of building.
3. Provide trash chutes, recycling room, and trash compactor in elevator buildings with 30 or more dwelling units.
4. The compactor room should be located for convenient transport of compacted refuse to the outside, minimizing transportation of garbage through the building's circulation space or across outdoor space.
5. Curb-side storage space for refuse/recycling pick-up should be provided and screened from the sidewalk, street, and building entrance.

### **III. APARTMENT PLANNING**

#### A. Unit Arrangement

1. There must be no circulation through bedrooms to other bedrooms or to primary bathrooms. Bathrooms should be near the bedrooms. Bathrooms must not open into the Living Room, Dining Room, or Kitchen. Circulation through the Living Room should be avoided.
2. All door placements and wall lengths should accommodate furniture placement.
3. Direct access to private outdoor space should be provided from a living space within the unit, not a bedroom.

B. Minimum Room Sizes

<u>Name of Space</u>	<u>0-BR</u>	<u>1-BR</u>	<u>2-BR</u>	<u>3-BR</u>	<u>4-BR</u>	<u>Least Dimension</u>
LR	NA	160	160	170	180	11'-0"
LR/DA	NA	210	210	230	250	11'-0"
LR/DA/SA	250	NA	NA	NA	NA	11'-0"
LR/DA/K	NA	270	270	300	330	11'-0"
LR/SA	210	NA	NA	NA	NA	11'-0"
K/DA	100	120	120	140	160	8'-0"
DR	NA	100	100	110	120	8'-0"
BR (primary)	NA	130	130	130	130	10'-0"
BR (secondary)	NA	NA	110	110	110	9'-4"

Abbreviations:

LR	-	Living Room
DR	-	Dining Room
K	-	Kitchen/Kitchenette
BR	-	Bedroom
SA	-	Sleeping Area
0-BR	-	Apartment with no separate bedroom
NA	-	Not applicable

**Note: The room area shall be computed to the inside finished surfaces of the walls and partitions, and exclude columns, pipe chases, and closets.**

C. Kitchenette/Kitchen

1. Kitchen to Living Room visibility should be maximized by pass-through openings, open counters, and half height partitions.
2. Plumbing and ventilation chase walls should be shared where possible, but not at the expense of the design.
3. Kitchen equipment must consist of a 30" range, refrigerator (14 c.f. min), 24" sink, base cabinets with countertop and wall hung cabinets. In 1 to 3 family homes, provision for dishwasher and hook-ups should be provided for the homeowner.
4. Countertop work surface should be located on both sides of the sink and both sides of the range.
5. The minimum length of countertop work surface (excluding sink and appliances) and cabinet shelving must be as follows:

<u>Apartment Type</u>	<u>Countertop Work Surface</u>	<u>Shelving</u>
0-BR	5 lin. Ft.	30 lin. Ft.
1-BR	6 lin. Ft.	40 lin. Ft.
2-BR	7 lin. Ft.	50 lin. Ft.
3-BR	8 lin. Ft.	55 lin. Ft.
4-BR	8 lin. Ft.	65 lin. Ft.

6. Base cabinets and countertops must be 2'-0" deep. Shelving must be 11<sup>1/2</sup>" deep.

7. Pantries are desirable, encouraged, and qualify as required shelving.

D. Dining Area

Every dwelling unit must contain a space for dining, which accommodates a table and chairs for the intended maximum number of occupants.

E. Bathrooms

1. Every dwelling unit must contain at least one full bathroom containing a bathtub with showerhead, a sink, and a toilet. Compartmentalizing the bathroom, to enable simultaneous use by more than one person, is encouraged.
2. Three bedroom apartments must have an additional half bathroom containing a sink and a toilet, and possibly a shower.
3. Four bedroom apartments must contain two complete bathrooms.

F. Storage

1. Every dwelling must contain a coat closet that is convenient to the entrance and is at least 2'-0" deep and 3'-0" wide.
2. Every bedroom must contain a clothes closet that is at least 2'-0" deep and 5'-0" wide.
3. Every dwelling unit must contain storage for linens that is at least 1'-6" deep and 2'-0" wide.
4. Additional general storage space, such as a walk-in-closet, should be provided within each dwelling, especially for units with more than 2 bedrooms.

#### **IV. HANDICAPPED/ ELDERLY REQUIREMENTS**

In addition to meeting all other applicable laws and regulations, units designed for elderly and/or handicapped persons must meet the following provisions:

A. Lobby seating

In all projects designed for exclusive occupancy by elderly or handicapped persons, adequate sitting space with a view of the street or open space should be provided in the lobby or adjacent lobby of each building.

B. 2 person 0-BR units

Every 0-BR dwelling unit designed for occupancy by elderly or handicapped persons must accommodate two persons sleeping separately.

C. Outdoor space

1. In all projects designed for exclusive occupancy by elderly or handicapped persons, provisions should be made for sitting space for at least 20% of all residents in appropriate outdoor areas.
2. All outdoor space must be programmed and landscaped for specific uses.
3. All outdoor spaces must be buffered from vehicular service areas.

## V. SUBMISSION REQUIREMENTS

All plans must be prepared by a Registered Architect or Professional Engineer. The developer or his agent must submit one easily reproduced copy of each of the following:

### A. Plans:

Clearly indicate all community spaces on the appropriate floor plan (laundry room, playroom, adult lounge, etc).

- Site plan showing all walks, sidewalks, building access points, driveways, parking areas, play areas with equipment, benches, other exterior furnishings, trees, plant material, and elevations/grades.
- Street level commercial and/or residential lobby/entrance plan
- Typical residential floor plan
- Cellar or basement and roof plan
- Unit plans at 1/8"=1'-0".
- Any other plans needed to explain design concept.

### B. Elevations

1. Street front elevations must indicate materials, colors, total building heights, and floor levels.
2. Elevations should show adjacent buildings to demonstrate the new building's compatibility.

### C. Project Statistics and Zoning Analysis

1. Complete zoning analysis is required, including allowable and proposed F.A.R; open space requirements; lot area per zoning room or dwelling unit; and parking and dwelling unit count. Zoning analysis must cite all relevant sections of the Zoning Resolution.
2. Show proposed apartment distribution and indicate building code occupancy group, construction group, and construction class.
3. Provide Topographic Survey as needed.

**EXHIBIT G: NYCHA SUBCONTRACTOR  
OUTREACH REPORT FORM**



# **EXHIBIT H: EQUAL OPPORTUNITY REQUIREMENTS**



THE CITY OF NEW YORK  
OFFICE OF THE MAYOR  
NEW YORK, N.Y. 10007

EXECUTIVE ORDER NO. 50

APRIL 25, 1980

BUREAU OF LABOR SERVICES

By the power vested in me as Mayor of the City of New York,  
it is hereby ordered:

Section 1. Purpose. It is the purpose of this Order to ensure compliance with the equal employment opportunity requirements of City, State and Federal law in City contracting.

§ 2. Bureau Continued. The Bureau of Labor Services shall continue to serve such purposes and to have such responsibilities as restated by this Order.

§ 3. Definitions. Whenever used in this Executive Order, the following terms shall have the following meanings:

(a) Bureau means the Bureau of Labor Services;

(b) construction project means any construction, reconstruction, rehabilitation, alteration, conversion, extension, improvement, repair or demolition of real property contracted by the City;

(c) contract means any written agreement, purchase order or instrument whereby the City is committed to expend or does expend funds in return for work, labor, services, supplies, equipment, materials, or any combination of the foregoing;

*amended  
E.C. 94*

(i) Unless otherwise required by law, the term "contract" shall include any City grant, loan, guarantee or other City assistance for a construction project.

(ii) The term "contract" shall not include:

(A) contracts for financial or other assistance between the City and a government or government agency;

(B) contracts, resolutions, indentures, declarations of trust, or other instruments authorizing or relating to the authorization, issuance, award, and sale of bonds, certificates of indebtedness, notes or other fiscal obligations of the City, or consisting thereof; or

(C) employment by the City of its officers and employees which is subject to the equal employment opportunity requirements of applicable law.

(d) contracting agency means any administration, board, bureau, commission, department or other governmental agency of the City of New York, or any official thereof, authorized on behalf of the City to provide for, enter into, award or administer contracts;

(e) contractor means a person, including a vendor, who is a party or a proposed party to a contract with a contracting agency, first-level subcontractors of supply or service contractors, and all levels of subcontractors of construction contractors;

(f) Director means the Director of the Bureau of Labor Services;

(g) economically disadvantaged person means a person who, or a member of a family which, is considered economically disadvantaged under applicable law.

(h) employment report means a report filed by a contractor containing information as to the employment practices, policies and programs, employment statistics and collective bargaining agreements, if any, of the contractor in such form as the Bureau may direct by regulation;

(i) equal employment opportunity means the treatment of all employees and applicants for employment without unlawful discrimination as to race, creed, color, national origin, sex, age, handicap, marital status, sexual orientation or affectional preference in all employment decisions, including but not limited to recruitment, hiring, compensation, training and apprenticeship, promotion, upgrading, demotion, downgrading, transfer, lay-off and termination, and all other terms and conditions of employment except as provided by law;

(j) trainee means an economically disadvantaged person who qualifies for and receives training in one of the construction trades pursuant to a program other than apprenticeship programs, approved by the Bureau and, where required by law, the State Department of Labor or the United States Department of Labor, Bureau of Apprenticeship and Training.

§ 4. Responsibilities of Bureau. The responsibilities of the Bureau shall be as follows:

(a) To implement, monitor compliance with, and enforce this Order and programs established pursuant to City, State and Federal law requiring contractors to provide equal employment opportunity;

(b) To implement, monitor compliance with, and enforce on-the-job training requirements on construction projects;

(c) To monitor compliance by contractors with State and Federal prevailing wage requirements where required;

(d) To advise and assist contractors and labor unions with respect to their obligations to provide equal employment opportunity;

(e) To advise and assist persons in the private sector with respect to employment problems;

(f) To establish advisory committees, including representatives of employers, labor unions, community organizations and others concerned with the enforcement of this Order; and

(g) To serve as the City's principal liaison to Federal, State and local contract compliance agencies.

§ 5. Contract Provisions.

(a) Equal Employment Opportunity. A contracting agency shall include in every contract to which it becomes a party such provisions requiring the contractor to ensure equal employment opportunity as the Bureau may direct by regulation.

(b) On-the-Job Training. A contracting agency shall include in every contract concerning a construction project to which it becomes a party such provisions requiring the contractor to provide on-the-job training for economically disadvantaged persons as the Bureau may direct by regulation.

(c) Subcontractors. A contracting agency shall include in every contract to which it becomes a party such provisions requiring the contractor not to discriminate unlawfully in the selection of subcontractors as the Bureau may direct by regulation.

§ 6. Employment Reports.

(a) Submission Requirements. No contracting agency shall enter into a contract with any contractor unless such contractor's employment report is first submitted to the Bureau for its review. Unless otherwise required by law, an employment report shall not be required for the following:

(i) a contract in the amount of \$50,000 or less;

(ii) an emergency contract or other exempt contract except as the Bureau may direct by regulation; and

(iii) a contract with a contractor who has received a certificate of compliance with the equal employment opportunity requirements of applicable law from the Bureau, or an appropriate agency of the State of New York or the United States within the preceding twelve months, except as the Bureau may direct by regulation.

(b) Bureau Review. The Bureau shall review all employment reports to determine whether contractors are in compliance with the equal employment opportunity requirements of City, State and Federal law and the provisions of this Order. The contracting agency shall transmit the employment report to the Bureau within ten business days after the selection of a proposed contractor. A contracting agency may thereafter award a contract unless the Bureau gives prior written notice to the contracting agency and the contractor as follows:

(i) If the Bureau notifies the contracting agency and the contractor within five business days after the receipt by the Bureau of the employment report that the contractor has failed to submit a complete employment report, the Director may require the contracting agency to disapprove the contractor unless such deficiency is corrected in a timely manner;

(ii) If the Bureau notifies the contracting agency and the contractor within fifteen business days of the receipt by the Bureau of the completed employment report that the Bureau has found reason to believe that the contractor is not in substantial compliance with applicable legal requirements and the provisions of this Order, the Bureau shall promptly take such action as may be necessary to remedy the contractor's noncompliance as provided by this Order.

Provided that a contracting agency may award a requirements contract or an open market purchase agreement prior to review by the Bureau of the contractor's employment report, but may not make a purchase order against such contract or agreement until it has first transmitted such contractor's employment report to the Bureau and the Bureau has completed its review in the manner provided by this Section.

(c) Employment Program. The Bureau may require a contractor to adopt and adhere to a program designed to ensure equal employment opportunity.

(d) Periodic Reports. Contractors shall file periodic employment reports after the award of a contract in such form and frequency as the Bureau may direct by regulation to determine whether such contractors are in compliance with applicable legal requirements and the provisions of this Order.

§ 7. Training Programs. The Bureau shall monitor the recruitment, training and placement of economically disadvantaged persons in on-the-job training programs on construction projects. Contracting agencies shall require contractors to make a good faith effort to achieve the ratio of one trainee to four journey-level employees of each craft on each construction project.

(a) The Bureau shall determine the number of trainees and hours of training required by each contractor or subcontractor for each construction project.

(b) In the event that a contractor fails to make a good faith effort to train the required number of individuals for the required amount of hours, the Bureau, after consultation with the contracting agency, shall direct such agency to reduce the contractor's compensation by an amount equal to the amount of wages and fringe benefits which the contractor failed to pay to trainees.

(c) On-the-job training of economically disadvantaged persons shall not be required on construction contracts in the amount of \$125,000 or less.

§ 8. Compliance Investigations and Hearings. The Bureau shall conduct such investigations and hold such hearings as may be necessary to determine whether contractors are in compliance with the equal employment opportunity requirements of City, State and Federal law and the provisions of this Order.

(a) Voluntary Compliance. The Bureau shall seek to obtain the voluntary compliance of contractors and labor unions with applicable legal requirements and the provisions of this Order.

(b) Noncompliance. Upon receiving a complaint or at its own instance, the Bureau shall determine whether there is reason to believe a contractor is not in compliance with applicable legal requirements and the provisions of this Order.

(c) Hearings. The Bureau shall hold a hearing on prior written notice to a contractor and the contracting agency before any adverse determination is made with respect to such contractor's employment practices or imposing any sanction or remedy for non-compliance with applicable legal requirements and the provisions of this Order. The hearing shall be held before a City hearing officer, or such other person designated by the Director, who shall submit a report containing findings of fact and recommendations to the Director. Based on the record as a whole, the Director shall determine whether a contractor has failed to comply with applicable legal requirements or the provisions of this Order and the appropriate sanctions for noncompliance.

(d) Notices. The Bureau shall give prior notice of any hearing and shall provide a copy of any hearing report and determination of the Director under paragraph (c) of this Section to the contracting agency, the Corporation Counsel and the Comptroller. The Bureau shall notify appropriate City, State and Federal agencies of violations of law and may, with the approval of the Corporation Counsel, initiate proceedings in such agencies.

§ 9. Sanctions and Remedies. After making a determination that a contractor is not complying with applicable legal requirements and the provisions of this Order, the Director may direct that such sanctions as may be permitted by law or contractual provisions be imposed, including the disapproval of a proposed contractor, the suspension or termination of a contract and the reduction of a contractor's compensation, except as follows:

(a) Within five business days of the issuance of a determination by the Director under Section 8(c), a contracting agency head may file with the Director written objections to the sanctions to be imposed. Where such objections have been filed, the Director and the contracting agency head shall jointly determine the appropriate sanctions to be imposed.

(b) In lieu of any of the foregoing sanctions, the Director may require a contractor to adopt and adhere to a program to ensure equal employment opportunity.

§ 10. Public Agencies. Any administration, board, bureau, commission, department or other public agency, not subject to this Order, which imposes by rule, regulation or order equal employment opportunity requirements, may, with the consent of the Mayor, delegate such responsibilities to the Bureau as may be consistent with this Order.

§ 11. Confidentiality. To the extent permitted by law and consistent with the proper discharge of the Bureau's responsibilities under this Order, all information provided by a contractor to the Bureau shall be confidential.

§ 12. Regulations. The Bureau shall promulgate such regulations, subject to the approval of the Mayor, as may be necessary to discharge its responsibilities under this Order, including regulations increasing the dollar amounts referred to in this Order. Any regulations of the Bureau establishing terms and conditions for contractors shall be approved as to form by the Corporation Counsel.

## EQUAL EMPLOYMENT OPPORTUNITY

This contract is subject to the requirements of Executive Order No. 50 (1980) as revised ("E.O.50") and the Rules and Regulations promulgated thereunder. No contract will be awarded unless and until these requirements have been complied with in their entirety. By signing this contract, the contractor agrees that it:

(1) will not engage in any unlawful discrimination against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability, marital status or sexual orientation with respect to all employment decisions including, but not limited to, recruitment, hiring, upgrading, demotion, downgrading, transfer, training, rates of pay or other forms of compensation, layoff, termination, and all other terms and conditions of employment;

(2) the contractor agrees that when it subcontracts it will not engage in any unlawful discrimination in the selection of subcontractors on the basis of the owner's race, color, creed, national origin, sex, age, disability, marital status or sexual orientation;

(3) will state in all solicitations or advertisements for employees placed by or on behalf of the contractor that all qualified applicants will receive consideration for employment without unlawful discrimination based on race, creed, color, national origin, sex, age, disability, marital status or sexual orientation, or that it is an equal employment opportunity employer;

(4) will send to each labor organization or representative of workers with which it has a collective bargaining agreement or other contract or memorandum of understanding, written notification of its equal employment opportunity commitments under E. O. 50 and the rules and regulations promulgated thereunder; and

(5) will furnish all information and reports including an Employment Report before the award of the contract which are required by E. O. 50, the rules and regulations promulgated thereunder, and orders of the Director of the Bureau of Labor Services ("Bureau"), and will permit access to its books, records and accounts by the Bureau for the purposes of investigation to ascertain compliance with such rules, regulations, and orders.

The contractor understands that in the event of its noncompliance with the nondiscrimination clauses of this contract or with any of such rules, regulations, or orders, such noncompliance shall constitute a material breach of the contract and noncompliance with the E.O. 50 and the rules and regulations promulgated thereunder. After a hearing held pursuant to the rules of the Bureau, the Director may direct the imposition by the contracting agency held of any or all of the following sanctions:

- (i) disapproval of the contractor;
- (ii) suspension or termination of the contract;
- (iii) declaring the contractor in default; or
- (iv) in lieu of any of the foregoing sanctions, the Director may impose an employment program.

The Director of the Bureau may recommend to the contracting agency head that a Board of Responsibility be convened for purposes of declaring a contractor who has repeatedly failed to comply with E.O. 50 and the rules and regulations promulgated thereunder to be nonresponsible.

The contractor agrees to include the provisions of the foregoing paragraphs in every subcontract or purchase order in excess of \$50,000 to which it becomes a party unless exempted by E.O. 50 and the rules and regulations promulgated thereunder, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as may be directed by the Director of the Bureau of Labor Services as a means of enforcing such provisions including sanctions for noncompliance.

The contractor further agrees that it will refrain from entering into any contract or contract modification subject to E.O. 50 and the rules and regulations promulgated thereunder with a subcontractor who is not in compliance with the requirements of E.O. 50 and the rules and regulations promulgated thereunder."



THE CITY OF NEW YORK  
OFFICE OF THE MAYOR  
NEW YORK, N.Y. 10007

Executive Order No. 108  
December 29, 1986

Amendment of Executive Order No. 50  
(April 25, 1980)

BUREAU OF LABOR SERVICES

By the power vested in me as Mayor of the City of New York,  
it is hereby ordered:

Section 1. Prior Order Amended.

a. Section 6(a) of Executive Order No. 50, dated  
April 25, 1980, is amended to read as follows:

"Submission Requirements. No contracting  
agency shall enter into a contract with any  
contractor unless such contractor's  
employment report is first submitted to the  
Bureau for its review. Unless otherwise  
required by law, an employment report shall  
not be required for the following:

(i) a construction contract in the  
amount of less than \$1 million; a  
construction subcontract in the amount of  
less than \$750,000; or a supply and service  
contract in the amount of \$50,000 or less  
or of more than \$50,000 in which the  
contractor employs fewer than 50 employees  
at the facility or facilities involved in  
the contract;

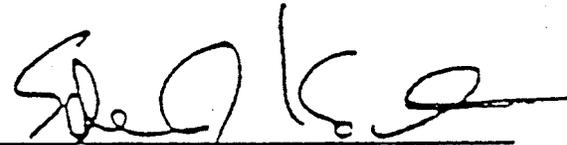
(ii) an emergency contract or other  
exempt contract, except as the Bureau may  
direct by regulation; and

(iii) a contract with a contractor who has received a certificate of compliance with the equal employment opportunity requirements of applicable law from the Bureau within the preceding twenty-four months, or an appropriate agency of the State of New York or of the United States within the preceding twelve months, except as the Bureau may direct by regulation."

b. Section 7(c) of such Order is amended to read as follows:

"On-the-job training of economically disadvantaged persons shall be required on all construction contracts covered by the submission requirements of this Order."

Section 2. Effective Date. This Order shall take effect immediately, but shall have no retrospective effect with respect to the two (2) year approval period provided for in Section 1(a) of this Order, amending Section 6(a) (iii) of Executive Order No. 50, dated April 25, 1980.



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Edward I. Koch  
M A Y O R



JUN 23 1986

THE CITY OF NEW YORK  
OFFICE OF THE MAYOR  
NEW YORK, N.Y. 10007

Executive Order No. 94  
June 20, 1986

Amendment of Executive Order No. 50  
(April 25, 1980)

BUREAU OF LABOR SERVICES

By the power vested in me as Mayor of the City of New York, it is hereby ordered:

Section 1. Prior Order Amended.

a. Section 1 of Executive Order No. 50, dated April 25, 1980, is amended to read as follows:

"Purpose. It is the purpose of this Order to ensure equal employment opportunity in City contracting."

b. Section 3(i) of such Order is amended to read as follows:

"equal employment opportunity means the treatment of all employees and applicants for employment without unlawful discrimination as to race, creed, color, national origin, sex, age, disability, marital status or sexual orientation in all employment decisions, including but not limited to recruitment, hiring, compensation, training and apprenticeship, promotion, upgrading, demotion, downgrading, transfer, lay-off and termination, and all other terms and conditions of employment;"

c. Section 5(a) of such Order is amended to read as follows:

"Equal Employment Opportunity. A contracting agency shall include in every

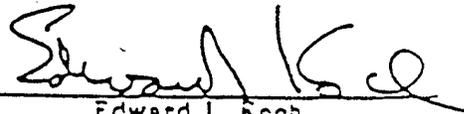
contract to which it becomes a party such provisions requiring the contractor to ensure equal employment opportunity as the Bureau may direct, consistent with this Order."

d. Section 12 of such Order is amended to read as follows:

"Regulations. The Bureau shall promulgate such regulations, subject to the approval of the Mayor, as may be necessary to discharge its responsibilities under this Order, including regulations increasing the dollar amounts and number of employees referred to in this Order. Any regulations of the Bureau establishing terms and conditions for contractors shall be approved as to form by the Corporation Counsel.

Nothing contained herein shall be construed to bar any religious or denominational institution or organization, or any organization operated for charitable or educational purposes, which is operated, supervised or controlled by or in connection with a religious organization, from limiting employment or giving preference to persons of the same religion or denomination or from making such selection as is calculated by such organization to promote the religious principles for which it is established or maintained. The regulations shall set forth this exemption for religiously-sponsored organizations and provide for the discharge of the Bureau's responsibilities in a manner consistent with such exemption."

Section 2. Effective Date. This Order shall take effect immediately.



Edward I. Koch  
M A Y O R

§ 13. Annual Report. The Bureau shall submit an annual report to the Mayor concerning its responsibilities under this Order.

§ 14. Separability. If any provision of this Order or the application thereof is held invalid, the remainder of this Order and the application thereof to other persons or circumstances shall not be affected by such holding and shall remain in full force and effect.

§ 15. Revocation of Prior Orders. Executive Orders No. 71 (1968), No. 20 (1970), No. 23 (1970), No. 27 (1970), No. 31 (1971), No. 74 (1973), No. 7 (1974), and No. 80 (1977) are hereby revoked and the first paragraph of Section 2 of Executive Order No. 4 (1978) is hereby deleted. Nothing in this Order shall be deemed to relieve any person of any obligation not inconsistent with this Order assumed or imposed pursuant to an Order superseded by this Order.

§ 16. Effective Date. This Order shall take effect immediately.

  
EDWARD I. KOCH  
M A Y O R

# **EXHIBIT I: HPD MARKETING GUIDELINES**

# HPD marketing guidelines

for rentals





# MARKETING PACKAGE CONTENTS

**Tenant Selection Procedures (Pages 2-24)**

**Notice of Intent (Pages 27- 29)**

**Cover Letter to Marketing Application (Page 31)**

**Marketing Application(Pages 31-41)**

**Ineligibility Letter (Page 43)**

**Notice of Eligibility (Page 45)**

**Request for Interview (Page 47)**

**Application Information Form (Page 49)**

**Marketing Lottery Log Sheet (Addendum)**



## TENANT SELECTION PROCEDURES

### 1. NOTICE OF INTENT

The Sponsor/Developer, or a representative, must submit to HPD a Notice of Intent to begin marketing according to the following timetable:

- Marketing Meeting: Seven (7) months prior to anticipated occupancy
- Ads Placed and Community Letters Mailed when applicable: Six (6) months prior to anticipated occupancy
- Application Deadline: Four (4) months prior to anticipated occupancy, allowing for the required 60 day application period; i.e. 2 months following the placement of ads.

**2. WRITING AND PLACING ADVERTISEMENT**

The Developer, or a representative, shall begin marketing by placing an advertisement for applicants in accordance with the following:

- A| HPD will provide developer with the ad format. No changes to the format will be permitted without the prior written approval of the Director of Marketing.
- B| Developer, or a representative, is responsible for placing ad.
- C| Ad must be advertised in at least three (3) newspapers, including:
  - one (1) citywide daily newspaper with a circulation of at least 200,000;
  - one (1) ethnic-based newspaper with a circulation of at least 10,000;
  - one (1) local newspaper.
- D| Ad to run at least three (3) days (with at least one (1) day falling on a weekend), at least sixty (60) days prior to the application deadline.

**3. CONTENTS OF APPLICATION**

- A| Format of Application will be provided by HPD. Any changes to the application must receive prior approval from HPD.
  
- B| Application must be accompanied by a cover letter that reiterates program guidelines and highlights the post office box to which applications must be returned. The format will be provided by HPD. Any changes to the letter must receive prior approval from HPD.

#### 4. PICKING UP COMPLETED APPLICATIONS

**NOTE:** The P.O. Call Box used will be one governed solely by The United States Postal Service. HPD will reserve the P.O. Box at the USPS branch of its own choosing, with all charges and fees to be reimbursed by the Developer. Only HPD will have access to the box and it will not be opened until the date of the lottery.

- A| Applications will be picked up from the post office box approximately one (1) week after the postmark deadline. The applications must be picked up by the Developer or a representative in the presence of HPD staff.
- B| If the post office requires that letters be picked up on a regular basis due to the large volume of mail, the USPS will notify HPD prior to picking up the mail and HPD and the Developer will place all letters, unopened, in a secure locker/footlocker (see 5f). The Developer will then return to the post office approximately one (1) week after the postmark deadline to pick up, in the presence of HPD staff, any remaining mail.
- C| Any applications postmarked after the application deadline ("late" applications) will be set aside for possible consideration pursuant to these Homeownership Selection Procedures, only after all applications postmarked by the deadline have been exhausted. (See Sections 8b and 9b)

**5. OPENING APPLICATIONS & CREATING THE LOG**

- A| Log format will be provided by HPD (See Addendum)
- B| Based on anticipated response volume, HPD will recommend a minimum number of staff/volunteers to be provided by the borrower for the full day of the lottery. Staff should be made familiar with the application log process and freed from any other duties or distractions on the day of the lottery. Agency monitors will be present strictly to observe the opening of applications and completion of the log sheets; they will be unable to assist in the actual opening and logging so as to not divert their attention from their oversight responsibilities.
- C| After picking up applications from the post office as described in Section 4, in the presence of HPD staff, all applications, or a minimum number of applications equal to fifty (50) times the number of units being marketed in the project, will be randomly opened and entered in ink in a log in the order of which they were randomly opened. All names will then be selected in number order from this log. All subsequent loggings from this applicant pool, unless waived by HPD, must take place in the presence of HPD staff.
- E| Developer or a representative must provide a copy of the Log to HPD immediately after the lottery described under Section 5b is completed. If the Lottery takes more than one (1) day, Developer must provide a copy of the updated Log after each day's logging is completed.
- F| If more than one day is required, remaining applications must be secured in a locker or footlocker (to be provided by the Developer) which can accommodate a standard combination lock. HPD will provide the lock with a combination known only to HPD. This locker/footlocker will be stored by the

Developer in a location approved by the agency monitors and subsequent days of opening and logging must also occur under agency supervision. At the completion of all sales, after enough applications have been opened to achieve occupancy and establish a waiting list, any surplus applications will be shredded by the Developer.

- G| Developer or representative must also provide copies of the Log to HPD for review indicating each applicant's selection status. The copies must be provided prior to units to eligible applicants. HPD approval is required prior to signing leases.
- H| All offers of apartments must be made by Developer or representative to "eligible applicants", and must be made in numbered order from this Log, as long as units of appropriate size are available. An applicant to whom an apartment has been offered must be given a reasonable specific amount of time to respond to the offer before a Developer can proceed to offer an apartment to the next eligible applicant on the Log.
- I| If units of appropriate size are unavailable to eligible applicants from the Log as they are being reviewed, the applicant's name will remain on the Log until an appropriate unit becomes available or until the Log expires.
- J| The Applicant Log will be retained as a record for no less than three (3) years.

6. **TENANTING APARTMENTS**

- A| **Referrals:** The City reserves the right to refer potential tenants to the Developer. Developer, if directed by HPD, must first offer units to these referrals, when eligible. Referrals must be entered into a separate Log by the Developer or a representative. Developer must indicate the source of the referral on the log.
  
- B| **Homeless Units:** If required by the project's Regulatory Agreement, Developer must offer units to "eligible homeless" applicants. "Eligible Homeless" applicants are very low-income applicants who are certified as eligible by HRA, HPD or an approved alternate referral source. Refer to the Regulatory Agreement for the required percentage (or number) of homeless units to be tenanted under this category. For apartments reserved for Homeless Families, the owner/manager must promptly notify HPD's Division of Housing Finance and Production when vacancies occur and request that homeless households certified as eligible by HRA, HPD or an approved alternate referral source be referred as prospective tenants. Records documenting the rental and referral source for all homeless units must be maintained by the owner or designated manager and must be made available to HPD upon request. Failure to comply with these requirements may result in HPD extending the fifteen year restricted use period.
  - **"Eligible Neighborhood Residents" defined:** Eligible applicants whose address at the time of application is in the community board(s) in which the project is located, or when applicable, in the community board upon which the project borders.
  
  - **Requirement for projects with homeless units:** For projects containing homeless units, Developer must rent not less than fifteen per cent (15%) of the total number

of homeless units as described in Section 6b above to "eligible neighborhood residents" if the project is located in one (1) community board, and not less than twenty per cent (20%) of the total number of these units to "eligible neighborhood residents" if the project is located in two (2) community boards or is on the border of two (2) community boards. In the event that all non-neighborhood preference homeless units in a project have been rented, and the neighborhood preference requirement has not been met, Developer must rent the next remaining homeless units only to "eligible neighborhood homeless residents" until the neighborhood homeless preference requirement is met. See also Section 9 for completing neighborhood preference rent-up.

- Requirement of non-homeless units: For non-homeless units, Developer must rent not less than fifty per cent (50%) of the total number of non-homeless units in the project to eligible neighborhood residents. See also Section 9 for completing neighborhood preference rent-up.

- C| **Neighborhood Preference Requirement:** Fifty per cent (50%) of all marketed units will be rented up to Community Board residents.
- D| **Municipal Employee Preference:** Five per cent (5%) of all marketed units will be rented to Municipal Employees of the City of New York.

E| **Federal Disability Preference:** If (i) this is a rehabilitation project containing fifteen (15) or more units and if the cost of the alterations is 75% or more of the replacement cost of the completed facility, or (ii) if this is a new construction project containing five (5) or more units, a minimum of 5% of the project units, or one unit, whichever is greater, is required to be made adaptable for disabled persons with mobility impairments, and a minimum of 2% of the project units, or one unit, whichever is greater, is required to be made adaptable for disabled persons with visual or hearing impairments. Such units (the 5% and 2% of the project units which were required to be made adaptable) are referred to as "disabled preference units." Applicants who have at least one household member with a mobility impairment or a visual or hearing impairment are referred to as "disabled applicants." Developer must offer disabled preference units to appropriate disabled applicants. Disabled applicants are instructed to place a check mark ( ✓ ) on the outside of the envelope, and will be randomly selected with all other applicants. Disabled applicants must meet all programmatic requirements in order to be eligible for the unit. If not met, Developer, or representative, may go to the next disabled applicant on the log.

If Developer, or representative, cannot rent all disabled preference units from the original applicant pool, Developer or representative, in the presence of HPD staff must open and log only remaining unopened applications for disabled applicants identified with a check mark ( ✓ ) on the outside of the envelope.

Developer will notify the Mayor's Office for People with Disabilities (MOPD) or its successor office, if there are disabled preference units remaining after the above procedures have been met. Applications from additional disabled applicants referred to Developer by MOPD must be postmarked not more

than 35 days following such notification. Developer will open and log additional applications from disabled applicants in the same manner as all other applications, and will offer the remaining disabled preference units to appropriate disabled applicants who have submitted applications by the aforesaid deadline. If there are disabled preference units remaining after the procedures described in this paragraph have been met, such units may be offered to non-disabled applicants.

If all the disabled preference units have been rented to disabled applicants, the remaining disabled applicants, if any, remain on the log and are treated the same as all other (non-disabled) applicants. If the Developer offers an apartment to a disabled applicant who remained on the log, developer must offer an adaptable apartment of appropriate size, if available. If no such apartment is available, a non-adaptable apartment should be offered. Developers are advised that Federal law requires the developer to provide a reasonable accommodation to the applicant, if requested.

**7. COMPLETING RENT-UP OF LOW-INCOME APARTMENTS**

If after following procedures outlined in Sections 5 and 6, and exhausting all eligible names on the Log, low-income apartments are still available but some applications remain unopened, Developer or a representative, must notify HPD, and in the presence of HPD and pursuant to procedures listed in Section 5, randomly open and log a number of remaining vacancies. The developer, or a representative will then follow Tenant Selection Procedures outlined in Section 6.

- A | If apartments are still available after the Developer has exhausted all remaining applications pursuant to Section 7a, Developer or a representative, must notify HPD, and in the presence of HPD and pursuant to procedures listed in Section 5, randomly open and log a number of "late" applications set aside pursuant to Section 4c sufficient to tenant the remaining low-income vacancies. The Developer, or a representative will then follow Tenant Selection Procedures in Section 6.
  
- B | If after the Developer has exhausted all remaining applications as described above and low-income apartments are still available, Developer, or a representative, must notify HPD. HPD will provide the format for a re-advertisement, which will contain an open application. All applications will be picked up from the post office as needed in the presence of HPD staff. Future lotteries for the site will be held as needed in the presence of HPD staff. During this period, all other requirements contained in these Tenant Selection Procedures will continue to apply.

**8. COMPLETING RENT-UP OF MODERATE-INCOME APARTMENTS**

Developer and/or HPD may determine upon reviewing the initial log that there will be an insufficient number of qualified moderate-income applicants from the lottery to complete the moderate-income rent-up. Unless otherwise specified and upon written approval from HPD, Developer will be permitted to conduct direct outreach or solicit additional applications pursuant to procedures listed below in this section in order to rent the remaining moderate-income units. Developer will be permitted to process these additional applicants, but may not rent to these applicants until all eligible applications from the original applicant pool have been exhausted.

- A| Developer will then be required at minimum to re-advertise the units in addition to any direct outreach/solicitation.
  - Ad will be provided by the Developer.
  - Ad must be placed in at least three (3) newspapers as described in Section 2c of these Tenant Selection Procedures.
  - Developer must provide HPD with a copy of the re-advertisement.
- B| All applications received as a result of this process must be logged by the Developer.
- C| Developer must apply the same eligibility and rent-up criteria/requirements utilized for all other applicants when renting these apartments.
- D| Developer will be required to certify to HPD that this process has been completed in accordance with these guidelines.

**9. COMPLETING NEIGHBORHOOD PREFERENCE RENT-UP**

Developer must contact HPD if, upon renting the maximum number of non-resident units, the log from the original applicant pool contains an insufficient number of eligible applicants to meet neighborhood preference requirements. Then, the Developer will attempt to meet the neighborhood preference requirement by following the procedures listed below, in the order in which they appear until all neighborhood preference units are rented:

- A| Developer must open and log any remaining unopened applications and attempt to tenant the remaining units with eligible neighborhood residents.
- B| Developer must open and log any "late applications" and attempt to tenant the remaining units with eligible neighborhood residents, in log order.
- C| Where applicable, developer may consider applicants from the moderate-income advertisement.

After developer certifies to HPD that the above procedures have been followed, in order, and after considering all eligible neighborhood residents, the neighborhood preference requirement cannot be met, Developer may proceed to tenant apartments with eligible non-neighborhood residents in log order.

**10. INTERVIEWS**

- A| Units must be offered to eligible applicants in log number order but interviews can be conducted by Developer, or a representative, in any order.
  
- B| Developer will notify each applicant to be interviewed by regular mail. Format for letter will be provided by HPD. Letter will indicate:
  - date, time, and location of interview and phone number should applicant be unable to appear;
  - list of required documents to be brought to interview by applicant;
  - that Developer reserves the right to make home visits or other appropriate inquiries to assist in qualifying applicants;
  - that no broker or application fees will be charged to the tenant;
  - if credit checks will be conducted by Developer, that the following fees can be charged to the tenant: a maximum of \$50 for market-rate tenants, or \$25 for low-income tenants. No credit check fees may be charged to homeless applicants. A credit check fee can only be charged after an interview has been conducted and all other threshold selection criteria have been met.
  
- C| In cases where an applicant fails to appear for an interview, Developer must send a second letter by regular mail to schedule another interview. The applicant will be given a reasonable specific amount of time from the date of the second letter in which to respond.

**11. QUALIFYING APPLICANTS**

- A| All selections will be made by the Developer, or a representative.
- B| Developer, employees, agents and employees of agents are prohibited from seeking an apartment through the Developer’s lotteries, and are further prohibited from being considered through any other means for any apartment being marketed by this Developer pursuant to these Tenant Selection Procedures, regardless of their position with the firm.
- C| If required by the Regulatory Agreement, Developer must disqualify those applicants for whom there is not at least one household member who is a New York City resident at the time of application.
- D| Developer must disqualify those applicants from whom multiple copies of an application are received.
- E| HPD will provide Developer with initial rents, income guidelines and minimum household size requirements when the Notice of Intent is received.
- F| HPD’s low-income affordable apartments are not intended for “roommate situations” or other combinations of friends and/or distant relatives who join together solely for the purposes of qualifying for such a housing opportunity. For the purposes of HPD’s low-income housing programs, a household shall be defined as “an immediate family or other such configuration of persons who have a documented financial interdependence.” Aside from immediate family members (spouses and parent/child combinations), other possible households may document “financial interdependence” as follows:
  - Adult persons already living together as a household as may be formally documented through current leases, deeds, or current utility records identifying each person residing at the same address;
  - Adult persons who can document shared assets, such as shared bank accounts reflecting each person’s name, going back at least one year.

- Adult couples who are not married but who meet the criteria above or who can document registration with The City of New York as a domestic partnership.
- Additional minors who can be documented as being the lawful dependents of one or more adult household members. Individual letters signed by applicants or other individuals (such as a statement from an applicant's sister that her child will be living with the applicant) are not acceptable documentation. Acceptable documentation may include the following:
  - a) legal custody or guardianship papers;
  - b) tax documents reflecting the minor as a dependent;
  - c) school records identifying the adult household member as the minor's guardian of record; or
  - d) Third Party verification from a governmental social services agency regarding the placement of the minor within the household

G| Developer must notify all applicants processed of their selection status by regular mail as soon as a determination has been made. (See also Section 5f) A copy of the letter must be attached to the application and kept on file.

H| As required under Section 5e, Developer will provide HPD with a copy of the completed Log, indicating the final selection status of each applicant and reason for rejection, such as:

- income ineligibility;
- applicant's being an employee of Developer, or Developer's agent (See Section 11b);
- does not meet New York City residency requirement;
- lack of adequate income to support mortgage payments;

- ineligible household size;
- poor payment or credit history;
- receipt of more than one application per household;
- falsification of information;
- any other reason for rejection;
- if files are incomplete or if flags are raised which require further review either internally or with The NYC Department of Investigation (DOI), the process will take as long as necessary to:
  - a) acquire the missing or additional paperwork from the borrower's management staff or
  - b) complete an additional review with DOI. On a case by case basis, if such processes extend past ten (10) business days without a resolution, the agencies may grant permission to place such questionable applicants on hold and proceed with other applications while such special reviews are being completed.
- Ineligibility and Rejection Letters to Applicants must provide a specific reason an applicant cannot be approved. Responses to appeals must be even more specific and detailed. For example, stating "You are rejected because you are under-income" is not sufficient. The letter would need to state, as an example, "You have been deemed ineligible for this housing program because you do not meet the minimum income required for your family and unit size. The minimum income is \$35,000 and your household's annual income has been determined to be \$34,000".

I| The first applications processed and submitted to the agencies from the log must be those that meet one of the approved housing preferences; community board, disability, municipal employee, etc.

- If preferences are not met and there are still

unopened applications remaining, another day of opening applications to identify additional preference applicants must be scheduled with the agencies. No preferences will be waived unless all received applications have been opened.

- Only after all preferences have been achieved (or waived by the agencies following the exhaustion of the lottery) may non-preference applications be submitted for approval. This is to prevent non-preference applicants from being processed for units that are intended for preference-eligible applicants.

J| Developer, or a representative cannot disqualify an applicant solely on the basis that the applicant receives Section 8 assistance.

## 12. COMPLIANCE WITH REGULATORY AGREEMENTS

In addition to discretionary selection criteria such as credit checks, landlord references, etc., HPD hereby makes criminal background checks a mandatory criterion. The owner must disclose in the project's marketing plan which types of information revealed through such a check will or will not adversely impact an applicant's eligibility except that HPD hereby requires a determination of ineligibility in the event that one or both of the following criminal findings is flagged during the background check:

- A prior conviction of fraud in connection to any governmental housing program;
- A revelation that an applicant is a criminal fugitive being sought by law enforcement for either incarceration or deportation (as such applicants would not lawfully be able to "anticipate" income or even be anticipated to be an included member of the household).

Developer must certify to HPD, compliance with all provisions of the Rent Regulatory Agreement and these Tenant Selection Procedures and must maintain all records pertaining to the marketing of the project and the certification or re-certification of each tenant, for a period of not less than three (3) years.

### **NOTE: DISCOVERY OF FALSE INFORMATION:**

Even before documents are submitted there are times when owners/agents may independently detect applicants who have falsified information. For example, the tax transcripts may come back and differ from the provided returns, or provided pay stubs or other documents may be detected as having been tampered with. In all such cases, this fraud (or potential fraud) must be reported. Even if it is detected early and does not result in the applicant receiving an apartment, the attempt of fraud itself must be reported. Owners/agents may report such findings to HPD or, if they prefer, directly to The NYC Department of Investigation.

**13. INCORPORATION OF “FAIR HOUSING LAWS”**

There are Federal, State and local laws, orders and regulations prohibiting housing discrimination (“Fair Housing Laws”). Such Fair Housing Laws, as they may be amended from time to time, are hereby explicitly incorporated in these Tenant Selection Procedures, any violation thereof will be a violation of these Tenant Selection Procedures.

incorporation of “fair housing laws”

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**14. AMENDMENTS**

HPD reserves the right to amend any provision of these Tenant Selection Procedures.

## **15. INSPECTIONS**

HPD reserves the right to conduct periodic inspections and spot-checks of the Developer's tenanting process.

**16. CORRESPONDENCE**

All notices to HPD regarding the Tenant Selection Procedures must be sent by regular mail or email to the attention of:

Director of Marketing  
City of New York  
Department of Housing Preservation and Development  
100 Gold Street Room 9V5A  
New York, New York 10038

[torisj@hpd.nyc.gov](mailto:torisj@hpd.nyc.gov)





[To be placed on Developer's Letterhead]

NOTICE OF INTENT TO MARKET:  
RENTAL UNITS

Director of Marketing

Department of Housing Preservation and Development  
100 Gold Street, Room 9V5A  
New York, New York 10038

FAX: (212) 863-7988  
Email: torisj@hpd.nyc.gov

Re: PROGRAM: \_\_\_\_\_  
PROJECT NAME: \_\_\_\_\_  
ADDRESS: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Dear :

The project listed above is nearing completion. We expect units to be available for occupancy on [DATE] .  
. Advertising should begin on [DATE] .

There are a total of [NUMBER OF UNITS] units to be marketed for renty in this project (excluding units set aside for the superintendent, if applicable). The distribution of units is as follows:

Available Units	Unit Size	Estimated Cost	Annual Income Range
_____	0 Bedroom	\$ _____	\$ _____ to \$ _____
_____	1 Bedroom	_____	_____
_____	2 Bedroom	_____	_____
_____	3 Bedroom	_____	_____

We will be advertising in the following three newspapers:

- Citywide:
- Local:
- Ethnic:



**[To be placed on Developer's Letterhead]**

The ad should list the following PO Box or address for application requests:

The ad should state that application requests must be made by mail only: Yes \_\_\_\_No \_\_\_\_.

The handicapped information for this project is as follows:

Number of elevators in            buildings;  
Number of ramps to            buildings;  
Total Number of handicapped adaptable units.

I understand that the Department of Housing Preservation and Development will provide the camera-ready ad for this project. If I provide my own ad for this project I understand that the ad is subject to HPD's final review and approval. If there are any questions regarding the above information please contact:

Phone: (    )

FAX: (    )

Email:

Sincerely,

Developer/Manager



**[To be placed on Developer's Letterhead]**

**COVER LETTER TO APPLICATION**  
**[Indicate Developer Name Only]**

Thank you for contacting us. Per your request, an application is enclosed for an apartment at

\_\_\_\_\_.

The completed application must be returned by **REGULAR MAIL ONLY** to the following Post Office Box (Please note that this is a **DIFFERENT** address than where you wrote for an application):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The application deadline is **[Date]**. Applications postmarked after this deadline will be set aside for possible future consideration.

**If you answered "yes" to question "I" on the application regarding if you or a member of your household requires a special accommodation, kindly place a check mark (✓) on the outside of the envelope.**

**MAIL ONLY ONE APPLICATION PER FAMILY. YOU WILL BE DISQUALIFIED IF MORE THAN ONE APPLICATION PER FAMILY IS RECEIVED.**

**DO NOT GIVE BROKERS OR APPLICATION FEE TO ANYONE IN CONNECTION WITH THE OBTAINING, PREPARING OR FILING OF THIS APPLICATION FOR HOUSING.**

The prices and income distribution for these units are as follows:

**[Developer must insert chart from advertisement]**

Applications for these units will be randomly selected. If your application is selected, we will notify you in writing and schedule an interview. Please be prepared to document your income and the other information you provide on the application. A list of required documentation will be sent to you when an interview is scheduled.

Thank you for your interest.



[DEVELOPER NAME]  
[PROJECT NAME]  
[PROJECT ADDRESS]

APPLICATION FOR APARTMENT

Instructions:

1. Mail only one application per family. You will be disqualified if more than one application per family is received.
2. When completed, this application must be returned by regular mail only; do not send registered or certified mail.
3. The completed application must be postmarked no later than (month, day, year). Applications postmarked after this date will be set aside for possible future consideration.
4. Mail completed application to:

[POST OFFICE BOX ADDRESS]

\_\_\_\_\_  
\_\_\_\_\_

5. **No payment should be given to anyone in connection with the preparation or the filing of this application.**

- 
6. This information to be filled out by the Applicant:

**A. *Name and Address***

Name: \_\_\_\_\_

Current Address: \_\_\_\_\_

City, State, Zip Code: \_\_\_\_\_

Home / Cell Phone: \_\_\_\_\_

Work Phone: \_\_\_\_\_

How long have you lived at this address? \_\_\_\_\_ Years, \_\_\_\_\_ Months

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**B. *Household Information***

How many persons in your household, including yourself, WILL LIVE IN THE UNIT FOR WHICH YOU ARE APPLYING? \_\_\_\_\_.



List all of the people WHO WILL LIVE IN THE UNIT FOR WHICH YOU ARE APPLYING, starting with yourself, and provide the following information. Add additional pages if necessary.

Full Name	Relation to Applicant	Birth Date	Age	Sex	Occupation

Are you or any member of your household disabled?  Yes  No

If yes, would you describe the disability as  mobility impairment?  visual impairment?  
 hearing impairment?

If you checked either mobility impairment, or visual impairment, or hearing impairment, do you or a member of your household require a special accommodation?  Yes  No

If yes, please specify the special accommodation required:

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**C. *Income from Employment***

1) **Are you an employee of the City of New York, the New York City Housing Development Corporation, the New York City Economic Development Corporation, the New York City Housing Authority, or the New York City Health and Hospitals Corporation?**  
 Yes \_\_\_\_\_ No \_\_\_\_\_ (If Yes, please identify the agency or entity at which you are employed):

Agency/Entity: \_\_\_\_\_

2) If you answered “yes” to Question 1 above, have you personally had any role or involvement in any process, decision, or approval regarding the housing development that is the subject of this application?  
 Yes \_\_\_\_ No \_\_\_\_



**NOTE: If you answered ‘Yes’ to Question 1 above, you may be required to submit a statement from your employer that your application does not create a conflict of interest. If you answered ‘Yes’ to Question 2 above, you will be required to submit a statement from your employer that your application does not create a conflict of interest. Such statement would not be required until later in the application process, after you have been selected through the lottery, when you will also be required to provide other documents to verify your income and eligibility.**

List all full and/or part time employment for ALL HOUSEHOLD MEMBERS including yourself, WHO WILL BE LIVING WITH YOU in the residence for which you are applying. Include self-employment earnings.

Household Member	Employer Name and Address	Years Employed	Gross Earnings

**D. Income from Other Sources**

List all other income, for example, welfare (including housing allowance), AFDC, Social Security, SSI, pension, disability compensation, unemployment compensation, Interest income, babysitting, care-taking, alimony, child support, annuities, dividends, income from rental property, Armed Forces Reserves, scholarships and/or grants, etc.:

HOUSEHOLD MEMBER	Type of Income	Amount
_____	_____	\$ _____ per _____
_____	_____	\$ _____ per _____
_____	_____	\$ _____ per _____
_____	_____	\$ _____ per _____



**E. Total Annual Household Income**

Add All Income Listed Above and Indicate the Total Earned for the Year \$\_\_\_\_\_per year

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**F. Current Landlord**

Landlord's Name: \_\_\_\_\_

(If you live in a public housing project enter "NYCHA." If you live in a city-owned/In Rem building enter "HPD")

Landlord's Address: \_\_\_\_\_

Landlord's Phone Number: \_\_\_\_\_

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**G. Current Rent**

What is the total rent on the apartment where you currently live or temporarily staying? \$ \_\_\_\_\_monthly

How much do you contribute to the total rent of the apartment? If nothing write "0" \$ \_\_\_\_\_monthly

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**H. Reason for Moving**

Why are you moving? Please check all that apply.

- |  |   |
|--|---|
| <input type="checkbox"/> Living with parents                 | <input type="checkbox"/> Do not like neighborhood                   |
| <input type="checkbox"/> Not enough space                    | <input type="checkbox"/> Living with relatives/other family members |
| <input type="checkbox"/> Living in shelter or on the streets | <input type="checkbox"/> Rent too high                              |
| <input type="checkbox"/> Bad housing conditions              | <input type="checkbox"/> Increase in family size (marriage, birth)  |
| <input type="checkbox"/> Health Reasons                      | <input type="checkbox"/> Other _____                                |
| <input type="checkbox"/> Disability access problems          |   |
- 

**I. Section 8 Housing Assistance**

Are you presently receiving a Section 8 housing voucher or certificate?  Yes  No (Please check Yes or No.)

This information will not affect the processing of the application.

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**J. Assets**

Checking /Bank or Branch: \_\_\_\_\_

Savings/Bank or Branch: \_\_\_\_\_

Certificates/Bank or Branch: \_\_\_\_\_

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**K. Source of Information**

How did you hear about this development?

- Newspaper  Sign Posted on Property  
 Local Organization or Church  Friend  
 City "affordable housing hotline" listing new ads for the month  Web Site/Internet  
 Other: \_\_\_\_\_
- 

**L. Ethnic Identification (Used for Statistical Purposes Only)**

This information is optional and will not affect the processing of the application. Please check one group that best identifies the applicant.

- White (non Hispanic origin)  Black  
 Hispanic origin  Asian or Pacific Islander  
 American Indian/Alaskan Native  Other \_\_\_\_\_
- 

**M. Signature**

I DECLARE THAT STATEMENTS CONTAINED IN THIS APPLICATION ARE TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE. I have not withheld, falsified or otherwise misrepresented any information. I fully understand that any and all information I provide during this application process is subject to review by The New York City Department of Investigation (DOI), a fully empowered law enforcement agency which investigates potential fraud in City-sponsored programs. I understand that the consequences for providing false or knowingly incomplete information in an attempt to qualify for this program may include the disqualification of my application, the termination of my lease (if discovery is made after the fact), and referral to the appropriate authorities for potential criminal prosecution.

I DECLARE THAT NEITHER I, NOR ANY MEMBER OF MY IMMEDIATE FAMILY, IS EMPLOYED BY THE DEVELOPER OR ITS SUBSIDIARIES, OR THE BUILDING OWNER OR ITS PRINCIPALS.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

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**OFFICE USE ONLY:**

Community Board Resident  Yes  No  
Municipal Employee  Yes  No  
Size of Apartment Assigned  Studio  1 Bedroom  2 Bedroom  3 Bedroom  4 Bedroom  
Family Composition: Adult Males: \_\_\_\_\_ Adult Females: \_\_\_\_\_ Male Children: \_\_\_\_\_ Female Children: \_\_\_\_\_  
Person with Disability  Mobility  Visual  Hearing  
TOTAL VERIFIED HOUSEHOLD INCOME: \$ \_\_\_\_\_ per Year

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**SAMPLE INELIGIBILITY LETTER**

**[To be placed on Developer's Letterhead]**

Date

Applicant's Name and Address

Re: **[PROJECT NAME]**

Log #\_\_\_\_\_

Dear (Applicant):

We have received your application for residency in the project indicated above. Based on the guidelines for eligibility under this program, you are ineligible for the following reason:

- \_\_\_ 1. Your family's gross income exceeds the program limit.
- \_\_\_ 2. Your family's gross income is not sufficient to sustain the rent level.
- \_\_\_ 3. No remaining units are available within the project to accommodate your family size.
- \_\_\_ 4. Your application was not received through regular mail as instructed.
- \_\_\_ 5. Poor Credit History
- \_\_\_ 6. Home Visit
- \_\_\_ 7. Other

If you have additional information which you feel would entitle you to appeal this determination, you may contact this office within two (2) weeks from the date of this letter to request a review.

Sincerely,

Owner/Manager



**SAMPLE ELIGIBILITY LETTER**

**[To be placed on Developer's Letterhead]**

Date

**NOTICE OF ELIGIBILITY**

To:

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**RE: [PROJECT NAME/ADDRESS]**

Dear:

Congratulations! We are pleased to inform you that you have been approved for an apartment at \_\_\_\_\_ **[PROJECT ADDRESS]** \_\_\_\_\_.  
You will be occupying apartment #\_\_\_\_\_.

Please contact us upon receipt of this letter in order to arrange for an inspection of the unit and the signing of the lease.

Thank you.

Sincerely,

Owner/Manager

Re: **[PROJECT NAME]**

Log # \_\_\_\_\_



[To be placed on Developer's Letterhead]

**REQUEST FOR AN INTERVIEW**

Date:

Dear:

Your application for an apartment at \_\_\_\_\_ **[Project Name/Address]** \_\_\_\_\_ has been randomly selected for further processing.

**THIS IS ONLY A NOTICE TO APPEAR FOR AN INTERVIEW. YOU MUST MEET CERTAIN ELIGIBILITY REQUIREMENTS BEFORE YOU CAN BE APPROVED.**

An interview has been set-up for you at \_\_\_\_\_  
on \_\_\_\_\_ am/pm.

**[Developer to insert list of documents here]**

**IF YOU ARE UNABLE TO ATTEND, PLEASE CONTACT US AT LEAST 24 HOURS BEFORE YOUR SCHEDULED APPOINTMENT AT ( ) \_\_\_\_\_ OR AT THE ADDRESS LISTED ABOVE.**

We look forward to seeing you.

Sincerely,

Owner/Manager



**APPLICANT INFORMATION FORM**

(To be completed for all applicants to whom you intend to offer an apartment)

**SITE:** \_\_\_\_\_

**1. Applicant Name:** \_\_\_\_\_ **Log #:** \_\_\_\_\_

**2. Building Address:** \_\_\_\_\_ **Apartment #:** \_\_\_\_\_

**3. Household Income: \$:** \_\_\_\_\_ **3a. Rent: \$** \_\_\_\_\_

<b>4.</b>	<b>a. NYCHA Housing</b>	_____	<b>Yes</b>	_____	<b>No</b>
	<b>b. Community Board Resident</b>	_____	<b>Yes</b>	_____	<b>No</b>
	<b>c. Municipal Employee</b>	_____	<b>Yes</b>	_____	<b>No</b>
	<b>d. Borough Resident</b>	_____	<b>Yes</b>	_____	<b>No</b>
	<b>e. Section 8 Recipient</b>	_____	<b>Yes</b>	_____	<b>No</b>
	<b>f. Disabled</b>	_____	<b>Yes</b>	_____	<b>No</b>

**If "Yes":** \_\_\_\_\_ **Mobility** \_\_\_\_\_ **Visual** \_\_\_\_\_ **Hearing**

**5. Ethnicity (check one)**

**White** \_\_\_\_\_ **Black** \_\_\_\_\_ **Hispanic** \_\_\_\_\_ **Asian** \_\_\_\_\_ **Other** \_\_\_\_\_

**6. Size of Apt. Assigned (check one)**

**Studio** \_\_\_\_\_ **1 Bedroom** \_\_\_\_\_ **2 Bedroom** \_\_\_\_\_ **3 Bedroom** \_\_\_\_\_ **4 Bedroom** \_\_\_\_\_

**7. List Names of all Family Member residing in Unit**

**a. Head** \_\_\_\_\_

**b. Co-Head/Spouse:** \_\_\_\_\_

**c. Family Member # 3:** \_\_\_\_\_

**d. Family Member # 4:** \_\_\_\_\_

**e. Family Member # 5:** \_\_\_\_\_

**f. Family Member # 6:** \_\_\_\_\_

**9. Rent of Apartment Assigned (check one)**

**Very Low** \_\_\_\_\_ **Low** \_\_\_\_\_ **Moderate** \_\_\_\_\_ **Market** \_\_\_\_\_ **HOME unit** \_\_\_\_\_

**10. a. Does this AIF serve to replace a previously approved applicant? Yes [ ] No [ ]**

**If "Yes", please indicate the name, log number, date, and reason why applicant is being replaced.**

**Name:** \_\_\_\_\_ **Log#:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**b. Reason for replacement of previous applicant:**

**Applicant Cancelled:** \_\_\_\_\_ **Rejected:** \_\_\_\_\_ **Moved-Out:** \_\_\_\_\_ **Evicted:** \_\_\_\_\_

**Unit Transfer:** \_\_\_\_\_ (Please give new unit #: \_\_\_\_\_) **Vacant Unit:** \_\_\_\_\_ **Other:** \_\_\_\_\_

# **EXHIBIT J: PROPOSAL FORMS**

## Form A-1: Completeness Checklist

### Completeness Checklist (Tab A)

Before completing the following forms, please see instructions in **Section VII (Submission Requirements)**.

Tab	Form	✓
A	<b>Completeness Checklist and Applicant's Letter</b>	
	1. Completeness Checklist (Form A-1)	
	2. Applicant's Letter (Form A-2)	
B	<b>Project Summary Form</b> (Form B)	
C	<b>Development Team Information &amp; Applicant Questionnaire</b> (Form C-1, Form C-2)	
D	<b>Experience and Current Workload</b>	
	1. Residential Development Experience and Current Workload (Form D-1)	
	2. Residential Management Experience (Form D-2)	
	3. Retail/Commercial Management Experience (Form D-3)	
	4. Management Questionnaire (Form D-4)	
E	<b>Assets Statement</b> (Form E)	
F	<b>Financing Proposal</b> (Form F)	
G	<b>Letters of Interest for Private and Public Funds</b> ( <i>provided by Applicant</i> )	
H	<b>Retail Plan</b> ( <i>provided by Applicant</i> )	
I	<b>Community Facility</b> ( <i>provided by Applicant</i> )	
J	<b>Public Park, if applicable</b> ( <i>provided by Applicant</i> )	
K	<b>Design Narrative</b> ( <i>provided by Applicant</i> )	
L	<b>Architectural Submission</b> ( <i>provided by Applicant</i> )	
M	<b>Sustainability Elements</b>	
	1. Sustainability Narrative ( <i>provided by Applicant</i> )	
	2. Green Communities Intended Methods Workbook (Form M)	
N	<b>Design Team Experience</b> ( <i>provided by Applicant</i> )	
O	<b>Development Schedule</b> (Form O)	
P	<b>NYCHA Resident Hiring Plan</b> ( <i>provided by Applicant</i> )	
Q	<b>Subcontracting and Local Employment Plan and Experience</b> ( <i>provided by Applicant</i> )	
R	<b>Resident Services Plan</b> ( <i>provided by Applicant</i> )	

## Form A-2: Applicant's Letter

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### Applicant's Letter (Tab A)

New York City Department of  
Housing Preservation and Development  
100 Gold Street  
New York, NY 10038  
Attn: RuthAnne Visnauskas, Deputy Commissioner for Development

New York City Housing Authority  
250 Broadway, 24<sup>th</sup> Floor  
New York, NY 10007  
Attn: Patricia Barrera, Senior Deputy Director of Development

Re: Re-Vision Prospect Plaza RFP

Dear Ms. Visnauskas and Ms. Barrera:

This letter is being submitted in connection with my proposal ("**Proposal**") submitted in response to the Re-Vision Prospect Plaza Request for Proposals ("**RFP**") issued by the Department of Housing Preservation and Development ("**HPD**") of the City of New York ("**City**") in cooperation with the New York City Housing Authority ("**NYCHA**").

I understand that selection of an Applicant ("**Applicant**") under the RFP for disposition of a site ("**Site**") and the development of the project described in the RFP ("**Development**") will mean only that HPD and NYCHA will commence negotiations with such Applicant regarding the development of the Site.

I recognize that any negotiations with HPD and NYCHA will be subject to the following terms and conditions.

- 1)
  - a. The commencement of negotiations will not represent any obligation or agreement on the part of the City, which may only be incurred or entered into by a written agreement which has been: (i) approved as to form by the City's Law Department; (ii) approved by the Mayor after a hearing on due notice; and (iii) duly executed by the Applicant and the City. The negotiation letter (the "**Negotiation Letter**") will only indicate HPD's intention to commence negotiations that may ultimately lead to the execution of such an agreement.
  - b. The commencement of negotiations will not represent any obligation or agreement on the part of NYCHA, which may only be incurred or entered into by a written agreement which has been approved by NYCHA and the United States Department of Housing and Urban Development ("**HUD**"), and duly executed by the Applicant or an Applicant-affiliated entity and NYCHA. The Negotiation Letter will only indicate NYCHA's

intention to commence negotiations which may ultimately lead to the execution of such and agreement.

- 2) The Applicant will not have permission to enter upon the Site, which permission will only be granted, if at all, in the form of a license agreement duly executed by the Applicant or an Applicant-affiliated entity and NYCHA. The execution of any such license agreement, if it occurs, will only indicate that NYCHA has granted permission for the Applicant to enter onto the Site for the limited purposes stated in the scope of work set forth therein, and will not indicate that NYCHA has reached any other agreement with the Applicant regarding the Site, the Development, or the program.
- 3) The following requirements will have to be satisfied prior to disposition of the Site:
  - a. The disposition of the Site and tax exemptions to be granted, if any, must be reviewed and approved in accordance with all applicable HPD, NYCHA and City policies, which include, but are not limited to, the following:
    - i) The Applicant, any other potential grantee of the Site, and the Applicant's respective principals must successfully undergo background checks concerning their suitability to do business with the City and NYCHA.
    - ii) The Site will not be sold to any person or entity which (or to any entity with a principal who): (i) has not fulfilled development responsibilities undertaken in connection with the City or other governmental entities; (ii) is in default on any obligations to the City; (iii) is a former owner of the Site; (iv) has lost real property to the City in tax or lien enforcement proceedings; or (v) has filed for bankruptcy.
  - b. The price and other terms of the disposition of the Site will be in accordance with the provisions of all applicable federal, State and City laws and regulations, NYCHA policies, and any requirements of HUD.
  - c. The tax exemptions to be granted, if any, must be reviewed and approved in accordance with the provisions of all applicable local, State, and Federal laws, which may require, among other things, review and/or approval by the local Community Board, the Borough President, the City Planning Commission, the City Council, and/or the Mayor.
  - d. The grantee must execute legal documents in form and substance acceptable to HPD and NYCHA and in form approved by the City's and NYCHA's Law Departments.
- 4) During negotiations, the Applicant must diligently, competently, and expeditiously comply with all requirements communicated to the Applicant by HPD or NYCHA.
- 5) The design of the Development must comply with any applicable Urban Renewal Plan and HPD and NYCHA design requirements.

- 6) The Negotiation Letter will not constitute a representation or certification by HPD or NYCHA that the Site and the Development comply with the Criteria For Location Of City Facilities (“Fair Share Criteria”) established pursuant to Section 203 of the City Charter. The Applicant will be responsible for ensuring compliance with all Fair Share Criteria and for preparing all materials and obtaining all approvals related to such compliance.
- 7) Either HPD, NYCHA or the Applicant may terminate negotiations at any time with or without cause. Negotiations will terminate automatically if Applicant does not comply with the milestones to be set out in a development schedule, including but not limited to providing within 120 days from the date of the Negotiation Letter evidence of financing sufficient for acquiring, developing, or rehabilitating the Site in accordance with the Program requirements.
- 8) If negotiations are terminated by HPD, NYCHA or the Applicant, whether with or without cause, or if negotiations terminate automatically, then neither the City, NYCHA, nor the Applicant will have any rights against or liabilities to the other.
- 9) Neither the City nor NYCHA is obligated to pay, nor will either in fact pay, any costs or losses incurred by the Applicant at any time, including, but not limited to, the cost of: (i) any prior actions by the Applicant in order to respond to any selection process; or (ii) any future actions by the Applicant in connection with the negotiations, including, but not limited to, actions to comply with requirements of HPD, NYCHA, the City, or any applicable laws.

Very truly yours,

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**Re-Vision Prospect Plaza RFP****Form B: Project Summary****Developer:****Unit Summary**

Phase	Rental Units	Super Units	Total Units	Gross Square Feet
Prospect Place North				
Prospect Place South				
Saratoga				
<b>Total</b>				
<b>% of Total Project</b>				

**Affordability Summary**

Phase	Public Hsg Units	___% AMI	___% AMI	___% AMI
Prospect Place North				
Prospect Place South				
Saratoga				
<b>Total Units</b>				
<b>% of Total Project</b>				

**Unit Count by Type**

Phase	Studio	1BR	2BR	3BR	4BR
Prospect Place North					
Prospect Place South					
Saratoga					
<b>Total Units</b>					
<b>% of Total Project</b>					

**Summary of other uses**

Phase	Retail Space	Community Facility Space (SF)	Outdoor Open Space (SF)	Recreation Area (SF)
Prospect Place North				
Prospect Place South				
Saratoga				
<b>Total SF</b>				

**Form C: Development Team Information and Applicant Questionnaire**

**C1 - Development Team Information (Tab C)**

All applicants shall complete pages 1 - 3 of this form. Applicants that include a not-for-profit entity as principal of the developer or part of the Development Team shall also complete pages 4 -6.

Name of Applicant: \_\_\_\_\_

Name of Contact Person: \_\_\_\_\_ E-mail: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Telephone No: \_\_\_\_\_ Alternate Phone: \_\_\_\_\_

**COMPOSITION OF APPLICANT ENTITY:**

1. Type of organization (i.e. partnership, corporation, limited liability company, joint venture): \_\_\_\_\_

2. Provide the following information about all principals of the applicant. For corporations, provide the names of the officers and any shareholders owning 10% or more; for partnerships, provide the names of all general partners. For joint ventures, provide the information separately for each entity that comprises the joint venture. Also, state the role(s) that each principal would play in the development of the site, using the categories specified below.

**NAME OF ENTITY # 1:** \_\_\_\_\_ **Percent Interest in Proposed Project:** \_\_\_\_\_

PRINCIPALS: Name/Position/Title	Home Address	Role*	% Interest in Entity

**NAME OF ENTITY # 2:** \_\_\_\_\_ **Percent Interest in Proposed Project:** \_\_\_\_\_

PRINCIPALS: Name/Position/Title	Home Address	Role*	% Interest in Entity

\* Role Categories: GP = General/Managing Partner; GC = General Contractor; F = Provides financing, inactive; A = Architect; L = Legal Services; MA = Managing Agent; O = Other (specify)

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3. Provide the names, addresses, e-mail addresses, and telephone of members of the development team to the extent that these have been decided; if unknown, enter "N/A".

DEVELOPMENT TEAM:

<u>Architect:</u>	<u>Marketing Agent:</u>
<u>General Contractor:</u>	<u>Managing Agent:</u>
<u>Legal Counsel:</u>	<u>Social Service Provider:</u>
<u>Other:</u>	<u>Other:</u>

Is there an identity of interest between any principals of the developer and any other entities that comprise the development team? Yes [ ] No [ ]

If yes, please explain.

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4. Has any principal identified above, or any organization in which the principal is or was a general partner, corporate officer, or owned more than 10% of the shares of the corporation, been the subject of any of the following:

- (1) Arson conviction or pending case? Yes [ ] No [ ]
- (2) Harassment complaint filed by the New York State Division of Rent Control or the New York State Division of Housing and Community Renewal? Yes [ ] No [ ]
- (3) Had an ownership or management interest in a property that was taken in rem by the City or assigned by a judge of Landlord and Tenant Court to a 7A Administrator or receiver, or was subject to tax lien sale? Yes [ ] No [ ]
- (4) City State or Federal mortgage foreclosure, or currently more than 90 days in arrears on any City loan? Yes [ ] No [ ]
- (5) Default on any contract obligation or agreement of any kind or nature entered into with the City of New York or one of its agencies? Yes [ ] No [ ]
- (6) In the past 5 years, failed to qualify as a responsible bidder, or refused to enter into a contract after an award has been made, privately or with any government agency? Yes [ ] No [ ]
- (7) In the last 7 years, filed a bankruptcy petition or been the subject of involuntary bankruptcy proceedings? Yes [ ] No [ ]
- (8) In the last 5 years, failed to file any required tax returns, or failed to pay any applicable Federal, State of New York, or City taxes or other charges? Yes [ ] No [ ]
- (9) Been convicted of fraud, bribery, or grand larceny? Yes [ ] No [ ]
- (10) Negative findings from the Inspector General's Office? Yes [ ] No [ ]

If the answer to any question is yes, provide the following information about each instance: name of principal(s); name(s) of organization(s) or corporation(s); principal's status in the organization or corporation (e.g. officer), the date of the action, and current status and disposition.

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CERTIFICATION

[This certification must be signed by one of the principals listed above; if the applicant is a joint venture, it must be signed by a principal of each entity that comprises the joint venture.]

I certify that the information set forth in this application and all attachments and supporting documentation is true and correct. I understand that the City of New York will rely on the information in or attached to this document and that this document is submitted to induce the City of New York to select this proposal for development of a site.

I understand that this statement is part of a continuing application and that until such time that the subject project is finally and unconditionally approved by the City of New York, I will report any changes in or additions to the information herein, and will furnish such further documentation or information as may be requested by the City of New York or any agency thereof.

I understand that if I receive preliminary designation to develop this site, I must submit all additional disclosure forms required.

---

Name of Organization

---

Signature

---

Date

---

Print or Type Name and Title

---

Name of Organization

---

Signature

---

Date

---

Print or Type Name and Title

**C2 – Not-For-Profit Organization: Applicant Description**

Name of Organization: \_\_\_\_\_

Office Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP Code \_\_\_\_\_

Executive Director: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Title: \_\_\_\_\_

Phone No. \_\_\_\_\_ FAX No. \_\_\_\_\_

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**ROLE OF ORGANIZATION IN THE PROJECT:** Describe the role that the not-for-profit organization will play, such as developer, fee owner, marketing agent, etc.

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Date Established: \_\_\_\_\_ Date Incorporated: \_\_\_\_\_

**CERTIFICATION:** I CERTIFY THAT THE INFORMATION SET FORTH IN THIS DISCLOSURE STATEMENT AND ITS ATTACHMENTS IS TRUE AND CORRECT.

\_\_\_\_\_  
Signature of Officer

\_\_\_\_\_  
Print Name and Title

\_\_\_\_\_  
Date

**C2 – Not-For-Profit Organization: Directors, Officers, and Key Staff**

Name of Organization: \_\_\_\_\_

Name and Home Address	Position and/or Office in Organization	Date of Initial Appointment	Current Occupation and Name of Employer

**C2 – Not-For-Profit Organization: Major Sources of Funding**

Name of Organization: \_\_\_\_\_

Provide the following information regarding your major sources of funding during the two years preceding the deadline for submission of proposals under this RFP.

Funding Source (Agency, Department, etc.)	Name of Program	Contact Person Name and Phone Number	Purposes of Funding	Dates of Funding	Funding Amount







**Re-Vision Prospect Plaza RFP  
Form D-4 –Management Questionnaire (Tab D)**

1. Across your portfolio, what is the typical ratio of property managers to number of units? Describe if staffing plans differ based on the funding source (e.g. LIHTC or HOME).
2. Describe the management and maintenance staffing plan envisioned for this project. If you have one, please submit a sample or project-specific Management Plan.
3. What property management certifications and licenses are held by your staff? (For example: RAM or IREM certification, tax credit certification, commercial real estate broker's license, etc.)
4. Please describe any LIHTC and/or HOME compliance coursework management staff has completed.
5. Has any property managed by the manager or owned by the owner ever had a recapture of LIHTC? If so, please explain in detail. Please include instances where you may have purchased or taken over management of a property with open compliance issues.
6. Have IRS Forms 8823s been issued for your properties, reporting noncompliance that was uncorrected at the time of issuance? If so, how many have been issued? Please include instances where you may have purchased or taken over management of a property with open compliance issues.
7. Do any properties managed by the manager or owned by an affiliate of the owner have open HOME compliance issues? If so, please explain in detail. Please include instances where you may have purchased or taken over management of a property with open compliance issues.
8. Do any properties managed by the manager or owned by an affiliate of the owner have open Class C NYC Housing Maintenance Code violations or open NYC DOB violations? If so, please explain in detail. Please include instances where you may have purchased or taken over management of a property with open violations.
9. Has the management company or any of its principals been disbarred by HUD or any other government agencies?
10. What is the vacancy rate across your portfolio as of the date of this submission? Please explain.
11. What are delinquent rents as a percentage of total rent roll across your portfolio of owned/managed properties? Please submit data showing arrears at 30, 60, and 90+ days arrearages.

12. Please submit a sample Monthly Management Report from the last year for an affordable housing property of your choosing.

## Form E: Assets Statement

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### Assets Statement (Tab E)

[Assets Statement must describe financial status within the last twelve months and must be dated and signed.]

**Principal or Individual whose assets are described below:**

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#### 1. Personal Information

Name:

Business Name:

Business Phone:

Residence Address:

City:

State:

Zip Code:

Business Address:

City:

State:

Zip Code:

Position (Title):

Years of Service:

Salary:

Bonus/Commission:

Other Income:

Source of Other Income:

Are you a defendant in any lawsuits or legal action may impact your financial standing?

If so, please describe:

Do you have any contingent liabilities?

If so, please describe:

**2. Statement of Financial Condition**

<b>Assets</b>	<b>Dollars (omit cents)</b>	<b>Liabilities</b>	<b>Dollars (omit cents)</b>
Cash On Hand and in Banks		Notes Payable to Banks <i>Secured</i>	
Notes Receivable		Notes Payable to Banks <i>Unsecured</i>	
Mortgages Owned		Notes Payable to Others <i>Secured</i>	
		Notes Payable to Others <i>Unsecured</i>	
Marketable Securities Owned See <b>Schedule A</b>		Debt Balances in Margin Accounts with Brokers	
Real Estate Owned		Mortgages on Real Estate	
Cash Value of Life Insurance		Loans Against Life Insurance	
Other Assets* (Itemize)		Other Liabilities (Itemize)	
<b>Total Assets</b>		<b>Total Liabilities</b>	
		<b>Net Worth</b>	

\* Any interest in a closely held business must be documented by providing a current balance sheet for that business and stating the percent of interest held by the applicant.

**Schedule A: Marketable Securities Owned**

List separately and check (X) next to those pledged as collateral.

Marketable Securities Owned	Dollars (Omit Cents)	Collateral?

### 3. Signature Page

For the purpose of procuring and maintaining credit from time to time in any form whatsoever with you, the undersigned hereby represents the above to be a true and accurate Statement signed as of the date herein before set forth and agrees (I) that, if said Statement or any part thereof proves false or misleading in any particular, each and all of the obligation and/or liabilities of the undersigned of every kind to you, whether joint or several, primary or secondary, direct or contingent, shall, at your option, become immediately due and payable all without demand or notice of any kind and (II) that you will be notified promptly in writing of any materially unfavorable changes in the financial conditions herein set forth. Whenever the undersigned may apply to you for credit, and until a substitute Statement may have been submitted to you, this Statement shall have the same force and effect as if delivered at the time such further credit is requested.

Name of Principal: \_\_\_\_\_

Signature of Individual: \_\_\_\_\_

Print Name and Title of Individual: \_\_\_\_\_

Date: \_\_\_\_\_

**Re-Vision Prospect Plaza RFP**  
**Form F: Rental Pro Forma**

**Instructions**

Please complete this pro forma for the rental component(s) of your project. Fill in the cells shaded blue. Keep cells linked and maintain calculations. If you modify given assumptions, please clearly note the changes.

Applicants must provide these forms in Excel file format on CD.

**Rental Pro Forma**

Project Name:

Units:

-

**SOURCES AND USES**

<b>Construction Sources</b>			per DU	% of total
First Mortgage (Lender: )		\$0	#DIV/0!	#DIV/0!
Second Mortgage (Lender: )		\$0	#DIV/0!	#DIV/0!
Third Mortgage (Lender: )		\$0	#DIV/0!	#DIV/0!
Fourth Mortgage (Lender: )		\$0	#DIV/0!	#DIV/0!
	HUD Grant	-	#DIV/0!	#DIV/0!
	Tax Credit Equity	\$0	#DIV/0!	#DIV/0!
	Deferred Developer's Fee	\$0	#DIV/0!	#DIV/0!
Other source (Specify: )		\$0	#DIV/0!	#DIV/0!
<b>TOTAL SOURCES</b>		<b>\$0</b>	<b>#DIV/0!</b>	<b>#DIV/0!</b>

<b>Permanent Sources</b>				
First Mortgage (Lender: )		#DIV/0!	#DIV/0!	#DIV/0!
Second Mortgage (Lender: )		\$0	#DIV/0!	#DIV/0!
Third Mortgage (Lender: )		\$0	#DIV/0!	#DIV/0!
Fourth Mortgage (Lender: )		\$0	#DIV/0!	#DIV/0!
	HUD Grant	-	#DIV/0!	#DIV/0!
	Tax Credit Equity	\$0	#DIV/0!	#DIV/0!
	Deferred Developer's Fee	\$0	#DIV/0!	#DIV/0!
Other source (Specify: )		\$0	#DIV/0!	#DIV/0!
<b>TOTAL SOURCES</b>		<b>#DIV/0!</b>	<b>#DIV/0!</b>	<b>#DIV/0!</b>

<b>Uses</b>				
Acquisition Cost		\$0	#DIV/0!	#DIV/0!
Construction Cost		\$0	#DIV/0!	#DIV/0!
Soft Cost		#DIV/0!	#DIV/0!	#DIV/0!
Developer's Fee		\$0	#DIV/0!	#DIV/0!
<b>TOTAL USES</b>		<b>#DIV/0!</b>	<b>#DIV/0!</b>	<b>#DIV/0!</b>

Rental Pro Forma

Project Name:

Units: 0

DEVELOPMENT BUDGET

		Developer Costs	
<b>Acquisition Cost</b>			
<b>Construction Cost</b>			
Contractor Price			
Residential	#DIV/0! /du		#DIV/0! psf
Commercial Space		-	#DIV/0! psf
Community Space		-	#DIV/0! psf
Parking		-	#DIV/0! psf
Contingency		-	
<b>Total Hard Cost</b>	#DIV/0! /du	-	#DIV/0! average per sf
<b>Soft Cost</b>			
Borrower's Legal			
Borrower's Engineer/Architect Fees			
Accounting & Cost Certification			
Housing/Development Consultant			
Bank's Engineer			
Bank Legal			
Permits and expediting			
Environmental Phase I & II Investig & Reports			
SEQRA Submissions			
Borings / Geotechnical			
Survey			
Title Insurance			
Appraisal			
Other (Specify: _____)			
<b>Subtotal</b>			\$0
<b>Financing Fees (Please maintain links to original calculations and note any changes)</b>			
Upfront L/C Fee	of LOC amt	-	
Annual L/C Fee	of LOC amt	-	
HDC Fee (if applicable)	of HDC cons 1st	-	
Costs of Issuance			
Interest Rate Cap (estimate)			
Property Tax Incentive Fees & Consultant			
LHTC Application Fee	of credit amt	-	
Other (Specify: _____)			
<b>Subtotal</b>			
<b>Carrying Costs</b>			
Construction Interest	#DIV/0!		(change link if assuming variable rate)
Negative Arbitrage	#DIV/0!		
Mortgage Recording Tax			
Water/Sewer & Real Estate Taxes			
Utilities			
Insurance			
Marketing			
Security			
Other (Specify: _____)			
<b>Subtotal</b>			#DIV/0!
<b>Reserves and Contingency</b>			
Social Service Reserve			
Capitalized Operating Reserve	/unit		
Additional Operating Reserve (if applicable)			
Soft Cost Contingency			#DIV/0! of soft costs
<b>Subtotal</b>			
<b>Total Soft Costs</b>			
			#DIV/0!
<b>Developer's Fee</b>			
			#DIV/0! of TDC less Dev Fee
			#DIV/0! of Hard + Soft
<b>Total Development Cost:</b>			
			#DIV/0! /unit

Construction Sources

First Mortgage (Lender: )		#DIV/0!
Second Mortgage (Lender: )		#DIV/0!
Third Mortgage (Lender: )		#DIV/0!
Fourth Mortgage (Lender: )		#DIV/0!
HUD Grant		#DIV/0!
Tax Credit Equity		#DIV/0!
Deferred Developer's Fee		#DIV/0!
Other source (Specify: )		#DIV/0!
<b>Total</b>		\$0 #DIV/0!

Permanent Sources

First Mortgage (Lender: )		#DIV/0!
Second Mortgage (Lender: )		#DIV/0!
Third Mortgage (Lender: )		#DIV/0!
Fourth Mortgage (Lender: )		#DIV/0!
HUD Grant		#DIV/0!
Tax Credit Equity		#DIV/0!
Deferred Developer's Fee		#DIV/0!
Other source (Specify: )		#DIV/0!
<b>Total</b>		#DIV/0!

Rental Pro Forma  
Project Name:

Units: 0

**CONSTRUCTION INTEREST**

<b>Bond Amount</b>						
Long Term Amount	#DIV/0!			% of bond	#DIV/0!	
Short Term Amount	#DIV/0!				#DIV/0!	
Total Bond Amount	\$0					
<b>Term</b>						
		Months		Years		
Construction term				0.00		
Rent-up & conversion term				0.00		
Total term		0		0.00		
<b>Fixed Rates</b>						
Long Term						
Short Term						
2nd Construction						
3rd Construction						
4th Construction						
<b>Variable Rate</b>						
SIFMA		0.00%				
+ ___ bps cushion		0.00%				
Variable Rate		0.00%				
<b>Interest Calculations</b>						
	<b>Fixed Rate</b>	Amount	% Outstanding	Term (years)	Interest Rate	Interest
1st - Short Term		#DIV/0!	50%	0.0	0.00%	#DIV/0!
		#DIV/0!	100%	0.0	0.00%	#DIV/0!
1st - Long Term		#DIV/0!	50%	0.0	0.00%	#DIV/0!
		#DIV/0!	100%	0.0	0.00%	#DIV/0!
2nd Construction		\$0	100%	0.0	0.00%	\$0.00
3rd Construction		\$0	100%	0.0	0.00%	\$0.00
4th Construction		\$0	100%	0.0	0.00%	\$0.00
	<b>Total Fixed Rate Cons. Interest</b>				0.00%	#DIV/0!
	<b>Variable Rate</b>	Amount	% Outstanding	Term (years)	Interest Rate	Interest
HDC 1st		\$0	50%	0.0	0.00%	\$0.00
		\$0	100%	0.0	0.00%	\$0.00
HDC 2nd		\$0	100%	0.0	0.00%	\$0.00
LIRP		\$0	100%	0.0	0.00%	\$0.00
	<b>Total Variable Rate Cons. Interest</b>					<b>\$0.00</b>

**NEGATIVE ARBITRAGE**

(for fixed-rate deals only)

Investment Rate

	Short Term	Long Term
Rate	0.00%	0.00%
Short Term Amount	#DIV/0!	#DIV/0!
% Outstanding	50%	50%
Investment Spread	0.00%	0.00%
Construction Term (years)	1.5	1.5
	#DIV/0!	#DIV/0!

**Negative Arbitrage** #DIV/0!

**LETTER OF CREDIT AMOUNT**

Bond Amount		-
Days Interest	<input type="text"/>	-
LC Amount		-

SF DISTRIBUTION	GSF	Efficiency	NSF
#DIV/0!	Residential GSF		0
#DIV/0!	Commercial GSF		0
#DIV/0!	Community GSF		0
#DIV/0!	Parking GSF		0
	<b>0 Total Project GSF</b>		<b>0 Total Project NSF</b>

UNIT DISTRIBUTION	# of Units	# of Rms/ DU	# Rooms	Average Net SF per Unit
Studio	0	2	0	
1 Bedroom	0	3	0	
2 Bedroom	0	4	0	
3 Bedroom	0	5	0	
4 Bedroom	0	6	0	
<b>Subtotal</b>	<b>0</b>	<b>0</b>	<b>0</b>	
Super's Unit			0	
<b>Total</b>	<b>0</b>		<b>0</b>	<b>0</b> Net Residential Square Feet

#DIV/0! Average Net SF per DU

COMMERCIAL AND ANCILLARY INCOME	# of Spaces	Monthly Rent	Annual Income
Parking - at grade	0		\$0
Commercial	Total s.f. 0	Annual Rent/s.f.	\$0
Community	Total s.f. 0	Annual Rent/s.f.	\$0
Laundry	# units 0	Annual per unit	\$0
<b>Total Commercial &amp; Ancillary Income</b>			<b>\$0</b> #DIV/0!

RESIDENTIAL INCOME	2011 HUD Area Median Income	81,800	Family of Four	1,543	2 BR FMR
Rent Less Electricity = 1, Rent Less Electricity/Gas = 0					

		Electricity Allowance	Gas Allowance
2 rooms	studio	52	15
3 rooms	1 BR	54	17
4 rooms	2 BR	56	17
5 rooms	3 BR	70	18
6 rooms	4 BR	72	20

HUD IL	0	PUBLIC HOUSING UNITS						
Unit size	HH size	HH factor	HH income	max gross monthly rent	utility allowance	max net monthly rent	Number of units	Annual Rent
studio	1	0.60	-	0	-67	-67		-
1 BR	1.5	0.75	-	0	-71	-71		-
2 BR	3	0.90	-	0	-73	-73		-
3 BR	4.5	1.04	-	0	-88	-88		-
4 BR	6	1.16	-	0	-92	-92		-
							0	-

HUD IL	0							
Unit size	HH size	HH factor	HH income	max gross monthly rent	rent less electricity	max net monthly rent	Number of units	Annual Rent
studio	1	0.60	-	0	-67	-67		-
1 BR	1.5	0.75	-	0	-71	-71		-
2 BR	3	0.90	-	0	-73	-73		-
3 BR	4.5	1.04	-	0	-88	-88		-
4 BR	6	1.16	-	0	0	0		-
							0	-

HUD IL	0							
Unit size	HH size	HH factor	HH income	max gross monthly rent	rent less electricity	max net monthly rent	Number of units	Annual Rent
studio	1	0.60	-	0	-67	-67		-
1 BR	1.5	0.75	-	0	-71	-71		-
2 BR	3	0.90	-	0	-73	-73		-
3 BR	4.5	1.04	-	0	-88	-88		-
4 BR	6	1.16	-	0	0	0		-

HUD IL	0							
Unit size	HH size	HH factor	HH income	max gross monthly rent	rent less electricity	max net monthly rent	Number of units	Annual Rent
studio	1	0.60	-	0	-67	-67		-
1 BR	1.5	0.75	-	0	-71	-71		-
2 BR	3	0.90	-	0	-73	-73		-
3 BR	4.5	1.04	-	0	-88	-88		-
4 BR	6	1.16	-	0	0	0		-

**Market Rate** Note: For market rate units, please hard code rents

Unit size	Monthly Rent	Number of units	Annual Rent
studio			-
1 BR			-
2 BR			-
3 BR			-
4 BR			-
<b>Total units</b>		<b>0</b>	

**Total Annual Residential Income upon occupancy** -

**TOTAL ANNUAL PROJECT INCOME** -

**Rental Pro Forma**  
**Project Name:**

PH Units:

<b>HUD Operating Subsidy &amp; Fees</b>			
		<u>Total</u>	<u>per Unit</u>
Rental Income for PH Units		\$0	#DIV/0!
Vacancy & Rent Loss	0%	\$0	#DIV/0!
Net PH Income		\$0	#DIV/0!
M & O for PH Units		#DIV/0!	#DIV/0!
<i>HUD Operating Subsidy (1st year)</i>		#DIV/0!	#DIV/0! may not exceed \$375 p
<i>HUD Administrative Fees for PH Units</i>			
		<u>Total</u>	<u>per Unit</u>
Bookkeeping	\$7.50		
Asset Mgmt	\$10.00		
Propty Mgmt	<u>\$55.98</u>		
	\$73.48	\$0	#DIV/0!

<b>HUD Capital Subsidy Calculator - Rehab - Elevator - NYC</b>					
# BR	Total Rent Paying Units	Size Distr.	Non PH	PH Units	Max HUD TDC/du
0		#DIV/0!	0		\$ 150,354
1		#DIV/0!	0		\$ 210,495
2		#DIV/0!	0		\$ 270,637
3		#DIV/0!	0		\$ 360,849
4		#DIV/0!	0		\$ 451,061
	0	#DIV/0!	0	-	

-

er PH unit
------------

Total HUD \$
\$ -
\$ -
\$ -
\$ -
\$ -
\$ -

PH Distrib  
#DIV/0!  
#DIV/0!  
#DIV/0!  
#DIV/0!  
#DIV/0!  
#DIV/0!

**Rental Pro Forma**

**Project Name:**

**Units: 0**

**MAINTENANCE & OPERATING EXPENSES**

-	PH Units
0	Non PH Units
0	Rooms

<b>Expenses</b>		<b>per rm/du</b>	
Supplies/Cleaning/Exterminating	\$ -		per room
Heating (oil)	\$ -		per room
Gas & Electricity	\$ -		per room
Cooking Gas	\$ -		unit
Repairs/Replacement	\$ -		per unit
Legal	\$ -		per unit
Accounting	\$ -		per project
Painting	\$ -		per room
Superintendent & Maintenance Staff Salaries	\$0	#DIV/0!	per unit
Number of:			
F/T super(s)	<input type="text"/>	\$0	annual + fringe
porters	<input type="text"/>	\$0	annual + fringe
Elevator Maintenance & Repairs	<input type="text"/> \$ -		per elevator
Management Fee	\$ -		% of ERI (Non-PH units)
Water & Sewer	\$ -		per room
Fire and Liability Insurance	\$ -		per unit
Other Expenses(Specify:_____)	\$ -		per unit
Other Expenses(Specify:_____)	\$ -		per unit
Replacement Reserve	\$ -		per unit
<b>M &amp; O Before Taxes and Debt Service</b>	\$ -		<b>Total</b>
		<b>#DIV/0!</b>	<b>per room</b>
		<b>#DIV/0!</b>	<b>per unit</b>
Real estate taxes	<input type="text"/>		
<b>TOTAL ANNUAL PROJECT EXPENSES</b>		<b>\$0</b>	
		<b>#DIV/0!</b>	<b>per unit</b>
		<b>#DIV/0!</b>	<b>per room</b>

**Rental Pro Forma**

**Project Name:**

**Units: 0**

**MORTGAGE SIZING**

<b>Income</b>			
Residential Income (non PH units)			\$0
Less Residential Vacancies			\$0
<i>Net Residential Income</i>			\$0
Parking Income			\$0
Commercial Income			\$0
Community Space Income			\$0
Ancillary/Laundry			\$0
Less Parking Vacancies			\$0
Less Commercial Vac			\$0
Less Community Space Income			\$0
Less Ancillary/Laundry Vac			\$0
<i>Net Comm &amp; Ancillary Income</i>			\$0
<b>Net Income</b>			<b>\$0</b>
<b>Expenses (Non PH units)</b>			
Maintenance/Operating	#DIV/0!	per unit	#DIV/0!
Real estate taxes	#DIV/0!	per unit	\$0
Replacement Reserve	#DIV/0!	per unit	\$0
<b>Total Expenses</b>	<b>#DIV/0!</b>	<b>per unit</b>	<b>#DIV/0!</b>
<b>NET OPERATING INCOME #DIV/0!</b>			
Net Available @ 1.05 Income to Expense			#DIV/0!
<u>Combined DSCR</u>			
Net Available for Debt Service @			#DIV/0!
Income to Expense			#DIV/0!
<u>1st Mort DSCR</u>			
Net Available for Debt Service @			#DIV/0!
Income to Expense			#DIV/0!

Determination of Maximum Insurable Mortgage based on net available for debt service and land taxes

<b>Variable Interest Rates</b>		<b>Fixed Interest Rates</b>	
Base Rate		Base Underwriting Rate	TAX EXEMPT
Underwriting Cushion		Servicing Fee	
LC Fees		MIP	
Trustee		Sum of above rates	0.00%
Remarketing			
Servicing	0.00%		

Total Supportable First Mortgage		Enter 1st Mortgage Amount from Cell H30 here
Second Mortgage	\$	-
Third Mortgage	\$	-
Fourth Mortgage	\$	-
Total Combined Debt	\$	-

	1st Loan Reduction	2nd Loan Constant	3rd Loan Constant	4th Loan Constant	Total
1st Loan		1.0%	1.0%		
2nd Loan					
3rd Loan					
4th Loan					
Rate	0.00%				
Term					
Yrs 1 - 30 Amt Amortized	#DIV/0!	\$0	\$0	\$0	
Balance	\$0	\$0	\$0	\$0	
Balloon %	#DIV/0!	100%	#DIV/0!	0%	
Debt Service	#DIV/0!	-	-	-	#DIV/0!
Debt Coverage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!

<b>Assumed Subsidies</b>		
2nd Loan	Source:	/non PH du
3rd Loan	Source:	/du #DIV/0!
4th Loan	Source:	

Rental Pro Forma  
Project Name:

Units: 0

increases	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10	Year 11	Year 12
<b>EFFECTIVE INCOMES</b>												
Residential Income	0	0	0	0	0	0	0	0	0	0	0	0
Parking Income	0	0	0	0	0	0	0	0	0	0	0	0
Commercial Income	0	0	0	0	0	0	0	0	0	0	0	0
Community Space Income	0	0	0	0	0	0	0	0	0	0	0	0
Ancillary Income	0	0	0	0	0	0	0	0	0	0	0	0
Total Income	0	0	0	0	0	0	0	0	0	0	0	0
<b>EXPENSES</b>												
M&O Expenses	#DIV/0!											
Building Reserve	0	0	0	0	0	0	0	0	0	0	0	0
Total Expenses	#DIV/0!											
<b>NOI</b>	#DIV/0!											
Debt Service	#DIV/0!											
<b>Net Cash Flow</b>	#DIV/0!											
<b>Net Cash Flow in 12 years</b>	#DIV/0!											

Rental Pro Forma  
 Project Name:

Units: -

**TAX CREDIT ANALYSIS\***

\*This is an estimate; for actual raise and calculation, defer to LIHTC Investor

	Eligible Cost (Y/N)	Total Cost	Eligible Amount
<b>Acquisition Cost</b>	N	-	
<b>Construction Cost</b>			
<b>Contractor Price</b>			
Residential	Y	-	
Commercial Space	Y	-	
Community Space	Y	-	
Parking	Y	-	
Contingency	Y	-	
<b>Total Hard Cost</b>		-	-
<b>Soft Cost</b>			
Borrower's Legal	Y	-	
Borrower's Engineer/Architect Fees	Y	-	
Accounting & Cost Certification	Y	-	
Housing/Development Consultant	Y	-	
Bank's Engineer	Y	-	
Bank Legal	Y	-	
Permits and expediting	Y	-	
Environmental Phase I & II Investig & Repor	Y	-	
SEQRA Submissions	Y	-	
Borings / Geotechnical	Y	-	
Survey	Y	-	
#REF!	Y	#REF!	
Title Insurance	Y	-	
Appraisal	Y	-	
<b>Subtotal</b>		-	-
<b>Financing Fees (Please maintain links to original calculations and note any changes)</b>			
Upfront L/C Fee	Y	-	
Annual L/C Fee	Y	-	
HDC Fee (if applicable)	N	-	
Costs of Issuance	Y	-	
#REF!	N	#REF!	
Interest Rate Cap (estimate)	N	-	
Property Tax Incentive Fees & Consultant	N	-	
LIHTC Application Fee	N	-	
#REF!	N	#REF!	
<b>Subtotal</b>		-	-
<b>Carrying Costs</b>			
Construction Interest	Y	#DIV/0!	
Negative Arbitrage	Y	#DIV/0!	
Mortgage Recording Tax	N	-	
Water/Sewer & Real Estate Taxes	Y	-	
Utilities	Y	-	
Insurance	Y	-	
#REF!	Y	#REF!	
Marketing	N	-	
Security	Y	-	
<b>Subtotal</b>		#DIV/0!	-
<b>Reserves and Contingency</b>			
Social Service Reserve	N	-	
Capitalized Operating Reserve	N	-	
Additional Operating Reserve (if applicable)	N	-	
Soft Cost Contingency	Y	-	
<b>Subtotal</b>		-	-
<b>Total Soft Costs</b>		#DIV/0!	-
<b>Developer's Fee</b>	Y	-	
<b>Total Development Cost:</b>		#DIV/0!	-

Number of TC Units	0
% TC Units	#DIV/0!
% Non Residential Costs	#DIV/0!
Applicable Fraction	#DIV/0!
Construction Bonds	#DIV/0!

Eligible Basis with Boost		-
Annual Credit @		-
Amount Raised per Credit @		-
Amount Raised Total		-

**Rental Pro Forma**  
**Project Name:**

**Units:** 0

<b>TRADE ITEM</b>	<b>\$ AMOUNT</b>
1 Demolition	_____
2 Environmental Remediation	_____
4 Landscaping / Site Work	_____
5 Concrete	_____
6a Masonry, pointing, waterproofing, steam cleaning	_____
6b Carpentry, rough	_____
7 Carpentry, finished	_____
8 Metals, structural steel	_____
9 Roofing	_____
10 Insulation	_____
11 Doors, frames, hardware	_____
12 Windows and glazing	_____
13 Entrance doors	_____
14 Drywall and plastering	_____
15 Ceramic tile	_____
16 Finish flooring	_____
17a Painting	_____
17b Kitchen cabinets	_____
18 Appliances, medicine cabinet	_____
19 Heating and ventilation	_____
20 Plumbing	_____
21 Electrical	_____
22 Other: _____	_____
23 Other: _____	_____
24 Other: _____	_____
<b>25 SUBTOTAL</b>	<b>\$0</b>
26 General Conditions	_____
27 Overhead	_____
28 Profit	_____
<b>29 GRAND TOTAL</b>	<b>\$0</b>

*Must equal total Contractor price in Development Buc*

**Rental Pro Forma**

**Units: 0**

**Project Name:**

**These calculations must match the architectural plans included in the proposal.**

TOTAL BUILT FLOOR AREA (Gross Square Feet):

1. Residential Space	0
2. Unfinished Basement	
3. Cellar	
4. Attics	
5. Mechanical / Utility Areas	
6. Garages	
7. Commercial Space	0
8. Community Space	0
9. Parking	
10. Other _____	
<b>11. Subtotal Gross Square Feet</b>	<b>0</b>



## **GENERAL 2011 GREEN COMMUNITIES CERTIFICATION WORKBOOK INSTRUCTIONS**

This document lays out the information required for Green Communities certification throughout the design and construction process. This Excel workbook contains 4 spreadsheet forms (identified by tabs in bottom left corner) that Enterprise requires you to complete to demonstrate your compliance with the Mandatory Criteria and the appropriate number of Optional Criteria. Please note that this is an integrated worksheeted and the completion of some cells will automatically populate cells in later, related tabs. The cells that will be automatically populated have been locked for your ease of use.

### **Step 1:**

The "Project Overview" and "Intended Methods" are required to be completed and submitted for certification before the construction start date of the project.

For additional information and instructions on how to submit for Green Communities Certification please see the certification website at [www.greencommunitiesonline.org/tools/certification/](http://www.greencommunitiesonline.org/tools/certification/)

## GREEN COMMUNITIES PROJECT OVERVIEW WORKSHEET

Project Name	<blank>	Organization Name	<blank>
Project Address	<blank>	Organization Contact	<blank>
Project Status	<blank>	Date	<blank>

**PROJECT OVERVIEW WORKSHEET:** This document provides a brief overview of the building, including major systems. It is considered a quick way to assess the context in which the Green Communities criteria will be implemented. Please provide the basic building information as requested below.

This worksheet must be filled out and submitted before the construction start date. For additional information on how to submit go to [www.greencommunitiesonline.org/tools/certification/](http://www.greencommunitiesonline.org/tools/certification/)

**\*\*Gray text within the spreadsheet indicates the type of information that could occupy that cell. It is not intended to be left in your final submission documents.**

Building Overview				
<b>BUILDING ENVELOPE</b>	<b>Primary Envelope Material</b>	Describe primary building cladding system		
	<b>Foundation</b>	Please identify the assembly type for this component and its associated minimum R-value as required by your building code		
	<b>Wall(s)</b>	Please identify the assembly type for this component and its associated minimum R-value as required by your building code		
	<b>Roof</b>	Please identify the assembly type for this component and its associated minimum R-value as required by your building code		
	<b>Windows</b>	Please indicate U-Value, Air Infiltration rate of window system(s), and the SHGC (solar heat gain coefficient)		
	<b>Doors</b>	Please indicate U-Value and Air Infiltration Rate of exterior doors and entry systems		
<b>MECHANICAL SYSTEMS</b>		System Type	Fuel Type	Additional Explanation (i.e. multiple systems, alternative fuel source)
	<b>Heating System</b>			
	<b>Cooling System</b>			
	<b>Hot Water</b>			

<b>Alternative Water Sources</b>	If applicable, please identify any systems for alternative water sources and the expected volume to subsidize municipal supply
<b>Ventilation</b>	Please identify systems and measures as required by your building code to ensure proper indoor air quality

Building Data		
<b>BUILDING DATA</b>	Tenancy	
	Current occupancy percentage	
	Year of Most Recent Substantial Rehabilitation or Adaptive Reuse	
	Does the building contain the following?	
	Hallways/lobbies/stairwells	
	Elevator	
	Community room(s)	
	Basement	
	Laundry room(s)	
	Office(s)	
	Commercial kitchen	
	Exercise room	
	Swimming pool	
	Parking garage (indoor)	
	Parking lot (outdoor)	
	Irrigated Lawn/Landscaping	
	Retail Space(s)	
	Who pays tenant electricity, cooling, heating and hot water?	
	Electric Meter Type	
	Natural Gas Meter Type	
	Water Meter Type	
	Fuel for Clothes Dryers	
	Number of units w/ in-unit laundry	
Total number of common laundry rooms		
Total number of elevators		

Building Code(s) and applicable Green Building/Public Incentive Programs	
Enter the Building Code(s), Energy Code, Green Building Standard(s), and/or Public Incentive program you are required to build in compliance with.	
<b>Building Code</b>	
<b>Energy Code</b>	
<b>Green Building standard</b>	
<b>Public Incentive program</b>	

**GREEN COMMUNITIES INTENDED METHODS WORKSHEET**

Project Name	<blank>	Organization Name	<blank>
Project Address	<blank>	Organization Contact	<blank>
Project Status	<blank>	Date	<blank>

**INTENDED METHODS WORKSHEET:** This worksheet identifies how the project team intends to incorporate all the Mandatory and adequate number of Optional Criteria into the development.

This worksheet must be filled out and submitted before the construction start date. For additional information on how to submit go to [www.greencommunitiesonline.org/tools/certification/](http://www.greencommunitiesonline.org/tools/certification/)

**INSTRUCTIONS:**

- 1) Select an answer provided in the drop-down menu under Column D ("How Criterion will be implemented") for each criterion
- 2) Explain special circumstances or request a waiver using Column E ("If necessary, describe deviations from intended approach"). This may include information on an approach proposed by the project team that does not appear as an option in the drop-down menu.
- 3) Indicate where the Criterion references can be found within the project documents in Column F and G ("Criteria Documentation"). This is required for Criterion 1.1k
- 4) Indicate the project team member who is responsible for documenting and ensuring the completion of the Criterion under Column 'H' (Champion)
- 5) Indicate the number of optional points being pursued by completing Column H ("Intended Points").

**\*\*Gray text within the spreadsheet (under "Green Development Agreement" section at bottom) indicates the type of information that could occupy that cell. It is not intended to be left in your final submission documents.**

**Complete this document by signing the Green Development Agreement at the bottom of this worksheet. Without the mandatory signatures, this document remains incomplete and the project will not receive Step 1 Certification.**

**1: INTEGRATIVE DESIGN**

Criteria Item	How Criterion will be implemented	If necessary, provide additional information or explanation of alternative approach to meeting this measure	Criteria Documentation		Champion	Intended Points
			Location of Measure in Project Documents	Spec page number / plan type for locating measure		
<b>1.1a</b> Green Development Plan: Integrative Design Meeting(s)						<b>M</b>
<b>1.1b</b> Green Development Plan: Criteria Documentation						<b>M</b>
<b>1.2a</b> Universal Design (New Construction only)						<b>0</b>
<b>1.2b</b> Universal Design (Substantial & Moderate Rehab only)						<b>0</b>
						<b>0</b>
						<b>Intended Points</b>

**2: LOCATION + NEIGHBORHOOD FABRIC**

Criteria Item	How Criterion will be implemented	If necessary, provide additional information or explanation of alternative approach to meeting this measure	Criteria Documentation		Champion	Intended Points
			Location of Measure in Project Documents	Spec page number / plan type for locating measure		
<b>2.1</b> Site Sensitive Selection (New Construction Only)						<b>M</b>
<b>2.2</b> Connections to Existing Development and Infrastructure (New Construction only, except for projects located on rural tribal lands, in colonias communities, or in communities of population less than 10,000)						<b>M</b>
<b>2.3</b> Compact Development (New Construction Only)	Provide the net density and net density calculation for the project.					<b>M</b>
<b>2.4</b> Compact Development	Provide the net density and net density calculation for the project.					<b>0</b>
<b>2.5</b> Proximity to Services (New Construction only)						<b>M</b>
<b>2.6</b> Preservation of and Access to Open Space						<b>M</b>
<b>2.7</b> Preservation of and Access to Open Space						<b>0</b>
<b>2.8</b> Access to Public Transportation	Provide a brief narrative that summarizes the location, quantity and type of public transportation choices around project site					<b>0</b>
<b>2.9</b> Walkable Neighborhoods: Connections to Surrounding Neighborhood	Provide summary of the project's sidewalk and pathway connections to public spaces, open spaces or adjacent development					<b>0</b>
<b>2.10</b> Smart Site Location: Passive Solar Heating / Cooling	Provide a brief narrative that describe passive solar heating/cooling tactics					<b>0</b>
<b>2.11</b> Brownfield or Adaptive Reuse Site						<b>0</b>
<b>2.12</b> Access to Fresh, Local Foods						<b>0</b>
<b>2.13</b> LEED for Neighborhood Development certification						<b>0</b>
						<b>0</b>
						<b>Intended Points</b>

**3: SITE IMPROVEMENTS**

Criteria Item	How Criterion will be implemented	If necessary, provide additional information or explanation of alternative approach to meeting this measure	Criteria Documentation		Champion	Intended Points
			Location of Measure in Project Documents	Spec page number / plan type for locating measure		
3.1 Environmental Remediation						M
3.2 Erosion and Sedimentation Control (Except for infill sites with buildable area smaller than one acre)						M
3.3 Low Impact Development (New Construction only)						M
3.4 Landscaping						M
3.5 Efficient Irrigation and Water Reuse	Provide a brief narrative describing type of irrigation systems to be implemented					M
3.6 Surface Stormwater Management	Provide a brief narrative of the design strategies and systems that will be implemented, and indicate the calculated volume of water being retained, infiltrated, or harvested on site					0
						0
						<b>Intended Points</b>

#### 4: WATER CONSERVATION

Criteria Item	How Criterion will be implemented	If necessary, provide additional information or explanation of alternative approach to meeting this measure	Criteria Documentation		Champion	Intended Points
			Location of Measure in Project Documents	Spec page number / plan type for locating measure		
4.1 Water-Conserving Fixtures						M
4.2 Advanced Water-Conserving Appliances and Fixtures						0
4.3 Water Reuse						0
						0
						<b>Intended Points</b>

#### 5: ENERGY EFFICIENCY

Criteria Item	How Criterion will be implemented	If necessary, provide additional information or explanation of alternative approach to meeting this measure	Criteria Documentation		Champion	Intended Points
			Location of Measure in Project Documents	Spec page number / plan type for locating measure		
5.1a Building Performance Standard: Single family & Multifamily, 3 stories or fewer (New Construction only)						M
5.1b Building Performance Standard: Multifamily, 4 stories or more (New Construction Only)						M
5.1c Building Performance Standard: Single family & Multifamily, 3 stories or fewer (Substantial and Moderate Rehab)						M
5.1d Building Performance Standard: Multifamily, 4 stories or more (Substantial and Moderate Rehab)						M
5.2 Additional Reductions in Energy Use						0
5.3 Sizing of Heating and Cooling Equipment and Ducts						M
5.4 ENERGY STAR Appliances						M
5.5a Efficient Lighting: Interior Units						M
5.5b Efficient Lighting: Common Areas and Emergency Lighting (all multifamily projects)						M
5.5c Efficient Lighting: Exterior						M
5.6a Electricity Meter (New Construction and Substantial Rehab only)						M
5.6b Electricity Meter (Moderate Rehab only)						0
5.7a Renewable Energy	Provide brief narrative describing the types of renewable energy system installed and the estimated percentage of energy it will provide for the overall energy demand of the project					0
5.7b Photovoltaic / Solar Hot Water Ready						0
5.8 Advanced Metering Infrastructure						0

0 Intended Points
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**6: MATERIALS BENEFICIAL TO THE ENVIRONMENT**

Criteria Item	How Criterion will be implemented	If necessary, provide additional information or explanation of alternative approach to meeting this measure	Criteria Documentation		Champion	Intended Points
			Location of Measure in Project Documents	Spec page number / plan type for locating measure		
6.1 Low / No VOC Paints and Primers						M
6.2 Low / No VOC Adhesives and Sealants						M
6.3 Construction Waste Management	Provide a brief narrative that lists the materials in the Construction Waste Management Plan, the % recycled, salvaged, or diverted and the strategies to do so					M
6.4 Construction Waste Management: Optional	Provide a brief narrative that lists the materials in the Construction Waste Management Plan, the % recycled, salvaged, or diverted and the strategies to do so					0
6.5 Recycling Storage for Multifamily Project						0
6.6 Recycled Content Material	Provide a brief narrative that summarizes the building materials made of recycled content material					0
6.7 Regional Material Selection						0
6.8 Certified, Salvaged and Engineered Wood Products						0
6.9a Reducing Heat-Island Effect: Roofing						0
6.9b Reducing Heat-Island Effect: Paving						0
						0 Intended Points

**7: HEALTHY LIVING ENVIRONMENT**

Criteria Item	How Criterion will be implemented	If necessary, provide additional information or explanation of alternative approach to meeting this measure	Criteria Documentation		Champion	Intended Points
			Location of Measure in Project Documents	Spec page number / plan type for locating measure		
7.1 Composite Wood Products that Emit Low / No Formaldehyde						M
7.2 Environmentally Preferable Flooring						M
7.3 Environmentally Preferable Flooring: Alternative Sources						0
7.4a Exhaust Fans: Bathroom (New Construction and Substantial Rehab only)						M
7.4b Exhaust Fans: Bathroom (Moderate Rehab only)						0
7.5a Exhaust Fans: Kitchen (New Construction and Substantial Rehab only)						M
7.5b Exhaust Fans: Kitchen (Moderate Rehab only)						0
7.6a Ventilation (New Construction and Substantial Rehab only)						M
7.6b Ventilation (Moderate Rehab only)						0
7.7 Clothes Dryer Exhaust						M
7.8 Combustion Equipment						M
7.9a Mold Prevention: Water Heaters						M
7.9b Mold Prevention: Surfaces						M
7.9c Mold Prevention: Tub and Shower Enclosures						M
7.10 Vapor Barrier Strategies (New Construction and Rehab projects with foundation work only)						M
7.11 Radon Mitigation (New Construction and Substantial Rehab only)						M
7.12 Water Drainage (New Construction and Rehab projects replacing assemblies called out in Criterion only)						M
7.13 Garage Isolation						M
7.14 Integrated Pest Management	Provide a brief narrative that describes specific tactics and strategies used for the Integrated Pest Management Plan					M
7.15 Lead-Safe Work Practices (Substantial and Moderate Rehab only)						M
7.16 Smoke-Free Building						0
						0 Intended Points

**8: OPERATIONS + MAINTENANCE**

Criteria Item	How Criterion will be implemented	If necessary, provide additional information or explanation of alternative approach to meeting this measure	Criteria Documentation		Champion	Intended Points
			Location of Measure in Project Documents	Spec page number / plan type for locating measure		
8.1 Building Maintenance Manual (all multifamily projects)	Provide a brief narrative of how this project specifically creates or fulfills the intentions of this criteria item					M

8.2	Resident's Manual	Provide a brief narrative of how this project specifically creates or fulfills the intentions of this criteria item					M
8.3	Resident and Property Manager Orientation	Provide a brief narrative of how this project specifically creates or fulfills the intentions of this criteria item					M
8.4	Project Data Collection and Monitoring System						0
							0
							Intended Points
<b>ENTERPRISE GREEN COMMUNITIES CRITERIA</b>							
<b>TOTAL INTENDED POINTS</b>							0

<b>Green Development Agreement:</b>	The following signatures provides a written commitment demonstrating that all parties involved in the execution and delivery of this project agree to be accountable to measures and strategies as outlined in application documents.
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**INSTRUCTIONS:**  
This signature portion is most easily satisfied by either: a) printing the Intended Methods tab and having the various team members fill out and sign their portion or b) using digital signatures. Both forms of submission will be accepted.

To proceed with Enterprise Green Communities Certification, signatures must be provided by at the project manager, architect, and general contractor. If these 3 signatures are not present, your building will not proceed through Step 1 of Certification.

**MANDATORY SIGNATURES**

<Provide Signature of Green Development Team Member>	<Insert Date>
--	---------------

**Project Manager:**                      <PRINT Green Development Team Member's Name>  
\_\_\_\_\_

<Provide Signature of Green Development Team Member>	<Insert Date>
--	---------------

**Architect:**                              <PRINT Green Development Team Member's Name>  
\_\_\_\_\_

<Provide Signature(s) of Green Development Team Member(s)>	<Insert Date>
--	---------------

**General Contractor:**                      <PRINT Green Development Team Member's Name(s)>  
\_\_\_\_\_

**OPTIONAL SIGNATURES**

<Provide Signature of Green Development Team Member>	<Insert Date>
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**Green Building Specialist:**                      <PRINT Green Development Team Member's Name>  
\_\_\_\_\_

<Provide Signature(s) of Green Development Team Member(s)>	<Insert Date>
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**Engineer (MEP):**                              <PRINT Green Development Team Member's Name(s)>  
\_\_\_\_\_

<Provide Signature(s) of Green Development Team Member(s)>	<Insert Date>
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**Energy and/or System Specialist:**                      <PRINT Green Development Team Member's Name(s)>  
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# **EXHIBIT K: SAFETY & SECURITY PLAN**

## **Exhibit K: NYCHA Safety and Security Goals**

### Layered Access control

NYCHA recommends a “layered” access control system to improve security at our Developments. The concept of layered access control is that the item, or area, that is to be protected has multiple devices (“layers”) in place to protect it. These layers force unauthorized persons to defeat more than one device to get to the protected item or area. These layers also provide redundancy in the event that one device fails, the other devices continue to provide security. NYCHA’s recommended layered access control system consists of:

- **Electronic access control:** Residents will be issued electronic key tags or Fobs instead of keys to the building entrance. The electronic key tags are easily modified to remove key holders from the system and to remove keys that have been lost or stolen. Also, electronic key tags cannot be duplicated or copied.
- **Direct call intercoms:** The recommended new intercom system does not rely on telephone company infrastructure. Residents can freely change their telephone service provider, even if they chose to use only a cellular phone, and maintain their ability to utilize the building intercom system.
- **Mechanical door locking hardware:** The addition of a mechanical component to the doors, which currently does not exist, will allow the doors to remain secure if the electronic component fails or is compromised.
- **Enhanced, Modular Design:** All of the access control components will be designed to withstand the traffic and reduce the vandalism building entrances encounter. This design also allows for the quick repair or replacement of a failed component, reducing the time spent on repair.
- **Intelligent Systems:** All components of the layered access control system will have sensors that are able to transmit an electronic notification, or alarm, to a central monitoring point indicating that the device has been vandalized or has failed. Upon receipt of the alarm, personnel will be dispatched to investigate the cause of the alarm and repair as needed, resulting in a reduction in “down time” experienced by the security system leading to more secure buildings.

### CCTV Systems

Our recently modified CCTV design specifications incorporate the recommendations of NYCHA’s Security Task Force. The new standard includes the following specifications:

- Establish a Fiber Optic Infrastructure to connect all buildings at a Development (i.e. Fiber Backbone) when installing CCTV; the fiber backbone has an added benefit of supporting other smart building technologies (e.g. layered access control)
- Establish a network operating or security operating center (NOC or SOC) for each CCTV installation; reduces hardware and operational costs; places equipment in an office environment; ease of access promotes use; reduces energy costs; enables remote access
- One Video Management System (VMS) standard: NYPD’s choice for VMS is Genetec; it can use most servers (cost savings); variable speed recording: increase storage from 14 to 21 days while reducing video storage requirements
- Use IP Cameras wherever possible; intelligent systems (automatic notification for malfunctions); enables remote access for use and upgrades; reduces operating costs (less hardware & infrastructure)

- Fail-Over Redundancy; 3 Servers for the first 300 cameras: Primary Directory, Archiver and Fail-Over Directory/Archiver; best practices for ensuring and protecting video recordings; reduces operating costs
- Mandatory Section 3 requirements for all installation contracts regardless of funding source; increase resident participation; mandatory pre-design walkthrough with tenant association, NYCHA and NYPD to determine camera locations
- Strategically use CCTV to complement/supplement layered access control