

# Housing Help Program

HOMELESSNESS PREVENTION PILOT FINAL REPORT



South Bronx, New York City



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Seedco is a national nonprofit intermediary that works with local partners to create economic opportunities for disadvantaged job seekers, low-wage workers, and neighborhood entrepreneurs. Seedco's policy research offers a practitioner's perspective on workforce and economic development policy implementation, presenting a pragmatic assessment of the opportunities and obstacles inherent in developing programs and accomplishing systemic reform.

## AUTHORS AND ACKNOWLEDGEMENTS

**AUTHORS** Seedco is a national nonprofit intermediary that works with local partners to create economic opportunities for disadvantaged jobseekers, low-wage workers, and neighborhood entrepreneurs. Seedco's policy research and technical assistance services are rooted in a practitioner's perspective on the development, management, and evaluation of anti-poverty programs. This evaluation was led by Lindsay Hoffman, with guidance from Linda M. Rodriguez and Ben Seigel. Molly Allen, Jamie Hillegass, Jenna Hoval, Katrin Kärk, Vera Moore, Miriam Schiffer, Kevin White, and James Wright also contributed to this report.

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# Housing Help Program, South Bronx, NYC

## HOMELESSNESS PREVENTION PILOT FINAL REPORT

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### EXECUTIVE SUMMARY

The economic recession has had an enormous impact on the nation's most vulnerable families, especially in metropolitan areas where homelessness has historically been a prioritized social concern. With rising unemployment, depressed wages, foreclosures, and the steadiness of high rents, the burden of high housing costs is being shouldered by more families than ever before. In this new economic environment, both government agencies and nonprofits have struggled to meet the increased demand for services under the pressure of decreased city budgets. The American Recovery and Reinvestment Act of 2009 created a \$1.5 billion Homelessness Prevention and Rapid Re-housing Program, an acknowledgement by President Obama and the United States Congress of the profound need to serve low-income people faced with housing loss with a broader range of interventions to prevent and remedy homelessness.

In 2005, the United Way of New York City (UWNYC), in partnership with the Civil Court of the City of New York (the Court) and the New York City Department of Homeless Services (DHS), launched the Housing Help Program (HHP), a three-year pilot program to address the challenges facing families struggling to avoid eviction and homelessness. The HHP pilot has demonstrated a targeted approach for serving low-income housing court litigants in danger of homelessness – a state that is difficult for families and costly for governments – with the holistic legal, financial, and social service interventions that can help them avoid entering shelter. In addition, this partnership-based approach to program design and management has enabled both public and private stakeholders to learn and act upon HHP's lessons with regards to larger homelessness prevention initiatives.

## EXECUTIVE SUMMARY (CONT'D)

This report examines academic research about family homelessness and its prevention, provides a detailed description of the HHP model, compares the program model to similar programs in cities across the country, assesses HHP's effectiveness in delivering services and the impact of these services on client outcomes, and offers a cost-benefit analysis of HHP. Our principal findings are briefly described below.

## KEY FINDINGS

The HHP pilot served an area in the South Bronx (zip code 10456) that has one of the highest rates of residents entering shelter in NYC.<sup>1</sup> In 2000, the neighborhood comprising this zip code had a poverty rate of 45% and an unemployment rate of over 20%, contributing to an environment where tenants are particularly vulnerable to financial hardship, poor living conditions, eviction, and housing instability. Between January 2005 and November 2008, HHP served 1,388 families, or roughly 76% of all eligible families facing eviction during this time (and about six percent of the total population of the target zip code). Since 2006, Legal Aid Society of New York City has been the service provider for HHP.

HHP prevented a loss of housing for 91% of clients and prevented an eviction judgment for 86%, despite accepting all income-eligible clients regardless of each case's legal merit (unlike many comparable homelessness prevention programs). The shelter entry rate for HHP clients is 5.7%, lower than that of comparable programs. The following characteristics distinguish HHP from other homelessness prevention programs:

**EXTENSIVE "BRIEF LEGAL SERVICES" AND USE OF PARALEGALS:** While HHP's full representation legal services are very similar to the services offered by other homelessness prevention programs, HHP offers more comprehensive "brief legal services" than any other program nationally. Key differences identified through our surveys included the following: HHP brief legal service cases are closely monitored for the duration of the case, clients receive frequent consultations and guidance about negotiations, the social workers and paralegal staff provide extensive counseling and benefits advocacy, the attorney can convert the case to full representation if it becomes necessary at any point, and the HHP case is not closed until a settlement is reached or the court case is otherwise resolved. While this comprehensive service would be expensive if pro-

vided completely by attorneys, the HHP social workers and paralegals make this level of engagement possible at a lower cost. Attorneys spend an average of 8.7 hours on every full representation case, but only 1.5 hours on every brief legal services case. Paralegals spend an average of 9 hours and the social worker spends an average of 3 hours on every brief services case.

### **IN-HOUSE SOCIAL SERVICES AND LINKAGES TO SOCIAL SERVICE AGENCIES:**

Given that eviction is often the result of non-legal issues (e.g. job loss, inability to manage finances, medical issues, mental health issues, need for additional public benefits or subsidies), the HHP model is a very effective approach to addressing both the immediate and intermediate needs of each family by mitigating the challenges that are the root causes of housing instability. Over 90% of families served in the Bronx pilot were identified as having at least one primary social service need (e.g. substance abuse, domestic violence, mental health, welfare advocacy) and 88% of all clients received at least one hour of social services (e.g. mental health assessments, financial literacy counseling, childcare counseling, benefits advocacy, food pantry referrals). Four percent of clients received 10 or more hours of social services to address more intensive needs that were directly related to risk of future homelessness, and 15% were referred to an external social service agency for additional assistance. These services complement both the brief and full representation legal services.

**LONG-TERM SOCIAL SERVICES COMPONENT:** HHP's partnership with social service providers during the pilot resulted in effective referrals for long-term social services for clients in need. Of the 151 clients identified with a need for critical long-term social services, 118 completed a first meeting with the community-based social service partner. For programs that only provide "soft" referrals to social service agencies, the take-up rate is far lower and the risk of future instability is higher.

### **COURT-BASED SERVICES; SEPARATE HOUSING PART:**

To provide easy accessibility of services for both clients and staff, HHP's offices are located within a Civil Courthouse. To facilitate the processing of cases, and to allow the housing court judge to be aware of trends in the community, the court assigns a separate Housing Part to the target zip code. Providing easy access to services capitalizes on the opportunity to offer assistance to a population that often does not request assistance until shelter entry is imminent (which is a time when this assistance is more difficult and costly).

Interestingly, one study indicates that 75% of NYC sheltered families do not seek legal or social services before entering shelter.<sup>2</sup> In addition, this innovative court structure enables the HHP team to closely monitor all HHP clients (even those receiving brief legal services and not full representation) and enables the judge to rely on the HHP team as an educational and supportive resource to the tenants in this zip code, thus relieving some of the disadvantages that unrepresented tenants face when navigating housing court proceedings alone.

**SERVING HIGH-RISK FAMILIES:** For a number of reasons (e.g. limited resources, maintaining positive attorney records) during the eligibility process, many programs similar to HHP screen potential program participants to determine the merits of their legal case before enrollment. A critical difference between HHP and these other programs is that HHP serves the most vulnerable families without regard to the legal merit of each litigant's housing court case.<sup>3</sup> This results in HHP providing services to families who would otherwise need to represent themselves, which often results in less favorable outcomes (other studies suggest that 23% of tenants representing themselves are evicted from their homes, compared to 0% of tenants with representation).<sup>4</sup>

**DATA COLLECTION AND ANALYSIS:** HHP was one of only two programs surveyed that tracks clients from program intake until the present, collecting robust information including the results of their housing court cases and their long-term outcomes (namely, shelter entry). Systematic collection of service activity and outcomes data for each client can help to illuminate best practices, provide stakeholders with a greater understanding of the homelessness problem and the impact of intervention on a family's risk of homelessness. This evaluation was unable to precisely quantify the relative benefit of the HHP program to the City of New York because no control group existed against which HHP client outcomes could be compared.

**PUBLIC/PRIVATE PARTNERSHIP MODEL:** The HHP pilot was created and led by a consortium of public and private partners, including United Way of New York City, Legal Aid Society, the NYC Department of Homeless Services and the NY State Civil Court. These partners provided strategic direction for the program, participated in meetings every month (and often more frequently), invested in resource development, dedicated staff to data collection, entry, and analysis, and addressed challenges throughout

the pilot. This support allowed the service provider to raise key questions about the provision of services and make mid-course corrections as needed, resulting in a program model that was both client-friendly and effective at achieving positive outcomes.

The unique HHP partnership model and approach to service delivery, which includes both social workers and attorneys and provides clients with access to a wider range of services that are easily accessed within the court, results in a greater likelihood of addressing barriers that may result in homelessness. Since 2008, the NYC Department of Homeless Services has launched HHP offices in the Brooklyn Borough Civil Courthouse and the Queens Borough Civil Courthouse. The lessons learned from HHP are informing eviction prevention efforts across New York City and have the potential to influence homelessness prevention practices nationally.



# LETTER FROM COMMISSIONER

## NEW YORK CITY DEPARTMENT OF HOMELESS SERVICES

Dear Reader,

Homelessness prevention is a critical component of DHS's strategy for aiding families experiencing a housing crisis. Families, landlords, and the public all benefit when families remain in their homes and avoid entering the shelter system, but the difficulties of targeting those most at risk of entering shelter make cost-effective prevention challenging to obtain. The Housing Help Program addresses this issue by serving families in the highest risk communities with the most immediate needs – those facing imminent eviction, making funding truly count by keeping families in homes of their own.

Since 2005, the Housing Help Program (HHP) has assisted families in avoiding homelessness by offering an unprecedented breadth of services. Through a public-private partnership that included multiple government agencies, non-profits, and charities, families facing eviction in the South Bronx have benefited from a comprehensive menu of legal and social services to avoid eviction and remain housed in their communities.

This innovative program was conceived by Judge Fern Fisher of the New York State Unified Courts, who saw families facing eviction and homelessness, and worked tirelessly for a solution. The United Way of New York City recognized the value of the program and its partners, and provided the seed money for the pilot efforts. The dedicated legal staff of Legal Aid Services of New York have conducted HHP's legal services since 2006, ensuring that the legal rights of families facing eviction are protected. DHS' Home-base providers have provided social services, assisting families in HHP to access job training and housing placement assistance, along with other supportive services.

The results of this pilot validate the faith and hard work that many have invested in the Housing Help Program and they are outstanding – 91 percent of families receiving Housing Help Program services achieved a positive outcome. The program and feats described in the subsequent pages mark a new approach to eviction prevention in New York City. Building on the pilot's success, the Housing Help Program has expanded to Brooklyn and Queens and has served as a guide for DHS' Request for Proposals for anti-eviction and homelessness prevention programs. The results illustrated here are a testament to the ingenuity and dedication of our City's public servants, and serve as a reminder that shelter is not the only option.

Sincerely,

Seth Diamond  
Commissioner,  
New York City Department of Homeless Services

## INTRODUCTION

In January 2005, the United Way of New York City (UWNYC) brought together partners from the court system, city government, and human services fields to develop an innovative program model that would address the challenges facing families struggling to avoid eviction and homelessness. The resulting program model, the Housing Help Program (HHP), was developed by these stakeholders and launched by the UWNYC in close collaboration with the New York City Department of Homeless Services (DHS), and Civil Court of New York (Civil Court). This is a report on the outcomes and lessons learned from the HHP pilot.

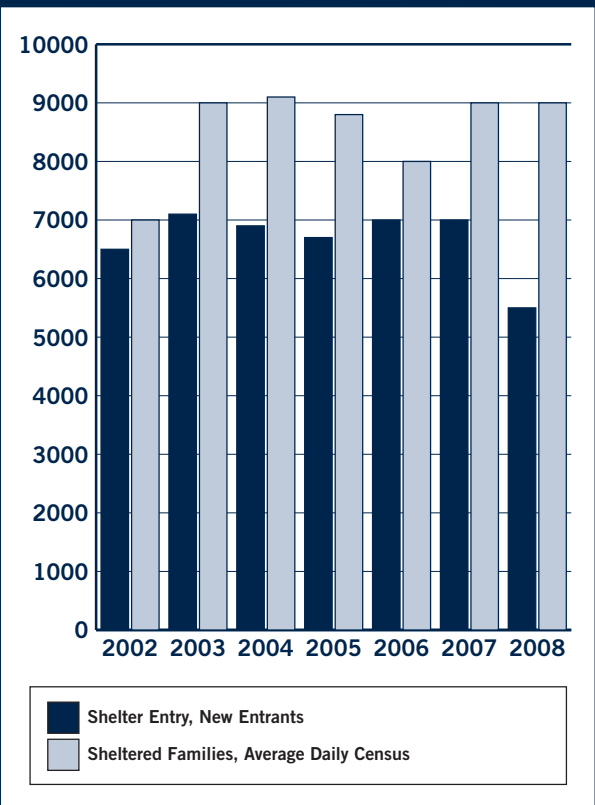
### HOMELESSNESS IN NEW YORK CITY

Homelessness impacts more than 26,000 families in New York City each year.<sup>5</sup> The primary causes of homelessness include a lack of affordable housing, social barriers that result in unemployment and instability, and low-wage work. The majority of homeless families in New York City stay in shelters run by DHS, including overnight emergency shelters, hotel rooms, cluster sites, Tier II shelters, and adult family residences.<sup>6</sup> During NYC Fiscal Year (FY) 2009, an average of 9,224 families, comprising 13,181 adults and 14,709 children, stayed in DHS shelters each night.<sup>7</sup> *The New York City Family Homelessness Prevention Report*, compiled by the New York City Family Homelessness Special Master Panel in November 2003, deemed “family homelessness prevention” a priority for New York City and noted the importance of “intervening at different points in time during the family’s housing crisis. Prevention interventions must be available for families at risk of homelessness, for families seeking shelter, and for some families found ineligible for shelter.”<sup>8</sup>

DHS spends approximately \$331 million annually on family shelters. DHS’s annual cost for providing shelter to families depends on the number of new families entering shelter, the total number of days each family stays in shelter, and the average cost per day of providing shelter to a single family. DHS’s average daily cost for sheltering one family was \$105.2 in FY 2009.

During FY 2008, the average length of stay for a family in a DHS shelter was 292 days, and across all sheltered

**FAMILIES IN NYC DHS SHELTER, 2002-2008,  
New Entrants and Average Daily Census**





families, the average cost was \$30,724 per shelter stay.<sup>9</sup> The chart below presents the annual number of new entrants and the average daily census of sheltered families in NYC between 2002 and 2008.

Beyond the direct costs of homeless shelters, family homelessness often has a multitude of broader impacts on families and communities—the costs of which are sometimes borne by New York City government and nonprofit social service agencies. Nationally, studies indicate that homelessness can disrupt physical, mental, and emotional bonds between parents and children.<sup>10</sup> Constant relocation often results in the loss of personal possessions and makes it difficult for children to make connections with friends and a school in each new neighborhood, and adversely impacts adults' ability to maintain steady employment and access benefits and services.<sup>11</sup>

#### **UNITED WAY RESPONSE BACKGROUND: HOUSING HELP PROGRAM**

In 2003, UWNYP formed a Planning Committee of stakeholders including representatives of the provider and advocacy communities, NYC DHS, NYC Department of Housing Preservation and Development (HPD), NYC Housing Authority (NYCHA), NYC Administration for Children's Services (ACS) and the NY State Division of Housing and Community Renewal (DHCR). This Planning Committee recommended that the UWNYP focus its efforts on promoting housing stability in neighborhoods with the highest incidence of eviction—and to where most families tend to return after exiting the shelter system. Specifically, the Committee recommended that the UWNYP focus on:<sup>12</sup>

Creating and expanding programs designed to help tenants avoid eviction, either through emergency rent assistance or mediation with landlords.

Improving access to economic and social supports—e.g. financial literacy training, employment

assistance, case management, public benefits, social services—that help low-income residents remain in their homes and communities over time.<sup>13</sup>

The Housing Help Program (HHP) emerged from the Planning Committee's recommendations. A collaboration between UWNYP, DHS, and the Civil Court, **HHP AIMS TO COMBAT HOUSING INSTABILITY AND PREVENT HOMELESSNESS BY SERVING FAMILIES FACING EVICTION WITH COURT- AND NEIGHBORHOOD-BASED INTERVENTIONS THAT INCLUDE LEGAL, FINANCIAL, AND SOCIAL SERVICES.** The partners selected the South Bronx as the demonstration site for HHP, due to that neighborhood's high incidence of eviction and family homelessness. Between January 2005 and November 2008, over 1,300 families facing eviction received services from HHP.

Through this report, we will:

Provide an overview of homelessness, its impact on New York City, and strategies for preventing eviction and homelessness;

Describe the HHP pilot including its partnership model, approach to targeting clients, service activities, effectiveness targeting families at risk of homelessness, and outcomes; and

Compare the program design, cost, and outcomes of HHP against similar programs.

To complete this report, we analyzed data from HHP, DHS, and the court; researched homelessness and eviction prevention programs; interviewed HHP participants and defaulted leaseholders; and gathered input from UWNYP, Civil Court, DHS, and Legal Aid Society staff.

# OVERVIEW OF FAMILY HOMELESSNESS AND PREVENTION STRATEGIES

Homelessness for families in the United States is commonly attributed to persistent poverty, behavioral disorders, lack of social networks, and shortage of affordable housing.<sup>14</sup> UWNYP's 2003 Planning Committee on Homelessness identified three primary, interrelated causes of the homelessness crisis in New York City (NYC): **1.** NYC's shortage of affordable, transitional and supportive housing; **2.** Economic instability among—and the lack of affordable legal supports available for—NYC's low-income working families; and **3.** The unmet needs of a few highly vulnerable populations—in particular, people with severe mental illness and substance abuse issues, and those exiting the correctional and child welfare systems.<sup>15</sup>

In New York City, 25% of residents spend more than 50% of their income on rent—leaving little to cover other necessities.<sup>16</sup> A 2004 survey of NYC households earning between 100% and 200% of the federal poverty line revealed that 34% of respondents had less than \$100 in savings and 16% had fallen behind in rent at least once in the past year.<sup>17</sup> A 2005 Vera Institute of Justice (Vera) study, “Understanding Family Homelessness in New York City,” found that the primary factors cited by homeless families in shelter as the reasons for their homelessness were overcrowding, eviction, domestic violence, family discord, unlivable conditions, financial strain, crime situation, and illegal lockout.<sup>18</sup>

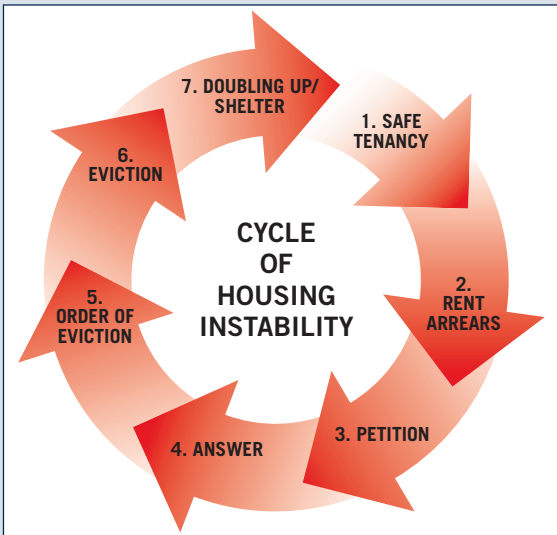
## STRATEGIES FOR FAMILY HOMELESSNESS PREVENTION

**IDENTIFYING AND ASSISTING FAMILIES EXPERIENCING HOUSING EMERGENCIES BEFORE THEY ENTER SHELTER** is one strategy for reducing homelessness. However, there are few effective predictors of which at-risk families will enter shelter, making it difficult for homelessness prevention efforts to precisely target the right families before homelessness is imminent. The majority of families who enter shelter do not reach out for help before homelessness is imminent. The Vera study of sheltered families found that 75% of homeless families did not seek or receive homelessness prevention services or assistance.<sup>19</sup> Mary Beth Shinn, Professor of Human and Organizational Development at Vanderbilt University, conducted a study of families requesting shelter to understand which characteristics (including demographic, behavioral, and housing characteristics) were associated with housing instability and shelter requests. This model could only correctly identify future shelter requests among welfare

recipients 66% of the time with a 10% false alarm rate (for example, if 10,000 individuals are being examined by the model, and 60 enter shelter, the model would correctly identify 40 of them, and would incorrectly predict 994 to enter shelter.)<sup>20</sup>

Despite the difficulty of identifying at-risk families before they enter shelter, it is possible to **TARGET GEOGRAPHIC AREAS WITH HIGH EVICTION RATES, HIGH RATES OF PUBLIC ASSISTANCE RECEIPT, AND HISTORICALLY HIGH SHELTER-ENTRY RATES.** In New York City, the Vera study compared the demographic and economic characteristics of the ten city census tracts where most homeless families had lived immediately prior to shelter entry. The report found that the number of female-headed households and the number receiving public assistance in a tract were positively correlated with shelter-entry rates.<sup>21</sup> New York City homelessness prevention programs have used these findings to inform their geographic targeting, and HHP targets two of the Bronx census tracts on the Vera Institute's list, in the neighborhoods of Morrisania and Highridge.<sup>22</sup>

Another strategy used by homelessness prevention programs is to focus on **EVICTION PREVENTION** by intervening when a tenant indicates risk of eviction, usually by defaulting on a rent payment and being served with a nonpayment petition by a landlord. In New York City, approximately 318,000 nonpayment and holdover petitions were served in 2007.<sup>23</sup> While neither the court nor shelter systems track how many families entering shelter have experienced a formal eviction, the Vera study found that 23% of families in shelter indicated eviction as the direct cause of their shelter entry, and 38% of families indicated that they had experienced a formal eviction in the five years prior to entering shelter.<sup>24</sup>



**STAGE 1. SAFE TENANCY:** Families reside in a home and maintain their monthly rent payments.

**STAGE 2. ARREARS AND DEFAULT:** Begins when the first rent payment is missed, an initial indicator of housing instability.

**STAGE 3. PETITION:** The landlord files a petition of nonpayment with the Housing Court. In cases where the tenant violates lease terms other than payment, the landlord files a holdover petition.

**STAGE 4. ANSWER AND RESOLVE:** The tenant is required to go to Housing Court, where s/he files a response to the petition with a clerk and receives a hearing date. Some tenants skip this step and default on the petition. Regardless of the tenant’s answer (or failure to initially appear), if s/he does not successfully resolve the dispute or pay the rent, s/he is required to appear for a Housing Court hearing. The result of the proceedings determines whether the landlord can request a warrant for eviction. Prior to the hearing, some tenants are approached by the landlord (or landlord’s attorney) and offered the opportunity to agree to a payment plan for back rent and to submit a stipulation to the court. Others argue their cases before the housing court judge.

**STAGE 5. EVICTION ORDER:** The court grants a landlord’s request for an eviction warrant and the tenant is served an Order of Eviction. The tenant may have one last chance to delay or prevent eviction by satisfying the terms of a money judgment or requesting an Order to Show Cause.

**STAGE 6. EVICTION:** A Marshall can execute the eviction and remove the tenant and his/her belongings. After eviction, a family can search for other housing, live with family or friends, or apply to live in shelter.

**STAGE 7. DOUBLED-UP / SHELTER:** The tenant lives with family or friends (doubling-up) or resides in a homeless shelter. Doubling-up is often unsustainable and the family

Approximately one-third of the 318,000 annually-petitioned families (113,789) appear in Housing Court to answer their petition, and only about 120,000 ultimately receive eviction orders. After the Court issues an eviction warrant, some families are able to resolve their housing disputes independently with their landlord and resume a stable housing situation. Some leave their homes voluntarily after the Court’s ruling (or before waiting for the Court’s ruling), whether because they know they cannot avoid eviction, they are intimidated by the legal process, they lack representation, or they face language barriers. In some cases, this constitutes an “informal eviction,” which 9% of sheltered families report experiencing.<sup>25</sup> The rest are forcibly evicted by Marshall’s Order (when a NYC official is given the order to remove the tenant and his/her belongings) a process that approximately 26,000 families experience each year. The chart below indicates the number of petitions, answers, eviction warrants, Marshall’s Orders, and shelter entry for both New York City and the South Bronx.<sup>26</sup> For a diagram that illustrates the relationship between petitions, answers, eviction warrants, Marshall’s Orders, and shelter entry, see Attachment A.

PETITIONS THROUGH SHELTER ENTRY, 2007		
REGION	NEW YORK CITY	SOUTH BRONX
Number of Petitions Served	318,092	18,852
Number of Petitions Answered	113,789	9,157
Number of Eviction Warrants Issued	120,186	6,879
Number of Marshall’s Executions	26,752	1,802
Total Shelter Entry*	17,200	4,153
Total Shelter Entry (Number of Families)	7,152	1,048

\*Number of households, including number of adult individuals + number of families

An eviction prevention program can intervene at any point during the housing court process, either after the petition, warrant for eviction, or Marshall’s executed eviction. HHP and many other prevention programs intervene in a tenant’s housing crisis at Stage 3 (landlord files a petition of nonpayment with the Housing Court) of the cycle of housing instability (see sidebar for description) through Stage 6 (when a tenant is about to be evicted).<sup>28</sup> In comparison, some homelessness prevention programs wait until after the eviction

process has been completed before intervening. Once an Order for Eviction (Stage 5) has been served, in most jurisdictions if the tenant does not dispute the order within five days, the landlord can move to have the eviction executed (Stage 6). At this point, prevention programs are considerably less effective because there are fewer legal options to enable the family to avoid eviction once an Order for Eviction is granted, and families have less time to find new permanent housing. At this time, families face a far more serious crisis because, after eviction, a family's desperation to find housing usually results in adverse effects for everyone in the household, namely for children who have been removed from school. Stage 7 usually involves evicted families staying with family or friends until a new residence is found or the family is accepted to shelter.

The majority (approximately 90%) of low-income tenants represent themselves pro se during housing court litigations.<sup>29</sup> They are at a disadvantage against the landlord and the landlord's attorneys (97.6% of landlords are represented by an attorney in housing court) because of their lack of understanding of legal notices and court proceedings.<sup>30</sup> One study of the results of pro se representation in housing court indicate that only 22% of tenants representing themselves are able to avoid eviction, whereas almost 100% of tenants receiving full representation and 56% of tenants receiving brief legal advice avoided eviction.<sup>31</sup>

In many cases, tenants will sign an agreement to pay without fully understanding the host of legal options that they sign away in these agreements (for example, they cannot challenge that the petition was properly served, that the amount due is correct, that the landlord's rental history is reasonable and accurate, or that the arrears are so old that a tenant cannot be evicted for them – otherwise known as the LATCHES defense). Also, tenants receiving public assistance will often assume that public assistance will pay the rental arrears due after an agreement to pay is reached, which is not always the case. Housing Court Justice Eleanora Ofshtein, the judge assigned to the HHP Housing Part during 2007, says, "Judges try really hard not to let tenants sign agreements that they don't truly understand." However, this is hindered by a number of factors: (1) a Judge may or may not see it as his/her role to explain all of the legal options and ramifications to each tenant; (2) there is a severe time restraint in the average Bronx Civil Court housing courtroom, where 60-100 cases are seen each day (allowing an average of

4 to 7 minutes per case); (3) the tenant may not have the capacity to understand his/her options even after a lengthy explanation; and, (4) the tenant may not be able to quickly relay all the relevant information about his/her side of the case for the judge to understand. For these reasons, the assistance of attorneys and paralegals adds enormous value to both tenants and the overall court proceedings.

Not all individuals experiencing an eviction become homeless. For example, as referenced in the table on the previous page, 26,752 evictions were executed in New York City in 2007; the same year, 7,152 families and 10,048 single adults entered shelter (and not all shelter entrants had experienced formal eviction in 2007, nor at any other time). The City of New York is currently unable to estimate the percentage of evicted tenants who become homeless because of technical and data collection issues.

## HOMELESSNESS AND EVICTION PREVENTION PROGRAM MODELS

To address the breadth of barriers that contribute to family homelessness, government agencies, nonprofits, and other stakeholders have developed diverse approaches and program models to prevent family homelessness. The most common service activities include legal services, social services, case management, housing subsidies, financial services, housing relocation services, service coordination, and advocacy.

Based on a scan of over 50 homelessness prevention programs nationally, highlighted below are eight programs that have well-developed program models comparable to HHP. Below, these programs are categorized by the level of services that they provide: (1) **LEGAL SERVICES PROGRAMS**, which do not provide non-legal services but may provide referrals to external agencies for these services; (2) **SUPPORTIVE SERVICES PROGRAMS**, which do not provide legal services in-house but may provide referrals to external legal service agencies; and (3) **COMPREHENSIVE PROGRAMS**, which combine legal, financial, and social services. For each category, we start by describing the range of services offered in greater detail. (See Comparable Programs Matrix on page 43.)

## LEGAL SERVICES

Agencies that provide legal services typically help tenants answer nonpayment petitions, file paperwork, acquire an Order to Show Cause, attend show cause hearings, provide full representation during court hearings, and help tenants effectively defend themselves in hearings. One study of the effects of legal representation on Housing Court cases indicated that the provision of legal counsel significantly improved outcomes for low-income tenants in Housing Court, regardless of the details of the case.<sup>32</sup> Only 22% of represented tenants received judgments against them, while 51% of tenants without legal representation received unfavorable judgments. The study only evaluated the impact of full legal representation, and not the results for cases that received only limited legal assistance. Legal services also include non-court mediation, a strategy that can be successful for many tenants and is particularly useful for organizations without attorneys on staff. Through the Hennepin County Family Homeless Prevention and Assistance Program (FHPAP) in Minnesota, non-court mediation preserved housing for 69% of families against whom petitions were filed.<sup>33</sup> Even in cases that do not have a clear legal solution to an eviction case (the client has no legal defense and no source of funding for a settlement), an attorney's intervention can help delay an eviction and provide the client with enough time to find new housing.

**THE KING COUNTY BAR ASSOCIATION'S HOUSING JUSTICE PROJECT (HJP) IN SEATTLE, WA** is the only program of the 50 surveyed, other than HHP, that locates its office in the court to provide easy access for tenants facing eviction and to make the process of assisting with answers and hearings more efficient. The HJP provides brief legal services and full representation at Show Cause hearings with a staff of two attorneys and 30 volunteers, who each spend 1-2 days a month at the court serving clients. "Brief legal services" include negotiating settlements and advising clients who handle matters pro se; attorneys spend an average of 30 minutes on each brief services case. They also have a "great relationship with the opposing counsel, so they can negotiate for decreases in arrears and rent right on the spot." In addition to the legal services, attorneys refer clients to a network of specialized social service providers to address the underlying causes of housing instability. The HJP refers clients with public assistance sanctions or other legal issues to other legal services agencies in the Seattle region. The HJP does not provide any financial assistance, benefits advocacy,

or social services; however, they do give "hard" referrals (an appointment is made and followed-up on for the client) to Solid Ground, a local social service agency. To overturn public assistance sanctions, HJP clients are referred to the attorneys in the Kings County Bar Association's in-house income department.

In 2007, the HJP served 1,200 clients in two different offices, with a total budget of about \$225,000. Approximately one-third of clients received representation, and the others received brief legal services. To help manage and orient volunteers, HJP staff maintain an extensive database of cases. HJP has applied for several grants to hire a social worker, "who would save time for the attorneys and help facilitate referrals to social service agencies."

HJP usually advises, and sometimes negotiates on behalf of clients with weak legal cases, however it rarely represents them. "If a client is determined to go in with no good defenses, we give them advice, but don't represent them," says HJP Director Val Carlson. "HJP has the reputation with the court that if we appear, it is because we have some kind of claim to assert, so we protect that to a degree." For HJP, being located in the court means developing a stronger relationship with the judge, the opposing counsel, and with potential clients. "HJP measures its success more in terms of preventing homelessness rather than winning at hearings. In many instances, success is bargaining for or winning enough time to make a transition to other housing or lowering the amount of money owed, even though the eviction occurs. We don't systematically follow clients into the future."

**NEW YORK CITY'S DEPARTMENT OF HOMELESS SERVICES (DHS) FUNDS AND OVERSEES THE FAMILY ANTI-EVICTION LEGAL SERVICES (FALS) PROGRAM**, through which legal services are provided to housing court litigants by seven contracted legal services agencies. The FALS program funds the provision of eviction prevention legal services to 5,000 families each year. The implementation of FALS services differs between service providers. For example, although all providers offer both full representation and brief legal services, the providers vary in the number of paralegals utilized to support the work, and vary in the level of social services provided on-site to clients. Some FALS agencies offer benefits advocacy (especially for housing subsidies and rent arrears grants), but no social services; in many cases, clients are referred to external agencies to address specific social service needs. FALS providers are not required to help litigants with filing

answers to petitions of nonpayment, since enrollment can happen after the litigant's first visit to housing court, and often, after the tenant's first Housing Court hearing. Only litigants with open public assistance, Medicaid, or Food Stamps cases, or people who qualify for "single issue" cases are eligible for FALS. FALS providers are not obligated to serve every litigant who requests service, in part because their contracts cap the number of funded cases each year, and providers prefer to accept cases where they believe their intervention is crucial and they can make the most difference. Across all FALS providers, services are provided to clients in the legal agencies' community offices, not in the Civil Courthouse.

### SUPPORTIVE SERVICES

Because eviction and homelessness are not usually solely the result of legal disputes, social services can help address the root causes of a family's homelessness. The universe of social services is broad and each service is intended to address a critical need for the client, so it is difficult to determine the overall cost-effectiveness of offering social services in response to an indicated risk of homelessness. For example, since the Vera Institute Study indicated that 69% of families experienced job loss prior to shelter entry and 32% of those indicated that the job loss strongly contributed to their homelessness, employment services may be valuable to provide in addition to legal services.

Supportive services include several different interventions such as: social services, case management, housing subsidies, benefits advocacy, housing relocation assistance, service coordination, and advocacy.

**SOCIAL SERVICES AND CASE MANAGEMENT:** Organizations may offer assistance in the areas of employment and training, domestic violence, substance abuse, protective services, mental health, healthcare needs, family health issues, immigration, education, family functioning, crisis management, clinical assessment, welfare advocacy, mediation, and family support. Social services can also address issues that contribute to housing instability in the long-run through the provision of direct family- and income-support services such as linkages to food pantries, assistance with transportation, counseling, childcare, adult literacy, financial literacy, job readiness training, job placement, and housing repairs. While legal assistance is crucial in resolving court-based housing disputes, social workers often take the lead on interventions to help prevent such disputes from recurring by drafting

a household budget, helping a participant apply for government benefits, or working with an employer to resolve a scheduling problem. **HOUSING RE-LOCATION:** When an eviction cannot be averted, families often need assistance with finding a new home and paying the costs associated with moving. Organizations that are most effective at housing re-location services have networks of landlords and management companies receptive to serving clients. Often the organizations offer incentives or guarantees to landlords who might otherwise be reluctant to rent to recently-evicted individuals.

**HOUSING SUBSIDIES:** Access to housing subsidies, which include public and private housing vouchers and grants to pay for rental arrears, can often make the difference for a low-income family struggling to pay rent.<sup>34</sup> In *Rethinking the Prevention of Homelessness*, Professor Shinn states: "Although a variety of factors predicted which families in the public assistance caseload would enter shelter in the first place, only receipt of subsidized housing made any substantial contribution to the prediction of stability at follow-up."<sup>35</sup> Several federally-funded housing subsidies are currently available, and many states and city jurisdictions offer their own housing subsidies to low-income residents.<sup>36</sup> For example, Westchester County, New York, developed its own innovative housing subsidy that enables families to find housing in the private rental market, without substantial supportive services. County-wide, the program demonstrated a 57% reduction in family homelessness in only one year.<sup>37</sup>

**BENEFITS ADVOCACY:** In addition to access to housing subsidies, services such as assisting clients with access to other public benefits and provision of grant money to help clients with severe financial needs can help to stabilize the financial situation of low-income families both in the short- and long-term. The Vera Institute of Justice survey indicated that 44% of sheltered families experienced a loss or reduction of public assistance, including housing subsidies, usually due to sanctions or case closings after noncompliance with public assistance requirements, in the five years prior to shelter entry. Interventions that help families regain these benefits can help families stabilize their finances and avoid housing instability.

**SERVICE COORDINATION:** Data compilation and service coordination are not direct service activities, but can be an especially crucial component of community-wide programs because they help organizations target populations in need, coordinate services across a range

of programs, and streamline the referrals process.

**ADVOCACY:** Advocacy is also not a direct service; however, advocacy organizations often provide public education and conduct policy analysis, helping to educate tenants about their rights.

The organizations below provide full services to individuals at-risk of losing their housing, but do not provide legal services on-site. Examining this approach can help demonstrate the benefits and challenges associated with outsourcing legal services.

**COMMUNITY RENEWAL TEAM IN HARTFORD, CT** runs an Eviction and Foreclosure Prevention Program that mediates with landlords, provides benefits advocacy and budget counseling, and offers case management services from other units within the Community Renewal Team in order to work closely with clients at risk of homelessness. This program does not offer legal services or referrals to legal services, and does not provide any housing re-location services. Clients are recruited entirely from other units within the Community Renewal Team.

**PROJECT HOME, RUN BY UNIVERSITY SETTLEMENT** in the Lower East Side neighborhood of New York City, works to prevent homelessness for formerly homeless, low-income individuals. Its staff of seven provides case management and long-term social services to 550 individuals each year, ensuring continued housing stability for these clients. Staff do provide Housing Court advocacy, mediation, and translation and assistance with lease issues. Although it does not have an attorney on staff, Project Home has relationships with local pro bono legal services agencies for clients in need of representation or legal assistance. Its menu of social services includes benefits advocacy, transportation assistance, domestic violence counseling, emergency assistance, utility assistance, and child after-school programs. Clients requiring specialized services (such as mental health treatment or substance abuse counseling) are referred externally.

## COMPREHENSIVE SERVICES

Comprehensive services programs, such as HHP, offer both legal services and supportive services on-site, to each client. Comprehensive services programs can help illuminate the synergies that result from providing these interventions in tandem to families at risk of eviction and homelessness.

**THE LAWYERS' COMMITTEE FOR BETTER HOUSING (LBCH), IN CHICAGO, IL**, has served Chicago residents

since 1980. LBCH's **ATTORNEY OF THE DAY EVICTION DEFENSE PROJECT** utilizes a team of volunteer attorneys to provide high-volume, no-cost legal services to low-income families. The LBCH believes it is its responsibility to ensure that the Eviction Court Process follows proper procedure and does not override tenants' right to due process. LBCH has four other legal programs, including a Tenant Advocacy project, which works with tenants whose problems with their landlords are not yet in eviction court by providing advocacy services. In addition to 20-25 volunteers each month, LBCH's eviction program has one full-time attorney and a pro bono coordinator, who recruits and trains volunteers. Legal support is provided for all programs by a support team of two full-time equivalent legal assistants and volunteer paralegals and interns. LCBH has one in-house social worker for the neediest clients. He provides an initial social service assessment before referring clients to appropriate agencies. Social services, including case management, housing relocation and employment counseling. However, LCBH can only offer social services to 20-25% of legal clients and, according to LCBH's Director Kathleen Clark, "we're trying to build the department, because most of our clients could use it."

At LCBH's current capacity level, they can represent over 300 litigants a year. Another 100 plus are provided service in the Tenant Advocacy Project, and staff attorneys also provide training in landlord-tenant law, at a cost of approximately \$300,000. Of the litigants who apply and meet the eligibility requirements, LCBH historically has been able to serve about two-thirds. In the current housing crisis, even more tenants are being rejected. The total number of eviction litigants in this courthouse is approximately 32,000 annually. Due to recent increases in requests for services, case acceptance has been streamlined and happens on a daily basis once interviews and paperwork are completed. LCBH prioritizes those tenants who have children, are disabled, senior citizens, or veterans, or have strong legal defenses. While "they never reject someone because they don't have a legal defense," says Ms. Clark, LCBH prioritizes cases that it can help solve. They consider a litigant's risk of homelessness, although the priority ranking is subjective. Eighty percent of cases reach a positive result—either the eviction case is won, the case is dropped, or a settlement is reached.

**THE EVICTION DEFENSE COLLABORATIVE (EDC) IN SAN FRANCISCO, CA** specializes in helping clients answer eviction papers and settle rent arrears quickly.

They are categorized as “enhanced legal services” because of their second program: a zero-interest loan program for low-income individuals that helps them to pay rent during crises. However, EDC does not consistently provide social services or benefits advocacy. “We’d like to do benefits advocacy, but it’s very intricate, even to make proper referrals. We now have some funding to provide minimal social services to clients with disabled children, but we are making baby steps as far as expanding these services, since it is hard to raise money for this,” explained their Development Director Kathy Harr.

Over 98% of EDC clients receive brief legal advice about their eviction cases, and Carol Bettencourt, the Managing Attorney, credits their high caseload of 2,500 each year with the fact that, “so many of these cases are cookie-cutter. In addition, we are beginning to go to trial with a few of our cases and we have found that, in doing so, we are able to bring recurring systemic problems to the attention of the court and achieve better results in general with their expanded presence.” EDC serves every individual who requests service; there are no eligibility requirements (except that to receive a rental loan, a client must prove future ability to pay rent). For higher-income clients, legal assistance is provided on a sliding-fee scale. Approximately 85% of all cases reach a settlement at the settlement conference, and EDC does not track any client outcomes after that point. EDC relies on a noteworthy outreach method: to advertise the EDC legal services, the civil court sends a letter with its unlawful detainer warrants.

**THE EAST BAY COMMUNITY LAW CENTER (EBCLC) IN BERKELEY, CA** has a Housing Unit that serves 2,000 unduplicated individuals each year with a staff of four attorneys, two of whom are part-time, and a paralegal, and an annual budget of only \$450,000, using a team of volunteers (including attorneys and law students from the University of California at Berkeley’s Boalt School of Law). EBCLC’s income eligibility threshold is lower than most other programs profiled here: clients earn less than 125% of the federal poverty line. Although it is not located in the court, the EBCLC recruits potential clients, at all stages of the eviction process – from answering an initial summons to defending against orders to evict.

Approximately 50% of EBCLC’s clients receive brief services, which it defines as “advice & counsel, including letter writing and phone calls, without litigation.”<sup>38</sup> In many cases, the Housing Unit’s paralegal

(responsible for client intake) or law students provide these brief services under the supervision of an attorney. Brief services also include participation in one of their free, volunteer-run Tenants Rights Workshops. Thirty percent of their clients receive “pro per” services, which are analogous to the brief legal services provided by most other comparable programs; for EBCLC, “pro per” services include more extensive legal advice, pleadings, and paperwork assistance, often until the legal cases are closed. The remaining 20% of clients is fully represented by EBCLC attorneys. The decision to represent is based on the following criteria: geographic limitations (residents of Berkeley, Oakland, Alameda, Emeryville); priority to people with disabilities, senior citizens, rent-controlled tenancies (because city policies allow these tenancies to increase in rent between tenants, it is important to maintain stability to keep rents low); and, “people who are definitely not going to be able to negotiate the system by themselves.”<sup>39</sup> Clients seek EBCLC services at various stages in the eviction process: sometimes after a “notice to pay or quit” is served, and sometimes after an order of eviction has been served.

Although EBCLC does not have a social worker on staff, “we think it’s a great idea,” says their Housing Unit’s Managing Attorney Laura Lane. “A social worker’s mandatory reporting requirements versus an attorney’s policies about confidentiality makes hiring social workers complicated,” notes Lane, citing an issue not raised by other programs. She says that attorneys do most of the social work necessary to help each client reach a positive legal outcome. Referrals to social service agencies are sometimes provided to clients with specialized needs.

Based on our research and interviews with stakeholders in the homelessness prevention field, the most unique features of these programs include the use of **VOLUNTEER TEAMS** to supplement the work of attorneys; **OUTSOURCING OF NON-HOUSING LEGAL RESPONSIBILITIES**, including Article 78 hearings to overturn public sanctions, to other agencies or divisions; and, **ADVERTISING THE EXISTENCE OF SERVICES WITH THE NONPAYMENT PETITION**. This method of outreach might provide an effective way to clarify the housing court process and to assure families that there are court-based services that can help them navigate the process.



# HOUSING HELP PROGRAM

The Housing Help Program (HHP) pilot tests the hypothesis that if Housing Court litigants are provided with short-term legal assistance and supportive services before an eviction occurs, such eviction can be averted and homelessness can be prevented. In this model, long-term social services address the underlying causes of housing instability and prevent future evictions and homelessness from occurring.

To determine whether this hypothesis was correct, HHP partners created a model based on several core principles for quality services, including:

**AVAILABILITY:** Ensuring access to social, legal and financial services.

- **Location:** Court-based Unit located in the Housing Court in a new space created for the program. A community-based Long-term Social Services Provider located in surrounding target neighborhood.
- **Special Judge:** A separate housing part and judge served all families from the target area.
- **Services availability:** Services available during Housing Court operating hours.

**RESPONSIVENESS:** The services are designed to respond to the needs of the client.

- **Immediate and Ongoing Specialized Needs:** HHP clients can access a range of comprehensive services at various points along the continuum of care.
- **Holistic Approach:** The services provided at all points along the continuum of care are holistic; staff respond to the client as a whole and multidimensional person.
- **Focus on Strengths:** All services provided focus on the client's personal, family and community strengths and capacities, seeking to work with and enhance all of them.
- **Respect for Clients' Goals:** Services provided assist clients with meeting their goals and enlist client participation in the development of the service plan.
- **Cultural Competency:** Both HHP units are sensitive to culture, ethnicity and race.
- **Transfer Process:** Referrals from Court-based Unit to Long-term Social Services Provider are based on jointly developed transfer criteria (and adhere to confidentiality policies).
- **Team Approach:** The interdisciplinary team model used in the Court-based Unit is comprised of an attorney and a social worker. The team meets with

the client to develop and implement the legal and preliminary social service plan.

- **Careful Coordination:** The case management, counseling, and specialized social services are coordinated through ongoing follow-up of referrals to specialized services and by regular tracking of the client's progress.

**CONTINUITY:** The model ensures continuity of care for each client.

- **Integration of Legal and Social Services:** Social services are provided to each client throughout the legal assistance or representation, until the court case is closed.
- **Information Sharing:** The attorney and social worker in the Court-based Unit coordinate with the Long-term Social Services Provider. Robust information about each client's service plan and outcomes is tracked and shared with the Civil Court, the Department of Homeless Services, and other program partners, to inform program improvements throughout the pilot.
- **Seamless Referrals by Long-term Social Services Provider:** For specialized social services, the Long-term Social Services Provider makes seamless referrals to other agencies, ensuring take-up of services by communicating frequently with the agency and the client.
- **Ongoing Follow-Up:** The Court-based Unit and Long-term Social Services Provider meet monthly to track clients' progress.

This continuum of care encompasses both legal services and social services, to fully support families facing eviction during the Housing Court process and to address the underlying issues that impact housing stability. For the HHP pilot, the Legal Aid Society (LAS), a New York City non-profit legal services agency, provided legal services (brief legal services and full legal representation), benefits advocacy, and short-term social services in an office located in the Bronx Civil Courthouse. Homebase, an initiative funded by the NYC Department of Homeless Services (DHS) and managed by community-based organizations across New York City, was HHP's Long-term Social Services

Provider. Its offices were located in the target neighborhood, where HHP clients who needed additional assistance after the close of their court cases could access long-term case management, counseling, and specialized services.

**PARTNERS IDENTIFIED KEY SHORT-TERM CLIENT GOALS FOR THIS PILOT, INCLUDING:**

- Families will be financially stabilized and maintain housing stability
- Families will achieve positive court case resolution
- Families will receive seamless customer services and specialized social services

**LONG-TERM GOALS FOR EACH CLIENT INCLUDED:**

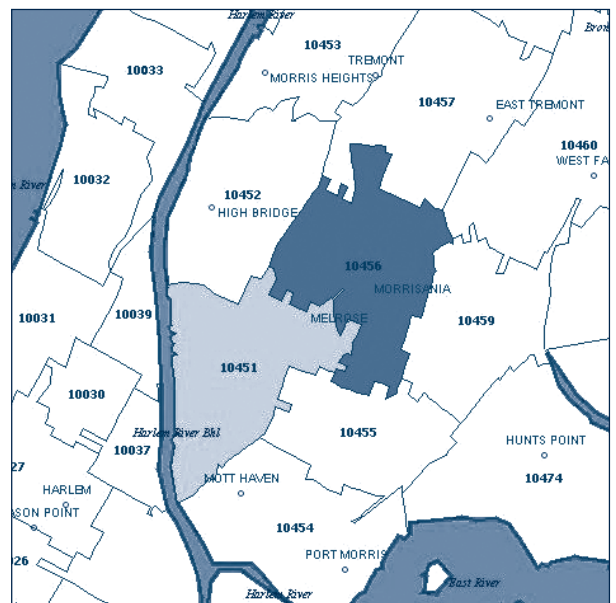
- Families will be stable and economically self-sufficient
- Families will avoid recurring eviction
- Families will avoid entering shelter

UWNYC convened a working group of public and private partners to design the HHP program model, monitor performance, share lessons learned, and better serve the HHP clients.\* Key partner roles and responsibilities included:

While LAS and Homebase were the HHP service providers as of November 2008, previous service providers included Legal Services of New York City (which provided legal and court-based social services from January 2005 until March 2006) and Women in Need (which provided long-term community-based social services from January 2005 until June 2007).

**HHP TARGET POPULATION**

In January 2005, HHP partners agreed to target zip code 10451 for services, an area of 41,000 residents that spans the South Bronx neighborhoods of Mott Haven and Highbridge. This decision was based on findings from the Vera Institute of Justice in 2005 that this area had one of the highest rates in NYC of residents entering shelter as well as the strategic decision to serve the most at-risk populations.<sup>40</sup> However, anecdotal reports that zip code 10451 had stabilized were confirmed by a far lower-than-expected flow of eligible litigants from 10451 during the first year of HHP operations. In June 2006, after discussions about the first year of the program, HHP partners changed the target zip code to 10456, an area of 77,000 residents spanning the South Bronx neighborhoods of Highbridge/South Concourse and Morrisania/Belmont (Community Districts 3 and 4), where the number of nonpayment petition filings is about 4,000 annually



ROLES & RESPONSIBILITY	UWNYC	NYC DEPT OF HOMELESS SERVICES	NYC CIVIL COURT	LEGAL AID SOCIETY	HOMEBASE
Ongoing Pilot Management					
Fundraising/ Identify Resources					
Program Design					
Court Services/ Coordination					
Determine HHP Eligibility					
Service Provision: Legal and Court-based Social Services					
Service Provision: Long-term, community-based social services					

\* Seedco was responsible for performance management and the evaluation.

(larger than in 10451). Between 1999 and 2003, over 11% of all homeless families in NYC shelter came from Community Districts 3 and 4.<sup>41</sup>

Zip code 10456's distress level is reflected in other indicators, as well: a poverty rate of 45% and an unemployment rate of 20% in 2000. Both zip codes trail behind New York City and the Bronx as a whole, as illustrated in the following chart:<sup>42</sup>

REGION	NYC	BRONX COUNTY	ZIP CODE 10451	ZIP CODE 10456
Median Household Income	\$38,293	\$27,611	\$20,307	\$16,664
Poverty Rate	21%	31%	38%	45%
Unemployment Rate	9.6%	14.3%	19.6%	20.3%
Median Gross Rent	\$705	\$620	\$507	\$489
Annual Median Rent Burden	22%	27%	30%	35%

\*Annual Median Rent as a % of Annual Median Household Income

Whereas the rent burden (percentage of median household income necessary to cover median rent) is only 22% across New York City, it is as high as 35% in the HHP-targeted zip code, based on the chart above. Despite having some of the city's lowest rent levels and highest concentrations of rent-regulated and Section 8 apartments, this area still has a high rent burden due to extremely low median incomes.

Of the three sub-borough areas (neighborhoods not defined by zip code or community district borders) that approximately encompass the target zip codes, two were afflicted with severe rent burdens (rent being greater than 50% of income) in 2005 for 40% of renter-households (see below). In all three sub-borough areas, and across the Bronx and New York City, rental vacancy rates in 2005 were less than 4%. The combination of low vacancy rates and high rent burdens in the

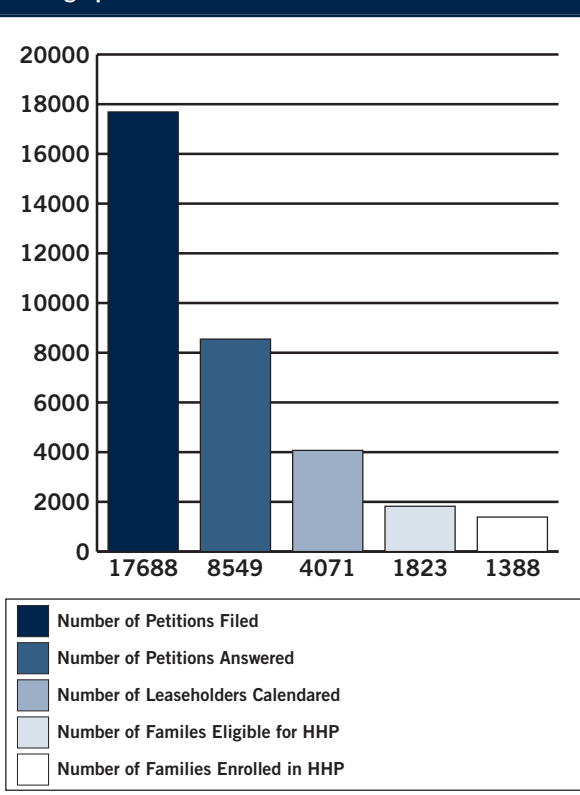
REGION	Residents with Severe Rent Burden (rent greater than 50% of income)	Rental Vacancy Rate
NEW YORK CITY	32%	2.6%
BRONX COUNTY	26%	3.1%
MOTT HAVEN/HUNTS POINT	25%	0.9%
MORRISANIA/BELMONT	40%	2.1%
HIGHBRIDGE/SOUTH CONCOURSE	40%	3.8%

target areas puts additional strain on renters, particularly those with low incomes. The chart below illustrates the rate of rent burdens and the vacancy rate for New York City and the sub-boroughs targeted by HHP.<sup>43</sup>

In addition to the requirement that HHP participants live in the 10456 zip code, an individual is eligible for HHP if he/she meets all of the following criteria:

- Lives in zip code 10456 and answers a petition of nonpayment at the Bronx Housing Court;<sup>44</sup>
- Is the leaseholder of the residence for which the petition of nonpayment was served;
- Lives with at least one child under 18 in the residence (even if the child is not a relative);
- Is a U.S. Citizen or legally eligible alien, or lives with a child in the residence who is a U.S. citizen or legally eligible alien; and,
- Has a household income of equal to or less than 125% of the federal poverty line, with an exception given for families with a history of previous shelter stays, a recent loss of employment, or a recent loss or sanction of public assistance.<sup>45</sup>

**HHP ZIPCODES: 2005-2008**  
Through-put of Petitions and HHP Enrollment



Litigants who meet all of the above criteria are either immediately referred to HHP for a full client intake or (on days when the HHP staff is unable to conduct client intakes) provided the HHP phone number to schedule an appointment that is convenient for the client. Tenants who do not meet the eligibility criteria answer the petition of nonpayment themselves (pro se), and may be referred to a non-HHP legal services program, such as the DHS Family Anti-Eviction Legal Services Program) after their first appearance in court.

available for the **1,059 CLIENTS SERVED AFTER OCTOBER 1, 2006** (and not for the first 329 clients). For the remainder of the report, all analysis is of the 1,059 clients for whom client data was available. For a brief profile of the 329 clients served before October 1, 2006, see Attachment D. Below is a snapshot of the characteristics of clients who enrolled in HHP.<sup>46</sup>

The characteristics of HHP clients seem to confirm that the pilot reached families facing significant challenges securing and maintaining stable housing. Fifty-one percent of clients had no high school degree; this is the same proportion of all residents in zip code 10456 who lack a high school diploma. Significantly, 52% of clients were unemployed at time of intake; in comparison, the unemployment rate in zip code 10456 is 20%.<sup>47</sup> Seventy-one percent of clients received a nonpayment petition prior to the incident that led them to enrolling in HHP, and thus already were in a cycle of housing instability. Fifty-eight percent of clients were receiving no housing subsidy at intake.<sup>48</sup> Twenty-one percent of HHP clients indicated a previous stay in shelter, which is a significant indicator of risk for future homelessness. DHS shelter records indicate that the percentage of clients who experienced a prior shelter stay is 34%, higher than was self-reported by clients at intake.<sup>49</sup> Almost half of HHP clients received public assistance.<sup>50</sup>

<b>HHP ENROLLED PARTICIPANTS: October 1, 2006 to November 30, 2008</b>		
<b>DEMOGRAPHICS</b>	<b>#</b>	<b>%</b>
Clients Completed Intake	1059	
Clients With Children	1057	100%
Clients With Less Than HS Education	544	52%
Clients Unemployed at Intake	519	49%
Clients Receiving Public Assistance at Intake	470	45%
Clients Experienced a Prior Shelter Stay	240	23%
Clients Received Petition of Nonpayment Before	755	71%
<b>CITIZENSHIP</b>		
Clients Who Are US Citizens	735	69%
Clients Who Are Eligible Aliens	214	20%
Clients Who Are Undocumented	55	5%
Clients For Whom Citizenship Was Not Entered	63	6%
<b>HOUSING SUBSIDIES AT INTAKE</b>		
Clients Receiving Section 8	239	23%
Clients Receiving Jiggetts/FEPS	133	13%
Clients Receiving Other Subsidy (HSP or NYC Advantage)	72	7%
Total # Clients Receiving Any Housing Subsidy	444	42%
<b>PRIMARY SOCIAL SERVICE NEEDS IDENTIFIED AT INTAKE</b>		
Clients in Need of Mental Health Services	299	28%
Clients in Need of Substance Abuse Counseling	7	1%
Clients in Need of Domestic Abuse Counseling	100	9%

HHP serves all eligible litigants who have answered a petition of nonpayment at the Bronx Housing Court, unless the eligible family chooses not to enroll in HHP. To the right is a chart of the petitions of nonpayment filed every year in the HHP zip code, the petitions that were answered at Housing Court, the number of litigants who met HHP eligibility criteria, and the number who were enrolled in HHP.

A cumulative **1,388 CLIENTS WERE ENROLLED IN THE HHP** pilot between the program's launch in January 2005 and November 2008. This represents 76% of the eligible families that faced eviction through Housing Court proceedings during this time. **FULL DATA ON SERVICE ACTIVITIES AND CLIENT OUTCOMES** is only

## HHP SERVICE ACTIVITIES

This section provides an overview and assessment of HHP's delivery of legal, financial, and social services to clients. For a graphical representation of HHP's client flow, see Attachment C: Client Flow. A summary of HHP's range of services, the level of services, and conclusions about HHP's performance are provided for each of three service areas: (1) Court-based Legal Services, (2) Court-based Benefits Services, and (3) Social Services (both short-term/court-based and long-term). Quantified targets for each of these measurable indicators were set at HHP's program launch. For a list of quantified targets for HHP Service Activities, see Attachment D: Targets for HHP Service Activities.

HHP's standard staffing model in its court-based unit (run by LAS) includes: one Supervising Coordinator (an attorney), two attorneys, two paralegals, one legal assistant, and one social worker.<sup>51</sup> Throughout the entire court case, the attorney, social worker, and paralegals work together as a team to efficiently address the client's initial needs and any developments over the course of the case. This team-based approach is a unique feature of HHP, and it supports the cost-effective provision of holistic services to each client.<sup>52</sup>

### COURT-BASED LEGAL SERVICES

Upon arriving at the Bronx Civil Courthouse to answer a petition of nonpayment, eligible litigants from zip code 10456 are referred to the HHP office on the second floor of the courthouse, where a court clerk confirms eligibility. Immediately after eligibility is confirmed, the HHP attorney and social worker conduct a full intake — gathering information about a client's financial, housing, and psychosocial status — and complete an assessment of the client's situation and legal case. HHP helps most clients answer their petition of nonpayment (unless the intake cannot be completed immediately on the client's first visit to housing court, in which case the client answers the petition without assistance). Following that first meeting, the attorney and social worker collaborate to make a decision about the initial approach to solving the client's legal case (whether with brief legal services or full legal representation) and social service needs; both the attorney and social worker continue to actively monitor the client's needs throughout their work with the client.

That HHP serves most clients at this first stage of the housing court process is significant. For programs that

begin providing legal services to tenants after the petition is answered or after a tenant's first appearance in court, those tenants often have fewer legal options to prevent eviction. An attorney may need to amend the answer or help a tenant “undo” a signed agreement, by arguing that the tenant was unaware of what s/he had signed. This may be impossible, and the time spent in court is costly for the attorneys and frustrating for the landlord's attorney (who may see the tenant as stalling and may be less willing to come to a generous agreement). And, at this point in the process, there is less time for rental arrears applications and the solicitation of other sources of funding that could help the client pay their debts and stay in the housing. In the worst case scenarios, there is less time for the tenant to find new housing before an eviction.

Every HHP client receives some degree of legal services, whether full legal representation, when an HHP attorney formally represents a client in Housing Court, or brief legal services, when an attorney advises a client who then represents him/herself in court. Once their appropriate level of legal services has been determined, brief and full representation clients are treated similarly in that they all receive a plan to resolve rent arrears, staff monitor every client's payment of their portion of the arrears and rent, and all clients are offered benefits services and supportive services if necessary.

### FULL LEGAL REPRESENTATION

Full legal representation, when an HHP attorney represents a client in Housing Court, is typically provided when the client: (1) has a history of repair conditions and the landlord has not made the repairs; (2) needs a fair hearing on a public assistance case; (3) has lost a Section 8 subsidy and an Article 78 proceeding is necessary,<sup>53</sup> (4) is being sued for the wrong amount of money or improper fees; (5) the rent amount is inappropriate or the rent sought is not the tenant portion (and was supposed to be paid by a subsidy or government agency); (6) a case is a holdover, cannot be resolved by payment, and requires an attorney to fight for tenancy rights; or (7) the client ultimately has no other choice but to move from the residence and an attorney is needed to fight for additional time. Attorneys manage full representation cases and paralegals provide administrative assistance. HHP attorneys spend an average of 8.7 hours on each full representation case. During the 2006-2008 program years, 35% of clients received full legal representation.

## BRIEF LEGAL SERVICES

Brief legal services encompass all of the legal advice and assistance that the Supervising Coordinator, attorneys, and paralegals provide to HHP clients without actually representing the client in court. When HHP provides brief legal services, the client represents him/herself during the court proceedings (pro se) with the guidance of an HHP attorney and paralegals. This guidance includes the filing of paperwork and assistance with serving necessary documents (such as an Order to Show Cause), negotiation with the landlord for preferential rent, other tenant/landlord mediation, and coaching so that the client can self-represent in Housing Court. Brief legal services also include monitoring the client's warrants and "holding the client's hand" through what can be a confusing and intimidating housing court process. Services are provided with the objective of achieving a positive court case resolution and preventing the client's eviction and eventual homelessness. To this end, paralegals closely monitor the proceedings of each brief legal services case under the supervision of the Supervising Coordinator, who will assign an attorney to provide full representation at any time if the circumstances of a case change and aggressive litigation is necessary.

The scope of HHP's brief legal services is much broader than that of almost any comparable legal services agency, as a result of two program principles and the service delivery model that supports them. First, HHP does not screen for legal merit when enrolling clients, and about 30% of HHP clients do not have a clear legal defense in their eviction cases at onset.<sup>54</sup> Many other legal services agencies either refuse to take on cases without legal merit or provide very brief advice to the client about how to proceed in the case.

Second, HHP's primary goal is homelessness prevention, rather than eviction prevention. So, for a litigant who might face homelessness because losing a housing court case and being evicted is inevitable, the HHP team can draw upon other legal, financial, and social service resources in order to delay an eviction, acquire funding to help pay rental arrears, and/or find the client a new apartment. These services usually require an attorney's oversight, but not always full representation, and much of the work to help a client avoid homelessness can be done by paralegals and social workers, thus sparing the attorney's time for cases requiring full representation. An average of 1.5 hours of attorney time and between 3 and 12 of paralegal time (an average of 9 hours) are spent on each brief

legal services case. Since most other legal services agencies do not have the paralegal or social worker support that is integral to HHP, they cannot expend limited attorney time on cases without legal merit. When these cases do receive brief legal services, the scope is far narrower and is usually restricted to giving the client advice about self-representation (rather than HHP's more hands-on approach to self-representation, which includes constantly monitoring the case until its resolution, ready to represent if it becomes necessary). During the 2006-2008 program years, 65% of HHP clients received brief legal services.

## STAFF RESPONSIBILITIES

### HHP Attorney Responsibilities

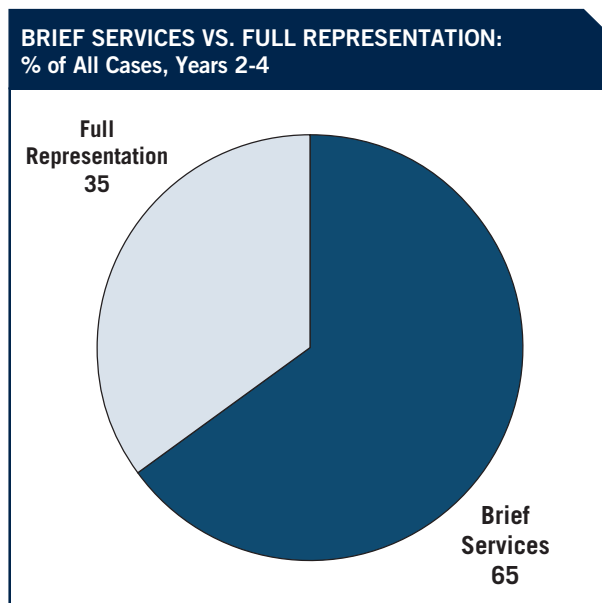
- Full intake with each client, which establishes a working relationship with a client and identifies initial legal, social service, and financial needs
- Identify applicant's initial legal goals
- Make decisions regarding legal service level, whether full representation is necessary.
- Represent client in Housing Court hearings, for full representation clients
- Instruct HHP paralegals in management of brief legal service cases
- Work with Social Worker to determine if transition to long-term social services is appropriate
- Help clients access public benefits that require legal intervention (for example, Article 78 hearings, litigation to remove sanctions on public assistance)

### HHP Paralegal Responsibilities

- Increase the capacity of the attorneys by absorbing time-consuming administrative responsibilities
- Assist with fair hearings and help client with pro se paperwork
- Monitor client's warrants, alert attorneys to status changes in court case
- Create evidence packets
- Help clients access public benefits

## SERVICE LEVELS

Each of the 1,059 enrolled clients received some level of legal services, whether brief legal services or full representation. Because brief legal services cases are primarily managed by paralegals and only require about 1.5 hours of attorney time per case (compared to 8.7 hours of attorney time for full representation cases), HHP can serve many more clients if they opt to only provide full representation when necessary. HHP Partners originally projected a breakdown of 60% brief and 40% full representation, and HHP met expectations about this proportion of cases.<sup>55</sup>



During the past 2 program years under LAS, the breakdown of legal service levels for all closed clients has been 65% brief legal services and 35% full representation. Including data from Year 1 of the program, the cumulative breakdown is actually more heavily weighed towards full representation (55% brief services to 45% full representation); the original legal services provider, LSNY, provided more clients with full representation (and thus was able to serve fewer total clients than LAS has been able to). The level of brief legal services speaks to the strong paralegal staff in the LAS office.

The attorneys provided full representation to 370 clients during the 2 year pilot, or approximately 80 clients per attorney per year. This full representation load than at similar legal services agencies, and is made possible by the assistance of paralegals and social workers with each legal case.<sup>56</sup> See Attachment E for an analysis of attorney capacity.

## HHP SEPARATE HOUSING PART IN CIVIL COURT

The Bronx County Civil Courthouse assigned a separate Housing Part and judge for all housing court cases in zip code 10456. This means that every HHP client sees the same judge in the same courtroom whereas, without this special designation, the HHP cases would be spread across different courtrooms throughout the courthouse. According to Judge Eleanor Ofshtein, the judge assigned to the HHP Housing Part during 2007, by creating a separate Housing Part for all HHP cases, the courtroom experiences a greater degree of efficiency and the tenant experiences a more fair and transparent legal process for these reasons:

- HHP cases are scheduled in the HHP Housing Part for two days each week. Because the HHP attorneys represent all of their clients in a single courtroom on these days, they are able to represent a larger number of clients each day, since they are not burdened with (literally) running between courtrooms to serve their entire client base.
- The paralegals also spend all day in the courtroom, monitoring the HHP cases, checking stipulations, and bringing items to the attention of attorneys when necessary. The paralegal's presence enables HHP to provide this higher level of service to brief legal services clients, who would otherwise be representing themselves with no monitoring or support.
- The Judge is only seeing cases from a certain zip code, so begins to better understand the trends within a neighborhood.
- Tenants can easily become lost in the shuffle, but when the Judge is only seeing HHP cases, the Judge has a higher degree of awareness of the cases. Says Judge Ofshtein, "I want to emphasize how frantic and messy housing court can be. It is the people who don't speak up who would get lost in the shuffle each day."
- And, the Judge does not need to expend the time and energy on making sure each tenant is fully informed. If a Judge doubts that a tenant understands an agreement, the Judge can refer the client back to the HHP attorneys and paralegals instantaneously. Even when a tenant is not directly represented by an HHP attorney, the Judge knows that these tenants are being supported and educated by the HHP team (and are most likely receiving "brief legal services"). While the average Bronx Civil Court Housing Part

sees 80 cases each day, the HHP Housing Part can see up to 100 cases each day, in part because the Judge is relying on the HHP team to provide the education and support that most tenants in housing court lack.

## COURT-BASED BENEFITS SERVICES

In addition to legal assistance and social services, HHP provides benefits services to almost every client. Benefits services include: benefits advocacy, application assistance for rental arrears grants, application assistance for housing subsidies, connection to charity grants to help pay for rental security deposits or rental arrears, applications for food stamps, Women, Infants and Children (WIC) food subsidy, Home Energy Assistance program (HEAP), and other benefits. HHP also assists with resolving public assistance issues or sanctions (in fair hearings or Article 78 proceedings to dispute the outcome of prior fair hearings).

After a client is identified as needing benefits services, a screening determines eligibility for specific benefits, subsidies, and grants. This screening usually occurs during a subsequent appointment, for which some clients may not return. Upon determining benefits eligibility, application assistance is provided unless the client refuses or is later deemed ineligible, prior to application.

Housing subsidies or grants that are targeted to tenants facing eviction include the following:

- **HRA One-Time Emergency Grant (One Shot Deal):** The One Shot Deal is a NYC Human Resource Administration (HRA) grant to relieve rental arrears (or other emergency expenses) for eligible tenants facing eviction. It can be received no more than once a year.
- **Family Eviction Prevention Supplement (FEPS):** FEPS is an HRA program that provides a one-time rental arrears grant and ongoing housing subsidy to public assistance recipients with children. The maximum rental arrears grant is generally \$7,000, and the ongoing subsidy lasts for five years and ranges from \$373 to \$754, depending on family size. Households in which one or more family members' public assistance is in sanction status are not eligible for FEPS; HHP provides public assistance advocacy to overturn the sanction and facilitate FEPS acquisition in many cases.

Other housing subsidies that HHP may provide application assistance for include:

- **Section 8:** Also known as the Housing Choice Voucher Program, Section 8 provides funding for rent subsidies for eligible low-income families for decent, safe, and affordable housing. In NYC, this subsidy is administered by the Housing Preservation & Development Department and the New York City Housing Authority (NYCHA), and is funded and regulated by the U.S. Department of Housing and Urban Development (HUD). Enrolled families need only pay 30% of their income towards rent.
- **NYCHA:** Provides affordable housing in a safe and secure living environment for low- and moderate-income residents throughout the five boroughs. NYCHA also administers a citywide Section 8 Leased Housing Program in rental apartments. On April 30, 2009, the waiting list for NYCHA housing was 131,077 families long, and the waiting list for Section 8 through NYCHA was 127,825 families long.
- **SCRIE / DRIE:** Senior citizen tenants under rent control or rent stabilization may be entitled to an exemption from future rent increases under the Senior Citizens Rent Increase Exemption (SCRIE) Program. Instead of rent increases, landlords are eligible for an equivalent credit on property taxes.

Housing subsidies that HHP clients might already be receiving prior to HHP enrollment (but for which they would not receive application assistance) are:

- **Housing Stability Plus (HSP):** A New York City time-limited housing subsidy that provided rental support to help domestic violence and homeless shelter residents obtain permanent housing. The HSP program began in 2005, but no new subsidies were granted after June 30, 2007. Existing recipients of the subsidy continue to receive it for the 5-year time limit, without the original decline in subsidy of 20% per year.
- **NYC Advantage:** Introduced in 2007, NYC Advantage is a time-limited housing subsidy for people exiting shelter. HHP clients will almost never qualify for this subsidy. Shelter residents can access NYC Advantage through five "doors," each with their own benefits and program requirements: Work Advantage, Domestic Violence Advantage, Fixed Income Advantage, Children Advantage, and Short Term Advantage.



New or increased benefits that a client could be found eligible for include:

- Food stamps, WIC, Lifeline, Medicaid, Medicare, SSI, HEAP, unemployment insurance, Child Health Plus, Family Health Plus, Earned Income Tax Credit, Child Tax Credit, Child and Dependent Care Credit, each with differing eligibility criteria.<sup>57</sup>
- HHP also helps clients requiring welfare advocacy or assistance with a public assistance (PA) issue, including sanctions, closed cases, or mistakes due to administrative error.

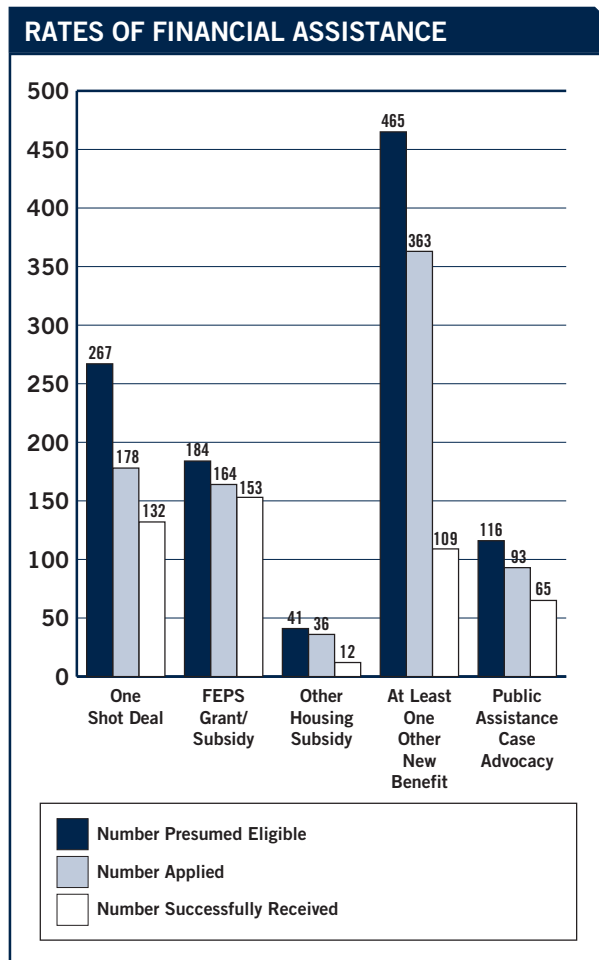
### SERVICE LEVELS

The chart below indicates the number of clients presumed eligible for, applying for, and successfully receiving each new benefit, subsidy, or grant.

Benefits advocacy and application assistance tasks are the responsibility of the HHP social workers and paralegals, although attorney assistance is occasionally required. Applications for each benefit can take

between 1 hour (for simple HEAP applications) and 15 hours (for FEPS applications involving a household member with a sanction, in which case the attorneys and paralegals first work to overturn the sanction, or for housing subsidies that require a housing search in addition to the application).

AVERAGE AMOUNTS RECEIVED PER BENEFIT OR SUBSIDY FOR HHP CLIENTS		
BENEFIT / SUBSIDY	AVERAGE AMOUNT RECEIVED	# OF CLIENTS RECEIVING BENEFIT/SUBSIDY
HRA One Shot Deal	\$2,772	132
FEPS grant	\$2,795	153
HSP Subsidy	\$5,018	6
Earned Income Tax Credit	\$1,410	20
HEAP	\$20/month	8
Food Stamps	\$94/month	36
Public Assistance - increases or reversals of sanctions	\$800/month (and 3 people receiving lump sum arrears with average payment of \$3,600)	30



### SOCIAL SERVICES: SHORT-TERM AND LONG-TERM

Brief legal services and full representation clients are equally entitled to social services; the needs of the legal case are not correlated with the social services provided to the client. In order to resolve the immediate housing crisis and stabilize their housing in the long-run, most HHP clients require assistance beyond legal services. A tenant's nonpayment of rent is usually the symptom of a greater problem (whether issues with public assistance, loss of employment, inability to manage a monthly budget, sudden increases in expenses, a family crisis or health emergency, mental health or substance abuse issues) that cannot be solved by litigation or legal advice alone.

### SOCIAL SERVICES AT HHP

The primary objective of HHP's court-based social services is to help each client to gain stability and avoid future housing crises, by providing social services concurrent with the legal services (for example, budget counseling while clients are prepared for fair hearings to overturn public assistance sanctions, or housing search assistance for clients who will likely have to leave their residences). The social workers communicate with the attorneys regularly to share

updates about each client's situation for the duration of the time the family is active with HHP. The social worker spends an average of 2.6 hours on each client who receives brief legal services and 5.1 hours on each client receiving full legal representation.

HHP clients who receive counseling on any social service issue or general support services from an HHP social worker are defined as having received social services. Although all clients undergo intake with a HHP social worker and receive an assessment and potentially some counseling at intake, undergoing intake is not counted as receipt of court-based social services for the purposes of this report.

The HHP social worker provides brief counseling primarily in the areas of: assistance with daily living, family functioning, emotional counseling, crisis management, housing repairs, benefits advocacy, mediation services, budgeting counseling, domestic violence counseling, and other immediate social service needs. For more specialized services (including substance abuse counseling, domestic violence counseling, job readiness training, housing relocation assistance, psychiatric evaluations, and child needs), the HHP social worker develops a service plan with the client and makes referrals to the long-term social service provider and/or other private service agencies.

#### **HHP SOCIAL WORKER RESPONSIBILITIES**

Full intake with each client, which establishes working relationship with client and identifies initial legal, social service, and financial needs

- In-depth social service assessment in five key areas: **HOUSING** situation (e.g. conditions, prior evictions and shelter stays, number of moves, relationship with landlord or housing manager, alternatives, etc.), **FINANCIAL** situation (e.g. expenses, sources of income from employment, public benefits, debts, etc), **IMMEDIATE SOCIAL SERVICE NEEDS** (e.g. housing, child care, job support.), **FUNCTIONAL CAPACITY AND LIMITATIONS OF CLIENT AND FAMILY MEMBERS**, and **NEED FOR SPECIALIZED SERVICES** (e.g. substance abuse, domestic violence, health and mental health, employment, child welfare, etc.)
- Use detailed information gathered to make assessment of the client's overall risk for homelessness
- Help client access public benefits, such as rent arrears grants, public assistance, or charity money, to help to alleviate financial problems

- Work closely with government agencies such as APS, HRA, and HPD to serve both tenant and landlord
- Assist the client with immediate personal/family crises and identify long-term needs
- Provide emotional counseling as necessary for clients whose psycho-social issues present a clear barrier to immediate stability
- Assist the client with housing re-location needs
- Recommend referrals for long-term social services or specialized social services at other agencies

#### **LONG-TERM SOCIAL SERVICES PROVIDER**

Once the court case has completed, those clients who remain at high risk for homelessness are transferred to an external social service agency, referred to as HHP's Long-Term Social Services Provider (Homebase).<sup>58</sup> The transition from the LAS to Homebase may take place at various times during a client's engagement with HHP, depending on the nature of client's needs and the progress of the legal case.

Homebase provides case management, counseling and specialized social services aimed at addressing the underlying issues in the client's life that might lead to ongoing or future housing problems. Primary social service issues that indicate a high risk for homelessness and result in a transition to Homebase include: 1) mental health issues/depression; 2) substance abuse; 3) domestic violence; 4) chronic or severe medical issues; 5) recent departure from PA and new employment; 6) ongoing and severe family crisis; 7) sudden loss of employment while legal case is still open; 8) need for relocation assistance; and, 9) need for assistance with Section 8 application. Homebase addresses these needs, refers clients to specialized services, and tracks client progress over time.<sup>59</sup>

#### **HOMEBASE RESPONSIBILITIES**

- Assesses need for specialized services (e.g. medical, mental health, housing, substance abuse, family relations, child welfare, employment, criminal justice, education, domestic violence).
- Engages client and enlists client's participation in developing and implementing a service plan.
- Supports court case activities at all times.
- Makes referrals to specialized programs within Homebase and external social service agencies.

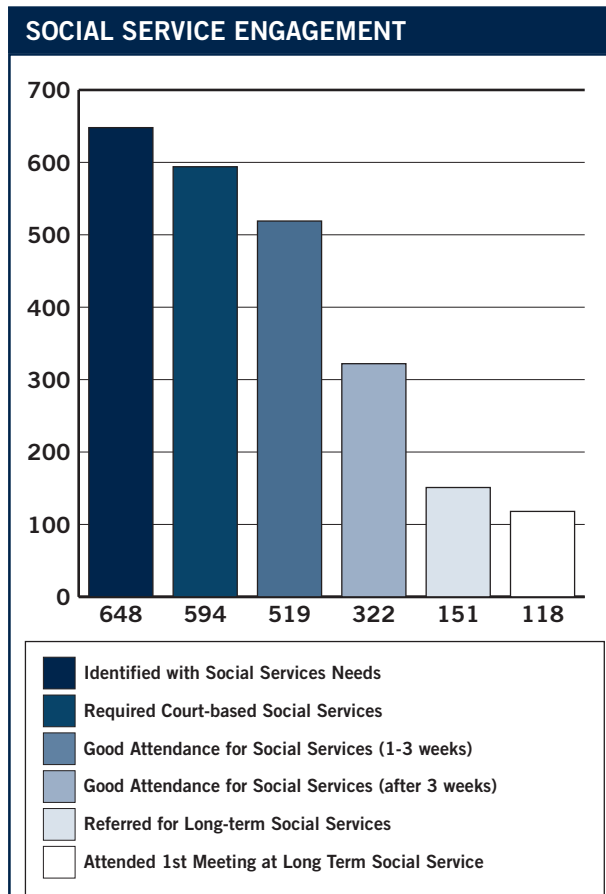
- Provides housing re-location services, relying upon strong relationships with local landlords.
- Accesses Homelessness Prevention Fund, to help clients pay rent arrears if ineligible for other rent arrears grants.<sup>60</sup>

A focus group of HHP participants revealed that while legal help was crucial in resolving their cases, the social services component helped them view their situations with hope rather than with terror and desperation. Participants indicated that the social services helped them to feel more capable of helping themselves, especially in cases where they received brief legal services and represented themselves pro se. Statements made by clients, when speaking about the social services they received:

- “My whole world is coming down. Then you come to this place. They make sure people stay safe. They are social workers too. Some places they only have the lawyers. The social worker part is very important.”
- “I was really glad when I came, because I had people who really understood and did not treat me in that belittling way so I was feeling more confident to come in and say my problem and I was helped. I was really helped... and I was needing so much, I was about to give up, I would have gone to shelter or I would have died... and then I came to HHP and they talk to you.... They care.... They gave me a second life.”
- “I went to go to places they (HHP) told me to go, and they were out of my way. I went though because I thought if they are putting in the effort then I am going to put in the effort.”

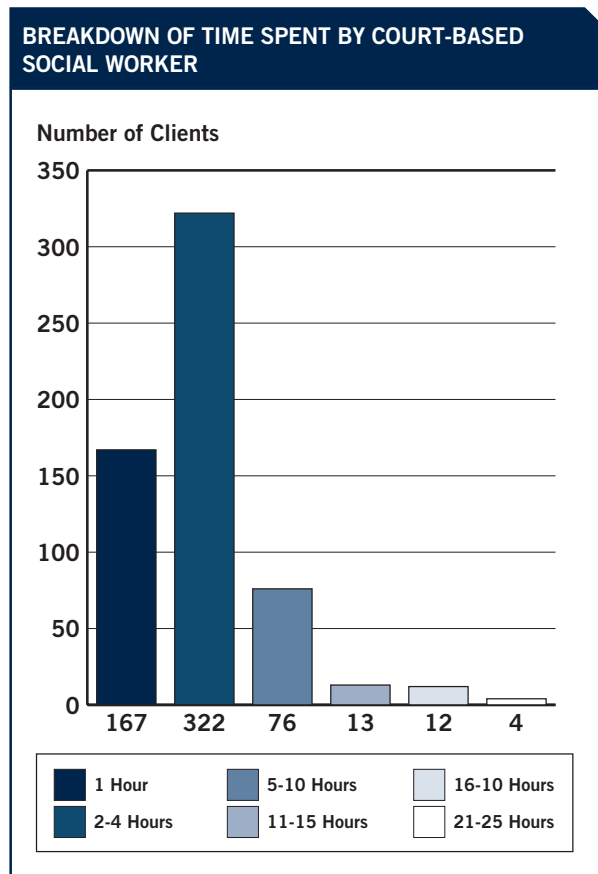
## SERVICE LEVELS

The chart below indicates the number of clients identified with a need for social services, receiving social services, and remaining engaged in social services over time. It also indicates the number of clients who were referred for long-term services, and who successfully attended the first meeting at the Long-term Social Service Provider (either WIN or Homebase).



**THE 648 CLIENTS IDENTIFIED WITH SOCIAL SERVICE NEEDS REPRESENTS 90% OF THE 714 CLIENTS** with data recorded about social service needs and activity (as of November 30, 2008). These social service needs include: domestic violence counseling, substance abuse counseling, protective services for children, mental health treatment, physical health treatment, family health issues, employment and training, immigration, children’s education, food pantry, transportation assistance, access to childcare services, assistance with daily living, family functioning assistance, crisis management, adult education, adult literacy, financial literacy, assistance with housing search, housing repairs, welfare advocacy, and mediation services. **THE 594 CLIENTS, OR 83% OF CLIENTS, WHO RECEIVED**

**SERVICES AT THE COURT RECEIVED BETWEEN 1 AND 25 HOURS OF SERVICE BY THE SOCIAL WORKER.** The average amount of time spent with each client was 3 hours, and a breakdown of time spent with clients is below:



Each social worker spent roughly 19 hours a week directly in sessions with clients, with their remaining time spent on advocacy to schools, landlords, specialized social service agencies, financial assistance applications, and administrative responsibilities.

Of the 594 clients receiving court-based social services through HHP:

- 160 clients received substantial budget counseling.
- 256 clients received welfare advocacy from the social worker in addition to assistance provided by the paralegal.
- 140 clients received counseling on family functioning, which can include advocacy to schools, referrals to anger management resources, or assistance with issues related to child welfare (including coordination with NYC Administration for Children’s Services).

- 57 people were referred to workforce development agencies for job readiness training, hard skills classes, or job placement.
- Anecdotally, at least 10 clients indicated strong signs of suicidal ideation at the time of HHP enrollment and received intensive emotional counseling and/or psychiatric referrals.

Approximately 78% clients referred to the Long-Term Social Services Provider attended the first meeting there. This high level of engagement of these particularly needy clients indicates good communication between LAS and Homebase, as well as Homebase’s ability to maintain clients’ interest even after the legal case is resolved (and their short-term crisis has ended). The lack of a long-term social service provider from July 2007 through January 2008 affected HHP’s ability to manage clients with a need for long-term social services. During that time, HHP court-based social workers assumed responsibility for case management and referrals to specialized services, but having only one social worker on staff may have limited their capacity to serve every client in need of long-term social services during this time. After WIN’s departure as long-term social service provider, 52 clients were identified as needing a referral for long-term social services, but did not receive long-term social services. Beginning in January 2008, DHS’s Homebase program began serving HHP clients with a menu of social services that were more focused on “concrete” services such as financial assistance and charity money, housing re-location assistance, and benefits advocacy.

## HHP MODEL COMPARED TO OTHER NATIONAL MODELS

In short, the key features of the HHP program model that are unique from other organizations researched include:

- **EARLY INTERVENTION**, at the moment a housing court case is opened (pre-petition answer). One other agency enrolls clients at various stages in the housing court process, but the remaining agencies enroll clients after an eviction order or the litigant's 2nd or 3rd visit to housing court.
- **ACCEPTING ALL LITIGANTS** who meet income / geographic requirements, regardless of the legal merits of the litigant's housing court case. One other agency accepts all litigants, but offers a very light-touch level of legal services to most clients. Many agencies prioritize clients based on the strength of their legal defenses.
- **LOCATION IN THE COURTHOUSE**, and the dedication of a separate Housing Part and judge for the targeted population. This easy accessibility for clients increases the uptake of services, relieves the judge from the pressure to educate and advise unrepresented tenants, and supports the extensive brief legal services by giving HHP attorneys and paralegals the opportunity to monitor all HHP cases (and not only the ones that received full legal representation).
- **THE TEAM-BASED APPROACH** to serving each client, which efficiently combines the resources of attorneys, social workers, and paralegals to address the range of needs for families facing the crisis of eviction.
- **THE ROLE OF PARALEGALS**, which for HHP are empowered to manage the work for some brief legal services cases, and to monitor these cases in case full representation becomes necessary. No other agencies use paralegals to such a large extent.
- **THE ROLE OF SOCIAL WORKERS**. Only one other agency has a social worker on staff, although staff at several comparable legal services agencies agree that a social worker would relieve some of the attorneys' non-legal responsibilities while also filling a gap in client needs at relatively low cost. The social worker supports positive short-term outcomes by addressing clients' immediate psycho-social needs (by providing emotional support to clients receiving brief legal services and representing themselves pro se, or providing counseling to clients in distress, or by

helping those clients who will inevitably be evicted to find new housing and schools). The social worker also helps to address the root causes of the housing instability and connects families with the supports that can strengthen their financial and emotional stability.

- **THE ROBUST TRACKING OF SERVICES AND CLIENT OUTCOMES**. Only one other agency, DHS FALS, has the ability to determine the shelter entry rate for their clients.
- **LONG-TERM SOCIAL SERVICES** are targeted for clients at high risk of future housing instability. Women in Need and Homebase as Long-Term Social Service Providers served a total of 118 clients with ongoing case management, housing relocation services, additional benefits advocacy services and provision of charity money, and other specialized social services to target the root cause of client's financial and housing instability.

For a full matrix of program features for HHP and the profiled comparable programs, see Attachment C.

# KEY PILOT OUTCOMES

The lessons that were learned from this pilot have already contributed to ongoing discussions in NYC—both within government and the nonprofit sector—about opportunities for partnerships, what services should be offered to families facing eviction, potential opportunities to reduce the costs of administering homelessness prevention programs, and how providers can more effectively use data to track services, analyze outcomes, and improve programs. This section includes a summary of key outcomes and lessons learned from the HHP pilot.

## HHP PILOT CLIENT OUTCOMES

From the pilot launch in January 1, 2005 through November 30, 2009, 17,688 petitions were served to families in the HHP target zip code, 8,549 petitions were answered and 9,139 petitions were defaulted (not answered). In total, 1,388 clients were enrolled in HHP61; however, data was only collected for 1,059 of the total enrolled.<sup>62</sup> Pilot outcomes included in this report are from the full data set (i.e. 1,059 clients); some outcomes are only reported for those 670 clients with closed cases.<sup>63</sup>

This section examines three aspects of HHP’s impact on family homelessness: (1) HHP’s success at reaching the target population, (2) short-term outcomes for HHP clients, and (3) long-term outcomes for HHP clients. In summary:

- The HHP client characteristics outlined on page 25 indicate that **HHP SERVED A POPULATION AT RISK OF HOMELESSNESS**, because 33% of clients had experienced prior shelter stay, 45% received public assistance, and 49% were unemployed. A study of those leaseholders that were not eligible for HHP because they did not participate in the Housing Court process reveals that they were slightly less vulnerable than HHP clients. Overall, HHP’s targeting methods succeeded at reaching and engaging a population at-risk for homelessness
- HHP’s success at achieving intended short-term goals for clients is indicated by its achievement of **POSITIVE HOUSING COURT CASE OUTCOMES FOR 91% OF CLIENTS**.
- With regards to long-term intended goals, **HHP PREVENTED SHELTER ENTRY FOR 94.3% OF CLIENTS**, a higher proportion than another eviction prevention program in NYC.

## REACHING THE TARGET POPULATION: COMPARING HHP PARTICIPANTS WITH DEFAULTED LEASEHOLDERS

HHP provides services to all families in zip code 10456 who receive a petition of nonpayment of rent, answer the petition at the Bronx Housing Court, meet income guidelines, and willingly engage in HHP’s services. However, of 17,688 petitions of nonpayment served to households in 10456 during the HHP pilot, only 8,549 (48%) were answered at Housing Court. Leaseholders who do not answer the petition are considered “defaulted,” and these defaulted leaseholders are never eligible for HHP services (because HHP recruits all clients from the Court when leaseholders answer).<sup>64</sup> Defaulted leaseholders may face a higher risk of eviction or eventual homelessness than leaseholders who answer their petition, because the failure to respond at Housing Court may be a sign of psychosocial issues, misunderstanding of the court process, illiteracy, or a general incapacity to comply with rental laws and the legal process. Alternatively, they may face lower risk of eviction and eventual homelessness, because they are financially and mentally capable of resolving their rent nonpayment issues directly with their landlord.<sup>65</sup>

Should HHP expand their targeting and outreach methods to include defaulted leaseholders, in order to reach those families most at risk of homelessness? This section investigates: (1) the possibility that defaulted leaseholders are at a higher risk for homelessness than the responding cohort; (2) the reasons defaulted leaseholders did not answer the housing court petition; and (3) the potential impact of outreach efforts to this cohort. To gather information about the cohort of defaulted leaseholders, Seedco used a direct survey method. Details can be found in Attachment F: Defaulted Leaseholder Survey, and Attachment G: Defaulted Leaseholder Survey Questions.

## PROFILE OF DEFAULTED LEASEHOLDERS

Of the 48 responders to the defaulted leaseholder survey, 32 survey responders did not answer the petition at the Housing Court. Sixteen survey responders defaulted on the petition by not answering within the five days allowed, but had answered the petition by the time they were surveyed.<sup>66</sup> A full profile of the defaulted leaseholders compared to HHP clients can be found in Attachment F: Defaulted Leaseholder Survey. Some comparisons between defaulted leaseholders and HHP clients:

- The surveyed defaulted leaseholders had a lower rate of unemployment than HHP clients (33% of defaulted leaseholders were unemployed, compared to 52% of HHP clients);
- Fewer defaulted leaseholders experienced a prior eviction than HHP clients (17% of defaulted leaseholders had experienced a prior eviction, compared to 35% of HHP clients);
- The same proportion of defaulted leaseholders as HHP clients received public assistance (44% of defaulted leaseholders compared with 45% of HHP clients);
- Fewer defaulted leaseholders received a housing subsidy (whether Section 8, FEPS, or another subsidy) than HHP clients (27% of defaulted leaseholders had housing subsidy, compared to 42% of HHP clients); and
- Sixty-nine percent of defaulted leaseholders had children under age 18 and would, therefore, be eligible for HHP.

Because the survey team only reached 48 of out 140 leaseholders who defaulted during the survey period, we cannot assume that our results represent the entire population of defaulted leaseholders, and the sample size is too small to draw clear conclusions about differences in risk of future shelter entry. However, the defaulted leaseholders appear to be slightly less at risk for future shelter entry than HHP clients, based on their higher rate of employment.

## REASONS FOR NON-RESPONDING

Each leaseholder who had not yet gone to the Housing Court to answer the petition by the time of the survey was asked: “What were your reasons for not responding to the petition?” The range of answers included several indications of misunderstanding of the eviction process: (1) an unawareness of the purpose of going to Housing Court, (2) the assumption that paying the landlord meant eliminating the threat of eviction, (3) a belief that they should wait for the “second or third notifications.” Following are some of the responses:

- Nine leaseholders (19%) said they “paid what was owed already.”
- Six leaseholders (13%) insisted that they “didn’t receive petition,” and did not know that the landlord had filed a petition of nonpayment. The survey team instructed these leaseholders to go to the Bronx Housing Court to find out the status of the petition.
- “I heard you only go when you have the money to pay, I’m waiting for the 2nd notification.”
- “I paid the rent that was owed but am still a month behind. To my knowledge you only go to court when there are no other options but eviction.”
- “I owe \$123 out of the total. The legal department said it’s up to me to go to court or not.”

Of the 16 leaseholders who had answered the petition by the time the survey was conducted, three said that they were referred to the Housing Help Program when they went to the court.

## POTENTIAL IMPACT OF OUTREACH

The defaulted leaseholders’ lack of clarity about the eviction process is important to note, but the home-visit outreach to defaulted leaseholders is too inefficient and labor-intensive to incorporate as an outreach method.<sup>67</sup> Other educational outreach methods might be considered. For example, the East Bay Community Law Center has the court issue an information flyer with each petition to advertise their Eviction Defense Program – possibly an extremely cost-effective method of outreach to those who would not otherwise answer.

## DEFINITIONS: LEGAL AND HOUSING OUTCOMES

**HOMELESSNESS PREVENTED:** Stabilized housing situation by enabling the family to remain in their apartment or rehousing the family elsewhere.

**EVICTION PREVENTED:** Winning a judgment so that the client can stay in current housing.

**RE-HOUSED ELSEWHERE:** If an eviction cannot be avoided, HHP will help find new housing before the family is forced to leave its current residence.

**RESTORED POSSESSION:** If an eviction actually occurs but the attorneys are able to restore possession of the residence to the client.

**VOLUNTARILY LEFT:** This outcome is selected when a client voluntarily leaves an apartment before the end of the court case, but the HHP staff do not know the outcome (e.g. doubled up).

**ATTORNEY DISCHARGED OR WITHDREW:** In full representation cases if a client fails to communicate with his/her HHP attorney (after several outreach efforts, including a home visit).

**ENTERED SHELTER:** This outcome is selected when a client goes to live in shelter before the court case is closed, or within a month after the case closing (in the instances where the HHP staff are aware). This includes decisions to enter domestic violence emergency shelters.

**DOUBLED-UP:** This outcome is selected when a client moves in with family or friends instead of successfully finding a new apartment.

**OUTCOME UNKNOWN:** This outcome is selected when HHP staff is not informed of the court case outcome (more frequently occurs with brief services clients).

## HHP CLIENT OUTCOMES: SHORT-TERM

During the period of time in which the client's legal case is open or shortly after it closes, HHP measures short-term client outcomes using quantifiable indicators of each client's housing stability, financial stability, and successful receipt of social services. The three intended short-term goals for HHP clients were:

- Families will be financially stabilized and maintain housing stability
- Families will achieve positive court case resolution
- Families will receive seamless customer services and specialized social services

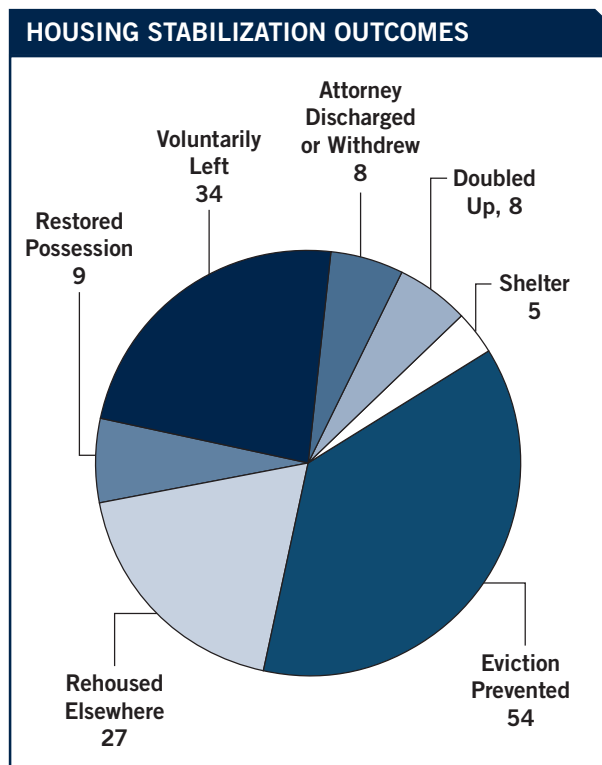
Indicators of short-term housing stability include the results of the eviction dispute (court case resolution) and the retention of current or acquisition of new permanent housing. Indicators of short-term financial stability include the receipt of rent arrears grants, new or increased housing subsidies, or enrollment in new public benefits. Indicators of receipt of seamless customer services and specialized social services are measured by each client's engagement level in social services programs designed to address identified needs.

Quantified targets for each of these measurable indicators were set at HHP's program launch. For a complete list of targets for HHP Client Outcomes, see Attachment E: Targets for HHP Client Outcomes.



## HOUSING STABILIZATION

Housing stabilization is measured both by the success of the legal proceedings as well as the success of re-locating a client when necessary, as defined in the sidebar (previous page). The chart below includes housing stabilization outcomes for the 635 clients for whom legal or housing outcomes are known. For 424 clients, outcomes are unknown, either because the cases were not closed before November 30, 2008 or because the client disengaged before the court case was resolved.



A total of 580 clients (91% of known outcomes) achieved a positive housing or legal outcome, which includes eviction prevention (544 clients or 85.6% of known outcomes), relocation to permanent housing (27 clients or 4.3% of known outcomes), and restored possession of the original apartment (9 clients or 1.4% of known outcomes). All outcomes are compared to the targets set at the pilot's launch and are separated by whether the client received brief legal assistance or full legal representation below.

According to HHP staff, legal and housing outcomes are affected by the following factors:

- The success of the attorneys in delaying judgment, whether by identifying legal arguments for the landlord to drop the case or by negotiating with the

LEGAL OR HOUSING OUTCOME	TARGET %	ACTUALS			
		BRIEF SERVICES	FULL REP.	TOTAL #	TOTAL %
Eviction Prevented	83%	349	195	544	85.6%
Rehoused Elsewhere	3%	14	13	27	4.3%
Restored Possession	N/A	4	5	9	1.4%
Voluntarily Left	N/A	17	17	34	5.4%
Attorney Discharged or Withdrew	N/A	3	5	8	1.3%
Doubled Up	N/A	5	3	8	1.3%
Shelter	N/A	4	1	5	0.8%
Positive Housing or Legal Outcome	86%	367	213	580	91.3%
All Known Outcomes	—	396	239	635	—
Success Rate (% of Positive Housing or Legal Outcomes)	—	93%	89%	—	91%

landlord's attorneys for additional time until funding or new housing can be acquired.

- The acquisition of rental arrears grants, charity money, or other funding to enable the client to settle with the landlord and stay in the original apartment or to comply with a negative judgment passed in court.
- The success in finding a new apartment and the funding to move, pay for a security deposit, and make consistent rent payments in the new apartment. The acquisition of a new housing subsidy also makes this outcome more possible.

Analysis of HHP client characteristics and the services they received at HHP revealed the following correlations with legal and housing outcomes:

- Of the 580 clients with positive legal or housing outcomes, 367 received brief legal services and 213 received full representation. This indicates a success rate (for all known outcomes) of 92.6% for brief legal services and 89.1% for full representation.
- Unknown outcomes were removed from this sample. However, the high number of unknown legal outcomes for brief legal services may have skewed the success rate for brief legal services cases (46% of all brief services cases had unknown outcomes, and 25% of all full representation cases had unknown outcomes). When HHP staff is not informed of the court case outcome, "outcome unknown" is the

default outcome, and this occurs most frequently with brief services cases. For the full representation cases, the majority of unknown outcomes are due to legal cases not yet being closed.

- Of the 21 clients with negative legal or housing outcomes (attorney discharged or withdrew, or client entered shelter or doubled-up), 12 received brief legal services and 9 received full representation.
- Of the 98 total clients who successfully received FEPS, 100% reached a positive housing outcome (avoiding homelessness at least in the short term). Eighty-nine avoided eviction entirely and 9 were immediately relocated into original or new permanent housing.
- Of the 78 total clients who successfully received a One Shot Deal, 100% reached a positive housing outcome (avoiding homelessness in the short term). Seventy-three avoided eviction entirely and 5 were immediately relocated into original or new permanent housing.
- Client characteristics had a less pronounced effect on legal outcomes. The clients with negative legal or housing outcomes had characteristics and needs that identified them as being, on average, only slightly more vulnerable than clients who achieved positive legal or housing outcomes.

18 (33%) of these clients had open PA cases at HHP enrollment, compared to the 45% of all HHP clients.

4 (7%) had closed or sanctioned PA cases, compared to the 12% of all HHP clients.

19 of these clients (35%) had experienced a prior shelter stay, similar to the proportion of all HHP clients who experienced a prior shelter stay (34%);

24 of these clients (44%) were unemployed, similar to 45% of all HHP clients.

5 (14%) were identified as experiencing domestic violence, similar to 12% of all HHP clients.

18 (51%) were identified as needing mental health treatment, similar to 41% of all HHP clients.

#### COMPARISON WITH OTHER PROGRAMS

Two of the comparable eviction prevention programs surveyed track the outcome of each client's Housing Court case.

The Lawyers' Committee for Better Housing in Chicago, IL indicates that all 300 annual clients of the Attorney of the Day Eviction Defense Project receive full representation, and 80% of these cases reach a positive court case resolution – either the eviction case was won, the case was dropped, or a settlement was reached.

At the Eviction Defense Collaborative in San Francisco, CA, where only 1% of clients receive full representation and almost all clients receive brief legal assistance prior to a settlement conference with the landlord, approximately 85% of cases reach a settlement. Client outcomes achieved post-settlement conference were not tracked.

#### LONG-TERM CLIENT OUTCOMES

HHP's program is intended to have a lasting impact on each HHP client, and, most importantly, it is intended to stabilize clients such that they avoid shelter entry in the future, even long after the closing of the original Housing Court case. While HHP's legal services and some benefits services (such as application for rental arrears grants to pay the rent owed to a landlord) can help a client avoid eviction in the short-term, HHP targets those clients most at risk for repeat eviction and/or future homelessness with extra social service and financial assistance activities.

The three primary intended long-term goals for HHP clients are:

- Families will be stable and economically self-sufficient
- Families will avoid recurring eviction
- Families will avoid entering shelter

HHP systematically measures future shelter entry; avoidance of shelter entry is considered a proxy for the first two long-term client goals. After the close of the court case, HHP is unable to collect information about every client's stability and economic self-sufficiency, and the data collection system at the Civil Court does not enable tracking of recurring eviction. However, the most important long-term outcome is that families served will avoid future shelter entry, and HHP coordinates with DHS to find out if clients enter shelter after participating in HHP. This section presents the findings on the HHP clients who entered shelter, and compares HHP's outcomes with those of a similar anti-eviction legal services program in NYC.

## SHELTER ENTRY POST-HHP

HHP intake data for clients enrolled between October 1, 2006 and November 30, 2008 was compared with homeless shelter entry data over a period beginning in October of 2006 and ending in October of 2009.68 Between October 2006 and November 2008, a total of 1,059 clients were enrolled in HHP. Of those 1,059 clients, **60 CLIENTS (5.67%) ENTERED FAMILY OR INDIVIDUAL SHELTER AFTER THEIR CASES WERE OPENED.**

Broken down by length of time between HHP case opening and shelter entry, 37 clients (3.5%) entered shelter within 1 year of HHP service, another 16 clients (1.5%) entered shelter within 2 years of HHP service, and another 7 clients (0.07%) entered shelter within 3 years. The average time between HHP case opening and shelter entry was 343 days (standard deviation of 234 days).

TIME SINCE HHP SERVICE	# ENTERING FAMILY SHELTER	# ENTERING INDIVIDUAL SHELTER	TOTAL ENTERING SHELTER/1050 TOTAL CLIENTS
Under 1 Year	36	1	37 (3.5%)
Between 1 and 2 Years	13	3	16 (1.5%)
Between 2 and 3 Years	6	1	7 (0.07%)
Total Within 3 Years	55	5	60 (5.67%)

Shelter entry rates also differed by the level of legal services provided. Of all 740 clients receiving brief legal services, 49 (6.6% of brief services clients) ultimately entered a homeless shelter, whereas of the 319 clients receiving full legal representation, only eight (3.4% of fully represented clients) ultimately entered a homeless shelter. See below for the breakdown.

ENTERED SHELTER BY OCTOBER 2009	BRIEF SERVICES	FULL REPRESENTATION
Family — Within 1 Year	33	3
Family — Between 1 and 2 Years	11	2
Family — Between 2 and 3 Years	3	3
Individual Shelter — Within 1 Year	0	1
Individual Shelter — Between 1 and 2 Years	2	1
Individual Shelter — Between 2 and 3 Years	0	1
Did Not Enter Shelter	691	308

For the 60 clients served between October 2006 and November 2008 who ultimately entered a homeless shelter, the length of stay ranged from 1 day to 542 days, with an average length of stay in shelter of 199 days (with a standard deviation of 134 days).

## CHARACTERISTICS OF CLIENTS WHO ENTERED SHELTER

There are a variety of reasons that an HHP client would enter shelter after being served by the HHP program. Anecdotally, HHP staff share that ineligibility for the FEPS grant and subsidy (whether because a family's rent exceeded the FEPS cap, or because a public assistance sanction in the household made the family ineligible for rental arrears) makes it especially difficult to avoid housing loss. Brief services clients that refuse assistance from HHP staff also seem to be at higher risk of shelter. See Attachment J: Characteristics of HHP Shelter Entrants for a full comparison of all HHP clients with those who entered shelter.

The following Client Characteristics, Service Activities, and Legal and Financial Outcomes were *positively* correlated with shelter entry (the pool of HHP clients who entered shelter had a significantly *higher* proportion of these characteristics than the general pool of HHP clients):

**PREVIOUS SHELTER STAY:** Studies of sheltered families have indicated that a prior stay in shelter is an enormous risk factor for future stays in shelter. For HHP clients, the shelter entry rate for clients who previously stayed in shelter was 11% (27 of the 240 clients with previous shelter stays entered shelter). This is an indication that families with prior shelter stays should receive even more ongoing monitoring and services to help them maintain housing stability, even after the legal case has been closed.

**OPEN PUBLIC ASSISTANCE CASE AT INTAKE:** While the receipt of public assistance is an indication of a family's very low income and vulnerability, public assistance recipients are also eligible for several rental arrears grants and housing subsidies for which other clients are not eligible.

**REFERRED OUT TO OTHER SOCIAL SERVICE AGENCIES (OTHER THAN WIN OR HOMEBASE):** Clients with social service needs that could not be addressed by WIN or Homebase were referred to other private social service agencies. Without formal partnerships with these other agencies, HHP did not follow-up with each client's progress

after the close of the legal case. Clients receiving these referrals are most likely more vulnerable than the rest of the HHP population, and perhaps a more formalized referral system could help HHP monitor the clients' housing stability and intervene again, if necessary, before shelter entry.

**LEGAL OUTCOME: UNKNOWN:** When a brief legal services client disengages from HHP before the legal case is closed, HHP staff sometimes do not know (or do not record) the outcome of the case, and utilize "Legal Outcome: Unknown" as the default outcome. This is possibly an indication that the client chose to resolve housing stability without HHP's assistance.

**RECEIVED BRIEF LEGAL SERVICES INSTEAD OF FULL REPRESENTATION:** Although HHP's brief legal services are far more expansive than those provided by other legal service agencies, the shelter entry rate for brief services clients was slightly higher than that for full representation clients.

**APPLIED FOR BUT WAS REJECTED BY FEPS:** In cases where a household's rent exceeds the FEPS cap, or a member of the household has a public assistance sanction, a family is not eligible for the FEPS grant and subsidy, which would help to pay rental arrears and subsidize future rent. For clients ineligible for this, housing relocation or doubling-up with family are their only options, but these are sometimes instable situations that can later lead to homelessness.

Only one outcome was significantly negatively correlated with shelter entry (the pool of HHP clients who entered shelter had a significantly lower proportion of these characteristics than the general pool of HHP clients):

**LEGAL OUTCOME: PREVENTED EVICTION OR HOUSING LOSS:** When HHP is able to prevent eviction and prevent a loss of housing, shelter entry is understandably far less likely, especially during the years immediately following the Housing Court case. In many cases, housing loss is prevented by acquiring a housing subsidy (FEPS, for most HHP clients) which helps to make rent more affordable and housing more stable for low-income tenants.

## **RELATIONSHIP BETWEEN LONG-TERM SOCIAL SERVICES AND SHELTER ENTRY**

To test whether HHP's Long-term Social Service component at Homebase contributed significantly to positive client outcomes, we examined client outcomes for four separate cohorts, depending upon their engagement level with HHP's Long-term Social Services provider. The four cohorts are:

1. Clients receiving only Court-based services, not identified as needing long-term social services (n=908)
2. Clients identified as needing long-term social services and transitioned to Homebase (n=118)
3. Clients identified as needing long-term social services during period of time when no provider existed (n=16)
4. Clients who identified as needing long-term social services but chose not to transition to Homebase (n=27)

**1. CLIENTS RECEIVING ONLY COURT-BASED SERVICES, NOT REFERRED FOR LONG-TERM SOCIAL SERVICES**  
Of the 908 clients not referred for long-term social services, 27 (3%) entered shelter.

The next three cohorts include all clients who were identified as needing long-term social services. The cohorts are divided by the level of long-term social services they received. Of all 151 clients who were identified as needing long-term social services, 13 (8.6%) eventually entered shelter.

**2. CLIENTS WHO TRANSITIONED TO HOMEBASE**  
118 clients transitioned to and received long-term social services from Homebase. Seven of these clients (5.9%) entered shelter. This proportion is similar to the proportion all HHP clients who later entered shelter.

**3. CLIENTS IDENTIFIED AS NEEDING LONG-TERM SOCIAL SERVICES DURING PERIOD OF TIME WHEN NO PROVIDER EXISTED**  
Between July 2007 and January 2008, 16 clients were identified as needing long-term social services but could not receive them due to a transition in long-term social services provider. Three of these clients (19%) entered shelter. This proportion is larger than the proportion of all HHP clients who later entered shelter.

#### 4. CLIENTS WHO WERE REFERRED TO HOMEBASE BUT CHOSE NOT TO ATTEND

27 clients were referred to Homebase but opted not to attend. Three of these clients (11%) entered shelter.

Cohorts 3 and 4, which include clients who were referred for long-term social services but never received them, are very small relative to the entire pool of HHP clients (combined, they represent 3% of the entire client pool). However, six of these 43 clients (14%) entered shelter, a rate higher than the rate for the general HHP pool, 5.8%. By comparing the shelter entry rate for long-term social service participants and those who didn't receive social services, we can isolate the impact of the long-term social services on shelter entry:

For all clients identified as needing long term social services,

5.9% of those who received long-term social services entered shelter

14% of those who did not receive long-term social services entered shelter

The lack of a long-term social service provider to engage clients for a period of time led to an increase in shelter entry of 8% among clients with long-term social service needs.

#### SHELTER ENTRY COMPARISON, FALS CLIENTS

Of all other anti-eviction programs surveyed, the DHS FALS program was the only one to monitor shelter entry as a long-term client outcome. For approximately the same period of client service (NYC fiscal year 2005 through fiscal year 2007), a larger percentage of DHS FALS clients entered shelter before October 2009.

Of FALS clients receiving services from FY05 to FY08:

**12.9% OF FALS BRIEF SERVICES CLIENTS** have entered shelter within 3 years

**4.8% OF FALS FULL REPRESENTATION CLIENTS** have entered shelter within 3 years

In comparison:

**6.6% OF HHP BRIEF SERVICES CLIENTS** entered shelter within 3 years

**3.4% OF HHP FULL REPRESENTATION** clients entered shelter within 3 years

While we do not have detailed client data on FALS clients to compare differences in the client populations, we do know that HHP's entire client population resided in an extremely high-poverty zip code in the South Bronx, while FALS served clients across all boroughs of New York City, which may imply that the HHP client population was at higher risk for shelter entry.

Other differences between FALS and HHP program models:

- Unlike HHP, FALS does not monitor brief services cases. FALS brief services clients receive advice and assistance, and then represent themselves pro se with no ongoing assistance.
- Each FALS service provider does not rely on a team-based approach (utilizing a social worker and paralegals) like HHP does, although staffing models vary between FALS providers.
- FALS providers do not enroll every eligible tenant in their geographic regions, but instead prioritize services for clients for whom an attorney's intervention is necessary to resolve a case. Tenants for whom eviction is inevitable are not enrolled as clients and are immediately referred to external social service agencies.

## COST / BENEFIT OF HHP INTERVENTIONS

In order to accurately measure the success of HHP in preventing homelessness and the resulting cost savings to the City of New York, we must understand what the incurred costs would be if HHP were not provided. For the City of New York, family homelessness's most direct and easily measured cost is associated with stays in DHS shelters. However, it is almost impossible to precisely calculate how many of the families HHP has served would have otherwise become homeless without HHP's services. Even though every family entering DHS shelter provides identifying information about themselves and their family (name, SSN, and birthdate), this information is not currently collected by the Civil Court; therefore, it is difficult to know how many evictions in a given region of NYC resulted in shelter entry. And, it is impossible to know how many residents of zip 10456 who undergo Housing Court proceedings but do not participate in HHP eventually enter shelter.

Even though there is no "control group" with a known shelter entry rate against which HHP could be compared, it is possible to compare HHP's shelter entry rates against that of the FALS anti-eviction program. Because FALS serves approximately 5,000 residents across NYC each year, including many families from the South Bronx, we can make the assumption that, without HHP, much of the HHP client base would be served by FALS. Because the shelter entry rates for FALS are known, they can serve as a de facto "control group." Presumably, the shelter entry rate for FALS is much lower than for tenants who receive no legal services at all during the eviction process, so the comparison between HHP and FALS will result in a very conservative estimate of HHP's benefit and cost savings to the City of New York.

### COSTS OF HHP

Between 2006 and 2008, HHP was funded by two different sources, the United Way of New York City and the NYC Department of Homeless Services.

To calculate the annual costs of running the HHP office, we analyzed the staffing level, salaries, fringe benefits, OTPS, and administrative costs for HHP's three attorneys, one social worker, and two administrative staff, which most likely total approximately \$450,000 (an average cost of \$986 per client). See chart below for a breakdown.

### ESTIMATED EXPENSES FOR HHP, FY 2007-2008

LINE ITEM	AMOUNT
Personnel (Including 30.6% Fringe Benefits)	\$400,000
OTPS	\$30,000
Administrative Costs	\$20,000
<b>Total Estimated Expenses for HHP</b>	<b>\$450,000</b>
Expenses Per Client	\$987

### COST SAVINGS TO CITY OF NEW YORK

In FY 2009, DHS's average per diem cost of sheltering a family is \$105.22. The average length of shelter stay for families in DHS shelters in 2009 was 292 days, and the average cost per family was \$30,724. Therefore, to determine if a prevention method is cost-effective, we have to compare the total prevention program's cost with the product of the cost of sheltering an average family and the number of families that were prevented from entering shelter. To estimate the number of families that HHP prevented from entering shelter, we use the following estimation method: Multiply the number of people HHP served with the likelihood that a family from zip code 10456 answering a petition in Housing Court will eventually enter shelter. Roughly, if:

**[TOTAL COST OF PREVENTION PROGRAM]**

**IS LESS THAN**

**[SHELTER COST FOR FAMILY] X [# FAMILIES SERVED] X [% LIKELIHOOD AN HHP CLIENT WOULD ENTER SHELTER WITHOUT HHP],**

then the intervention resulted in net savings for the City of New York. As mentioned previously, estimating the likelihood that each family will enter shelter is extremely difficult. We first "back into" calculating the number of families that HHP would have needed to prevent from entering shelter in order to save the City of New York the same amount annually as HHP costs. Of the 1,059 HHP clients served between October 1, 2006 and November 30, 2008, 60 (5.6%) entered a DHS shelter since their participation in HHP. How many of the remaining 999 clients would have entered shelter without HHP's assistance? How many of these remaining clients would HHP have had to prevent from entering shelter in order to justify the cost of this prevention program?

**TOTAL ANNUAL HHP COST = [COST OF SHELTER FOR FAMILY] X [# OF FAMILIES PREVENTED FROM SHELTER, IN A BREAK-EVEN SCENARIO]**

**\$450,000 / \$30,724 = 15 FAMILIES**

If HHP can prevent 15 clients annually from entering shelter, the program is breaking-even (receiving the same amount in funding as it saves DHS in shelter costs). **FIFTEEN FAMILIES REPRESENT 3.3% OF THE 456 FAMILIES THAT HHP SERVES EVERY YEAR.**

If we compare HHP’s shelter entry against the FALS shelter entry, considering the FALS rate to be the rate at which HHP clients would enter shelter without HHP services, does HHP prevent 15 families annually from entering shelter? The calculation below indicates that at the FALS shelter entry rates, 111 HHP clients would have entered shelter. After participation in HHP, only 60 entered shelter. This indicates that **HHP IS RESPONSIBLE FOR PREVENTING 51 FAMILIES, DURING PROGRAM YEARS 2006-2008, FROM ENTERING SHELTER.** Program years 2006-2008 span October 1, 2006 to November 30, 2008, or 26 months. Therefore, **HHP PREVENTED 24 FAMILIES ANNUALLY FROM ENTERING SHELTER, EXCEEDING THE BREAK-EVEN POINT OF 15 FAMILIES ANNUALLY.**

	BRIEF SERVICES	FULL REPRESENTATION	TOTAL
Total # Served by HHP	740	319	1059
# Entering Shelter in 3 Years	49	11	60
Shelter Rate	6.6%	3.4%	5.7%
FALS Shelter Entry Rate	12.9%	4.8%	
# of HHP Clients Who Would Have Entered Shelter at FALS Entry Rate	95.5	15.3	110.8
Difference (# Who Avoided Shelter Due to Receiving HHP Instead if FALS)	46.5	4.3	50.8

Considering that the average cost per sheltered family is \$30,724, this indicates that HHP helped the city avoid shelter costs of \$737,376 annually, or \$287,376 more than HHP’s annual expenses. HHP’s return on investment was 64%.

### ADDED VALUE OF HHP PROGRAM COMPONENTS

Besides calculating the savings to the City of New York that can be attributed to HHP’s entire program, we are interested in quantifying the value of two of the most unique components of the HHP program, the on-site social worker and the long-term social service provider (Homebase).

### SOCIAL WORKER COMPONENT: ADDED VALUE CALCULATION

Having a social worker as part of the HHP team enables this program to provide a range of assessments, services, and facilitated referrals to clients in need. But does the added cost of this staff position exceed its benefit? Again, the benefit is measured by the cost-savings to the City of New York, in terms of number of families prevented from entering shelter.

The annual cost of the social worker is estimated to be \$74,171, per the breakdown below.

LINE ITEM	AMOUNT
Social Worker Salary + 30% Fringe	\$65,300
OTPS	\$4,673
Administrative Costs	\$4,198
<b>TOTAL COST</b>	<b>\$74,171</b>

Based on the annual cost of the social worker, if the social worker can prevent just 3 clients a year from entering shelter, then this program component has a net benefit (because  $\$74,741 < 3 \times \$30,724$ ).

One approach to calculating the number of clients prevented from shelter due to the social worker’s presence is to compare the success rate of the attorney in achieving a positive legal outcome with the success rate of the social worker in rehousing each client and preventing a loss of housing. Housing relocation assistance is only a small fraction of what the social worker provides to clients, so it presents a very conservative estimate of the added value the social worker. HHP prevented an eviction judgment for 85.6% of clients, but prevented a loss of housing for 91% of clients. If we attribute that 5.4% difference in success rate to the social worker’s intervention (helping these evicted clients to find new permanent housing), we can calculate the value added by this service, and therefore this staff member. If we assume that 12.9% of all the clients evicted from their homes would have entered shelter without the social worker’s assistance in finding new housing, then this method estimates that the social worker prevented 3 families from entering shelter, saving the city \$92,172.69 The social worker’s net value is \$18,001, reflecting a return on investment of 24%.

<b>SOCIAL WORKER NET VALUE CALCULATION</b>	
# of Total Clients	456
% of Clients Who Lost Eviction Case But Were Rehoused With Social Worker's Intervention	5.4%
# of Clients Rehoused by Social Worker	25
Likelihood That These Clients Would Have Entered Shelter Without Social Worker	12.9%
# of Clients Prevented From Shelter Due to Social Worker's Housing Relocation Assistance	3
Cost of Sheltering These Families (Avg of \$30,724 per Family)	\$92,172
Social Worker Cost, incl. Salary, Fringe, OTPS, Admin Costs	\$74,171
Net Value, Social Worker	\$18,001

In addition to helping evicted clients to find new housing, the social worker provides a range of other services that all contribute to stabilizing clients and lowering their risk for future shelter entry; these services may be even more influential on clients' overall risk for future shelter entry, but they are more difficult to isolate and quantify. Both the social worker and the paralegal also increase the capacity of the attorney, enabling each attorney to take on more full representation cases; their work also increases the program's capacity to provide brief legal services that extend beyond the standard level of brief services that attorneys alone can provide.

#### **LONG-TERM SOCIAL SERVICES COMPONENT: ADDED VALUE CALCULATION**

The transition of some clients to a long-term social services provider is another unique component of the HHP program. Below, we isolate the costs and benefits of this component. The annual cost for Homebase as long-term social services provider is estimated to be \$62,000; a detailed breakdown is below.

LINE ITEM	AMOUNT
Annual Funding to Homebase, FY 2007-2008	\$60,000
Estimated Admin for Legal Aid Society	\$2,000
<b>TOTAL COST</b>	<b>\$62,000</b>

\* funding from UWNYP to Homebase to serve HHP clients

In the Long-Term Client Outcomes section, we found that shelter entry occurs for 14% of HHP clients who are identified with a need for long-term social services but do NOT receive long-term social services. Of the

population that does receive long-term social services, only 5.9% enter shelter. The investment in long-term social services for all clients who are identified as needing it (approximately 70 clients each year) will reduce the forecasted number of shelter entrants from 10 to 4, and those 6 people who would enter shelter without long-term social services would incur a cost of approximately \$184,344. After factoring in the cost of providing these services, the net value added by the Long-Term Social Service Provider is \$122,344, which reflects a return on investment of almost 200%.

<b>LONG-TERM SOCIAL SERVICE PROVIDER: NET VALUE CALCULATION</b>	
Annual # of Clients Identified as Needing LT Social Services	70
% of Needy Clients Who Entered Shelter After NOT Receiving LT Social Services	14%
# of Needy Clients Who Entered Shelter After Receiving LT Social Services	5.9%
Among 70 Clients Needing LT Social Services, Forecasted Shelter Entry Number if No LT Social Service Provider Exists	10%
Among 70 Clients Needing Social Services, Forecasted Shelter Entry Number if LT Social Service Provider is in Place	4
Resulting Reduction in Shelter Entry	6
Cost of Sheltering These Families (Avg of \$30,724 per Family)	\$184,344



# CONCLUSION

By helping its clients achieve positive court judgments, pay rental arrears, and settle with their landlords or find other permanent housing, HHP helps to prevent housing loss and homelessness in the short-term. HHP's success at achieving short-term goals for clients is evidence of the strength of the legal, financial, and social services at addressing the immediate needs and crises of each client. **HHP PREVENTED A LOSS OF HOUSING FOR 91% OF CLIENTS AND PREVENTED AN EVICTION JUDGMENT FOR 86%.**

In addition, HHP's provision of social services impacts both short-term and long-term client outcomes:

**The social worker supports positive short-term outcomes by addressing clients' immediate psychosocial needs** (by providing emotional support to clients receiving brief legal services and representing themselves pro se, providing counseling to clients in distress, or by helping those clients who will inevitably be evicted to find new housing and schools). In this role, the social worker frees up the attorneys' time, allowing them to specialize in resolving the legal case without expending extra effort on the customer services that can support positive legal outcomes.

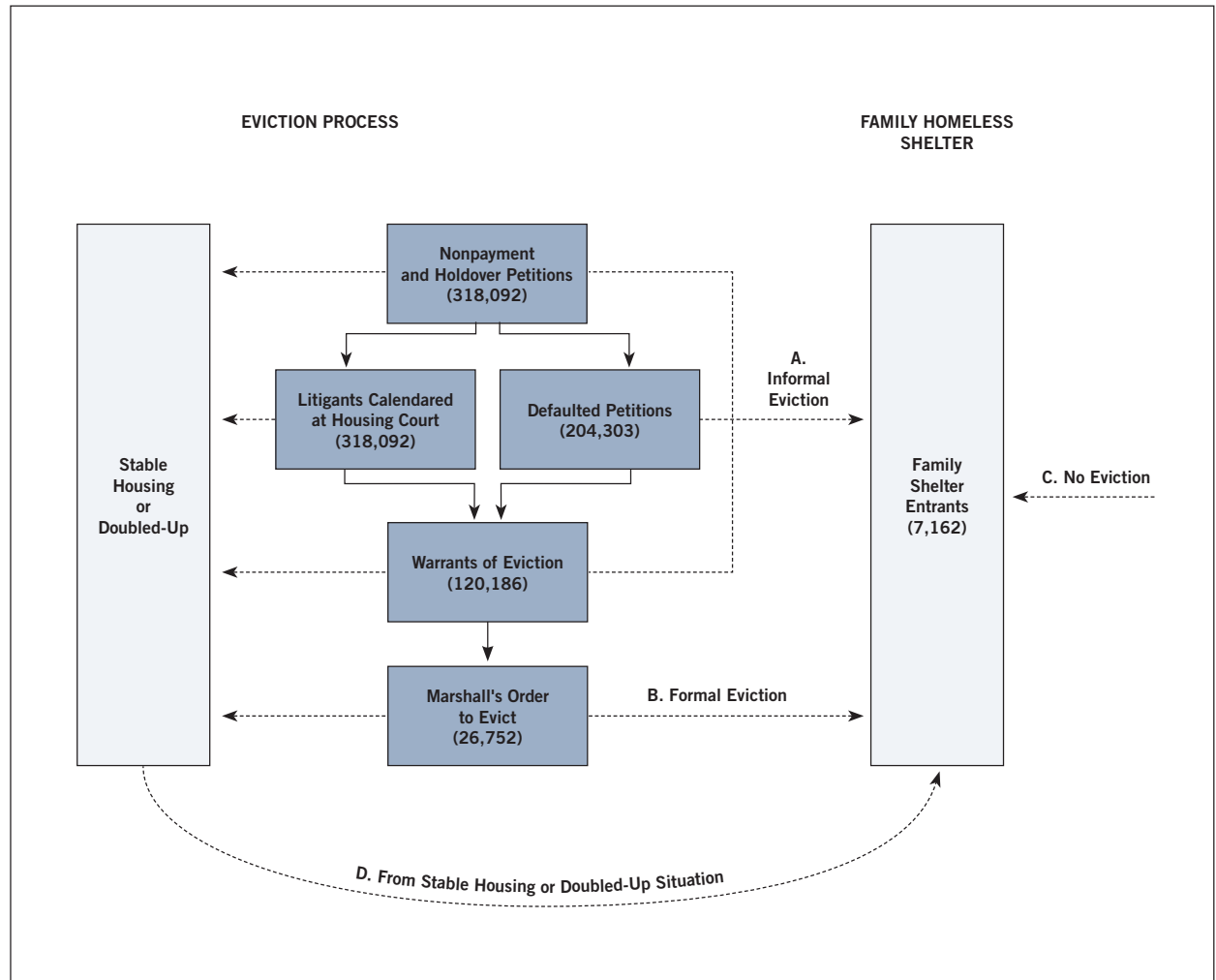
The social worker supports positive long-term outcomes (namely, helping clients avoid eventual homelessness), by **addressing the root causes of their housing instability and connecting them with the supports that can help strengthen their financial and emotional stability.** The social worker also identifies which clients are in need of long-term social services, and connects these clients with Home-base or another specialized service provider.

Despite serving clients from an extremely vulnerable neighborhood of New York City and accepting all eligible families from that area, HHP **helped 94% of its clients to avoid eventual shelter entry.**

These success rates, in comparison with the known shelter rate of tenants who received much lighter-touch interventions, indicate that **HHP is responsible for preventing at least 24 families annually (5.2% of the annual client load) from entering shelter. This results in an annual cost-savings to the City of New York of \$737,376, or \$287,376 more than HHP's annual expense. By this measure, HHP's return on investment was 64%.**

# ATTACHMENT A

## NEW YORK CITY EVICTION FIGURES AND SHELTER ENTRIES



### PATHS TO SHELTER

**INFORMAL EVICTION:** 9% of sheltered families report experiencing an informal eviction (in response to landlord's request to vacate or before the final stages of court-ordered eviction process) in the 5 years before shelter entry.

**FORMAL EVICTION:** 38% of sheltered families experienced a formal eviction (executed by a Marshall pursuant to a court-ordered warrant of eviction) in the 5 years before shelter entry.

**NO EVICTION:** 53% of sheltered families did not experience an informal or formal eviction in the 5 years before shelter entry.

**FROM STABLE HOUSING OR DOUBLED-UP SITUATION:** Families who find stable housing or double-up immediately following the eviction process may still enter shelter within 5 years.

Source for annual eviction figures: NY State Civil Court records for New York City, calendar year 2007.

Source for shelter entry figures: NYC Department of Homeless Critical Activities Report, FY 2007.

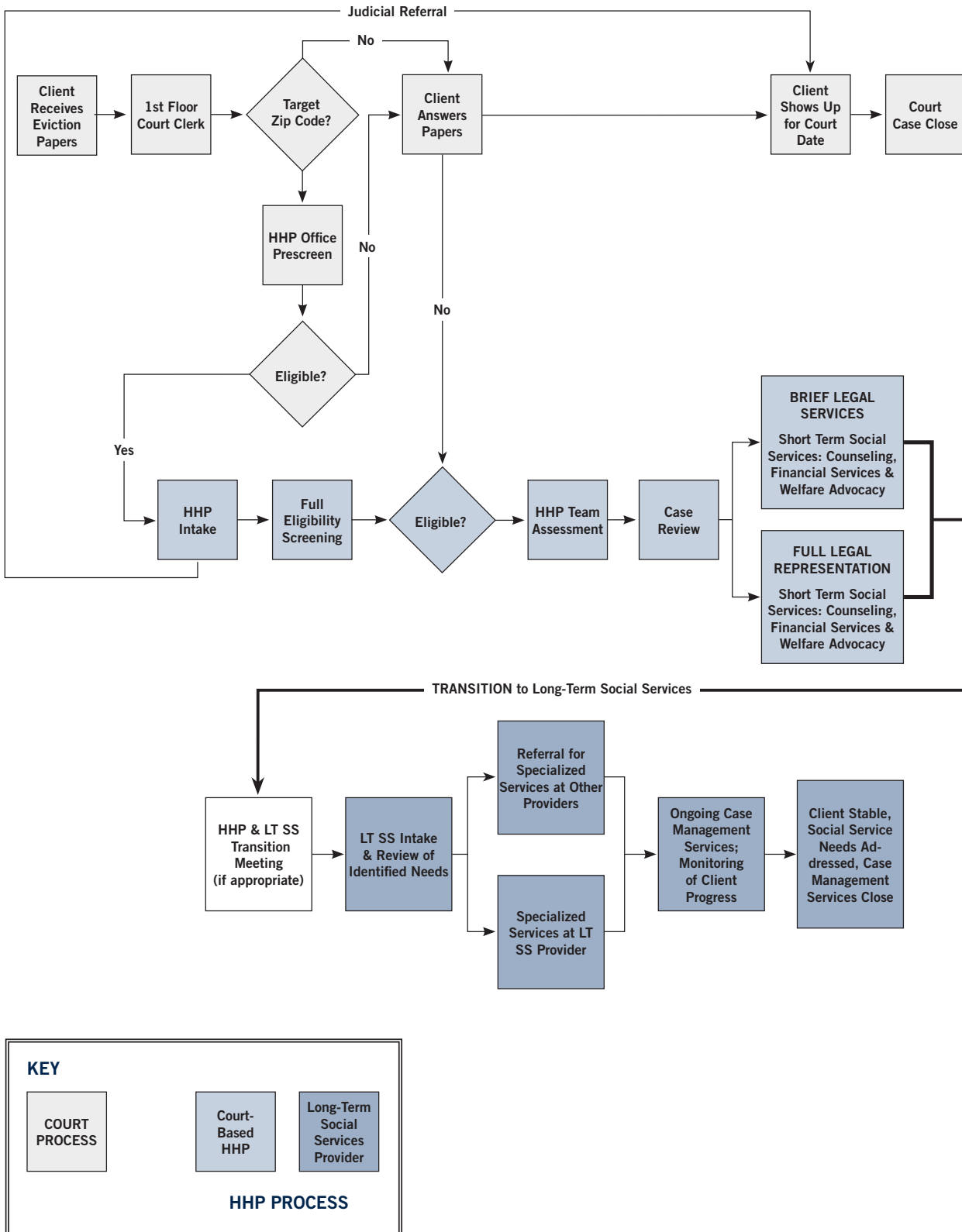
Source for paths to shelter figures: Vera Institute of Justice, Family Homelessness Survey, 2005. X = provides service

/ = systematically provides referrals for service

+ = provides service to a limited degree or only small proportion of clients

# ATTACHMENT B

## CLIENT FLOW



# ATTACHMENT C

## COMPARABLE PROGRAM MATRIX

PROGRAM NAME	SERVICE AREA	SERVES CLIENTS AS EARLY AS 1ST HOUSING COURT VISIT	ELIGIBILITY CRITERIA	BEST PRACTICES	COURT-BASED	HELPS W/ ANSWER?	ACCEPTS CLIENTS W/O LEGAL DEFENSE	BRIEF LEGAL ASSISTANCE	FULL LEGAL REPRESENTATION	FINANCIAL ASSISTANCE	SOCIAL SERVICES SHORT-TERM	SOCIAL SERVICES LONG-TERM	HOUSING RELOCATION	ANNUAL BUDGET	# SERVED /YEAR	STAFFING LEVEL	CLIENT DATA
UWNYC's Housing Help Program	Bronx, NY, 10456	Yes, always	Have child(ren) < 18, income < 200% FPL	Early intervention, comprehensive services	X	X	X	60%	40%	X	X	X	X	\$450K	500	3 attorneys, 2 MSWs, 2 admin	Yes
NYC DHS's Family Anti-Eviction Legal Services	NYC-wide	Yes, in some cases	Open PA/ Medicaid/ Food Stamps case.	High volume, Provision through 23 centers				14%	86%					\$5.5 million	5000	unspecified	Some
King County Bar Association's Housing Justice Project	Seattle, WA	No	Income <200% FPL	Strong management of volunteers, using case database	X			66%	33%		/			\$200K	1200	2 attorneys, 1 paralegal, 30 monthly volunteers	Some
Eviction Defense Collaborative	San Francisco, CA	No	Legal advice: all are eligible.	Assistance w/ eviction papers, brief services, high volume				98%	2%	X	/			\$1 million	2500	4 attorneys, 1 paralegal, 10 volunteers	Some
East Bay Community Law Center's Housing Unit	Oakland, CA	Yes	Income <125% FPL	Coordinated housing & income units. Volunteer-run workshops for 2/3 clients	X	X		16%	16%	/	/		X	\$500K	3800	3 attorneys, 1 paralegal, 1 admin	No
Lawyers' Committee for Better Housing's Attorney for a Day Program	Chicago, IL	No	Income <60% of Chicago's median income	Uses 1 staff social worker to assess 25% of clients and make referrals				0%	100%	+	+			\$200K	300	1.5 attorneys, 2 assistants, 25volunteer 1 MSW	Some
University Settlement's Project Home	Lower East Side, NYC	No	Formerly homeless	Full range of social services, incl after-school programs and mediation							X	X	X				
Community Renewal Team	Hartford, CT	No	All are eligible	Landlord mediation							X	X					

## ATTACHMENT D

### SUMMARY OF YEAR 1 CLIENTS

A cumulative 1,388 clients were enrolled in HHP between the program's launch in January 2005 and November 2008. Between January 2005 and October 1, 2006, 329 clients were served by Legal Services of New York City (before Legal Aid Society assumed program management for the remainder of the pilot). During this time period, HHP served zip code 10451 and did not restrict enrollment to families with children under age 18. Service activity and outcomes data is not available for these clients, but a brief profile of their characteristics is below.

HHP ENROLLED PARTICIPANTS: January 1, 2005 through September 30, 2006		
DEMOGRAPHICS	Year 1#	Year 1%
Clients That Completed Intake	329	
Clients With Children	211	64%
Clients With Less Than HS Education	165	50%
Clients Unemployed at Intake	197	60%
Clients Receiving Public Assistance at Intake	155	47%
Clients With Public Assistance Sanctions	13	4%
Clients Experienced a Prior Shelter Stay	46	14%
Clients That Received Petition of Nonpayment Before	*	*
Clients That Have Been Evicted Before	115	35%
CITIZENSHIP		
Clients Who Are US Citizens	253	77%
Clients Who Are Eligible Aliens	44	12%
Clients Who Are Undocumented	3	1%
Clients For Whom Citizenship Was Not Entered	29	10%
HOUSING SUBSIDIES AT INTAKE		
Clients Receiving Section 8	*	*
Clients Receiving Jiggetts/FEPS	*	*
Clients Receiving Other Subsidy (HSP or NYC Advantage)	*	*
Total # Clients Receiving Any Housing Subsidy		
PRIMARY SOCIAL SERVICE NEEDS IDENTIFIED AT INTAKE		
Clients in Need of Mental Health Services	62	19%
Clients in Need of Substance Abuse Counseling	13	4%
Clients in Need of Domestic Abuse Counseling	21	6%

Since the eligibility and geographic target area for HHP was changed after Year 1, several interesting trends can be noted. The client unemployment rate decreased from 60% to 49%, yet rate of prior shelter stays increased from 14% to 23%. In addition, the proportion of U.S. citizens decreased and the proportion of eligible aliens increased. It is unclear if neighborhood-wide trends are partially responsible for these changes in HHP demographics.

## ATTACHMENT E

### ANALYSIS OF ATTORNEY CAPACITY

With regards to staff capacity, given the amount of time spent on new client intakes, service delivery, and administrative responsibilities, a fully staffed and trained HHP office could theoretically serve 500 clients per year. This assumes that attorney time presents a bottleneck for how many clients can be served annually and that the HHP office is staffed with two attorneys, one supervising attorney, one social worker, one paralegal, and one legal assistant.

ANALYSIS OF ATTORNEY CAPACITY		
ASSUMPTIONS		
# Attorneys (Assuming Supervising Attorney Only Spends 1/3 Time on Direct Client Work)	2.3	Attorneys
% Clients Receiving Brief Legal Services	60%	
% Clients Receiving Full Legal Representation	40%	
# Attorney Hours Brief	1.5	Hours
# Attorney Hours Full	8.7	Hours
# Attorney Hours Each Week on Administrative Responsibilities	7	Hours/Week
# Maximum Working Hours in a Week (Court Office Closes Promptly at 5:30 PM Daily)	35	Hours/Week
# Total # of Attorney Hours Available for Client Work	64%	Hours/Week
$64 = (0.6)(1.5) x + (0.4)(8.7) x$ , where $x = \text{max \# clients/week}$		
Maximum # New Clients Each Week	11	Clients
# Work Weeks / Year	48	Weeks /Year
Maximum # New Clients Each Year	528	Clients /Year

## ATTACHMENT F

### DEFAULTED LEASEHOLDER SURVEY

COMPARISON TO HHP CLIENTS	HHP Clients		Defaulted Leaseholders	
	#	%	#	%
Characteristic				
	1388	100%	48	100%
# Clients with Children	1268	91%	33	69%
# Clients with Less Than HS Education	709	51%	21	44%
# Clients Who Are Unemployed	716	52%	16	33%
# Clients Currently Receiving Public Assistance	625	45%	21	44%
# Clients with Public Assistance Sanctions	58	4%	2	4%
# Clients Who Experienced a Prior Shelter Stay	286	21%	11	23%
# Clients Who Previously Received Petition of Nonpayment	755*	71%*	32	67%
# Clients Who Have Been Evicted Before	115*	35%*	8	17%
# Clients Who Speak Spanish as a First Language	303*	29%*	9	19%
# Clients Who Speak English as a First Language	739*	70%*	35	73%
# Clients Receiving Section 8	239*	23%*	5	10%
# Clients Receiving Jiggetts/ FEPS	133*	13%*	3	6%
# Clients Receiving Other Housing Subsidy	72*	7%*	5	10%

\* For characteristics not collected from the entire pool of clients, % is based on the clients for whom information was gathered.

#### METHODOLOGY

Surveys were conducted between the hours of 11am and 7pm, Monday through Saturday.

- The Survey Team approached a total of 162 residences.
- 85 tenants appeared to be home
- 52 tenants answered the door
- 33 of these tenants completed the survey
- 136 surveys were mailed to Bronx residences
- 62 hours were spent approaching houses and collecting in-person interviews
- 8 hours were spent making and receiving phone calls
- 8 hours were spent on the mailing of surveys
- 1.6 hours were spent per completed survey

6 SURVEYS WERE COLLECTED ON THE PHONE

33 SURVEYS WERE COLLECTED IN-PERSON

9 SURVEYS WERE COLLECTED BY MAIL

32 SURVEY RESPONDERS *DID NOT ANSWER THE PETITION AT THE HOUSING COURT*

16 SURVEY RESPONDERS *DID ANSWER THE PETITION, BUT NOT WITHIN THE 5 DAYS ALLOWED*

#### NOTES ABOUT SURVEY METHODS THAT MIGHT AFFECT POOL OF SURVEYED LEASEHOLDERS:

- The majority of surveying was completed Monday through Friday, which may increase the proportion of unemployed survey responders.
- The Survey Team tried to approach each residence between six and ten days after the tenant was served with a petition of nonpayment, to increase the likelihood of finding the tenant still at the residence (and not already moved out or formally evicted). However, because of slight delays in receiving lists of defaulted leaseholder addresses, some residences were surveyed between 10 and 14 days after the petition was served, at a time when a resident who did not respond or satisfy the landlord would have already been evicted.
- Although the Survey Team was provided with a list of all leaseholders who had defaulted on their petitions of non-payment (by NOT answering these petitions at Housing Court), 33% of all survey respondents had gone to Housing Court by the time they completed the survey. Even though the official time to respond had expired, these leaseholders answered the petition at Housing Court.<sup>70</sup> It is also possible that some leaseholders who had not answered their petitions at the time of the survey would answer them after the survey.
- Other findings about the potential impact of outreach to defaulted leaseholders:
- Home-visit outreach is time-consuming, ineffective, and labor-intensive (especially because, to avoid personal danger to outreach worker, teams of two should be present at every home visit. An average of 21 leaseholders defaulted on their petitions each week during August, and reaching each of them

would require as much as 34 hours (for a team of two).<sup>71</sup> This is not financially feasible for most homeless prevention programs.

- In addition, 19% leaseholders who defaulted on the petition had already paid their debt to the landlord by the time of the survey. Only one person who had already paid back rent actually went to Court to answer before the time of survey. Paying back rent does not relieve the threat of eviction if the leaseholder defaults on the petition, because a landlord can request a Warrant for Eviction even if there is no longer rent owed. For the 81% of clients who had not yet paid rent, it is unclear what proportion would be able to catch up on rent before an Order of Eviction was issued.
- The open-ended answers to “why didn’t you answer the petition at Housing Court?” revealed misinformation about the eviction process, and these misunderstandings could result in negative legal outcomes for the leaseholders. However, this misinformation could be addressed in ways other than providing home-visit outreach.

## ATTACHMENT G

### DEFAULTED LEASEHOLDER SURVEY QUESTIONS

	QUESTION	RESPONSE TYPE	RATIONALE	INSTRUCTIONS FOR SURVEY ADMINISTRATOR
1	Are you the leaseholder at this residence?	Y/N	To confirm identity	If "yes," go directly to question 2. If "no," go to question 1a and 1b.
1a	What is your relationship to the leaseholder?	Open-Ended	For profile, capture extent to which families are doubled-up	
1b	Do you feel comfortable answering questions on behalf of the leaseholder?	Y/N	To facilitate survey	If "yes," continue to question 2. If "no," re-iterate purpose of survey and present postcard to respondent with instructions. Ask for name of leaseholder, and "when would be a good time for me to speak to the leaseholder?"
2	Do you feel comfortable answering questions in English?	Y/N	To facilitate survey	If "yes," continue to question 3. If "no," continue to question 2a.
2a	Do you feel comfortable answering questions in Spanish?	Y/N	To facilitate survey	If "yes," continue to question 3 in Spanish. If "no," continue to question 3 in English, but prepare to end survey after question 5 if communication is impossible.
3	What's your primary language?	Open-Ended	For comparison to HHP clients	
4	What is your name?	First & Last Name	Semi-unique identifier	
5	What's your date of birth?	Open-Ended	Semi-unique identifier	If question is refused, ask for present age
6	How long have you lived at this residence?	Open-Ended	Factor in assessing homelessness risk level	
7	How many children under age 18 do you have?	Open-Ended	For comparison to HHP clients	
8	Do other adults live at this residence with you? How many?	Open-Ended	For profile, capture extent to which families are doubled-up	
9	What's the highest education level you've obtained?	Open-Ended, Use Response to Categorize	For comparison to HHP clients	Gather narrative and choose 1 option from picklist
	A. Grades K-8; B. Some High School, No Diploma (Grades 9-12); C. Ged; D. High School Diploma; E. Technical/Trade School; F. Some College (No Degree); G. Two Year Associate Degree; H. Four Year College Degree; I. Graduate Degree			
10	We received your address because you were recently served a petition of nonpayment of rent. Did you receive this petition?	Y/N		If "yes," present referral sheet, with info about contacting court to gather eviction papers, and skip to question 15. If "no," skip to question 12.
10a	Okay. I understand that your landlord might have filed a petition without properly notifying you. Are you interested in learning about your options for dealing with the petition?	Y/N		If "yes," present referral sheet, with info about contacting court to gather eviction papers, and skip to question 15. If "no," skip to question 12.
11	Do you agree that you owed rent?	Y/N	To provide opportunity for explanation	
11a	What were the circumstances that led to the nonpayment?	Open-Ended, Use Response to Categorize	For comparison to HHP clients	Gather narrative and choose 1 option from picklist
	Non-payment due to sanction on PA; Non-payment due to loss or departure of income provider; Non-payment due to loss of employment income; Non-payment due to loss of housing subsidy; Non-payment due to disrepair of residence; Holdover, other violation of lease; Other _____			
12	Did you respond to this petition at the Housing Court?	Y/N	To confirm non-responsiveness to eviction petition	If "no," ask 12a. If "yes," ask 12b.



## ATTACHMENT H

### HHP TARGETS AND ACTUALS FOR SERVICE PROVISION

BROAD CATEGORIES	SERVICE/OUTCOME	ANNUAL TARGET	YEAR 1	YEAR 2	YEAR 3	CUMULATIVE (#)	CUMULATIVE %	ASSUMPTION
Client Intake	Calendared Leaseholders, Target Zip	2500	595	1128	1747	3470		
	Leaseholders Meeting Eligibility Criteria	1325	368	424	691	2174		
	Intake/ Assessment	500	329	404	456	1189		Number of leaseholders/legal occupants who are assessed
	Regular Intake	85%	60%	98%	92%	1013	85%	Ratio of regular intake versus judicial referrals
	Judicial Referrals	15%	40%	2%	8%	174	15%	
Case Closing	Client Cases Closed During Period		217	115	289	621		
Financial Services	Identified as Needing Financial Services	85%	47%	84%	78%	425	68%	% of closed clients
	Benefit Screening (Take-Up)	95%	46%	95%	88%	462	74%	% of identified clients
	Eligible for at Least One New Benefit	80%	109%	80%	76%	388	84%	% of clients screened
	Application Assistance for at Least One Benefit	75%	75%	64%	82%	278	72%	% of clients found eligible
	Assistance with 1 Shot Program	25%	22%	23%	23%	140	23%	% of closed clients
	Assistance with Feps/ Jiggetts	22%	13%	22%	22%	117	19%	% of closed clients
	Assistance with Pa Sanction Issue	25%	6%	24%	47%	176	28%	% of closed clients
Legal Services	Receive Brief Legal Services	65%	39%	67%	62%	341	55%	% of closed clients
	Receive Full Legal Services	35%	61%	32%	38%	279	45%	% of closed clients
Short and Long-Term Social Services	Receive Court-Based Social Services	100%	76%	51%	48%	364	59%	% of closed clients
	Identified For Community-Based Services	35%	23%	30%	22%	148	24%	% of enrolled clients

# ATTACHMENT I

## HHP TARGETS AND ACTUALS FOR CLIENT OUTCOMES

BROAD CATEGORIES	SERVICE/OUTCOME	ANNUAL TARGET	YEAR 1	YEAR 2	YEAR 3	CUMULATIVE (#)	CUMULATIVE %	ASSUMPTION
Clients Enrolled/ Closed	Number of Intakes	100%	329	404	456	1189		
	Number of Client Cases Closed	N/A	217	115	289	621		
	Financially Stabilized	Enroll for at least one benefit	80%	84%	62%	39%	366	59%
	Receive Rent Arrears Grant (One Shot Deal)	75%	50%	73%	76%	93	66%	% of clients who receive assistance with these programs and receive the benefit
	Receive Feps	50%	48%	100%	92%	98	83%	
	Resolve PA Case Issue	75%	46%	73%	33%	71	41%	
Keep/ Obtain Affordable Housing	Homelessness Prevented	97%	63%	74%	86%	471	76%	% of closed clients
	Eviction Prevented	79%	63%	75%	83%	463	75%	% of closed clients
	Brief Services Clients	70%	51%	67%	87%	199	58%	% of all brief services clients
	Full Representation Clients	95%	82%	84%	77%	224	80%	% of all full representation clients
	Re-Locate to Permanent Housing	5%	0%	7%	3%	17	3%	% of closed clients
	Client Voluntarily Left Housing	N/A	1%	5%	6%	26	4%	% of closed clients
	Client Moved In With Family or Friends	N/A	0%	0%	1%	2	0%	% of closed clients
	Client Went To Shelter	N/A	1%	1%	1%	7	1%	% of closed clients
	Outcome Unknown	N/A	18%	13%	6%	72	12%	% of closed clients
Short and Long-Term Social Service	Good Attendance For Court-Based Social Service Program	75%	50%	77%	68%	393	63%	% of closed clients
	Good Attendance For Community-Based Social Service Program	75%	92%	59%	-	267	81%	% of community-based clients

## ATTACHMENT J

### CHARACTERISTICS OF HHP SHELTER ENTRANTS

Below is a comparison of client characteristics in the general pool of HHP clients and client characteristics among the cohort of HHP clients who eventually entered shelter. Characteristics or service activities with significant correlations with shelter entry are highlighted.

CHARACTERISTICS OF CLIENTS WHO ENTERED SHELTER	ALL HHP CLIENTS (N = 1,059)		ALL FAMILIES WHO ENTERED SHELTER AFTER HHP (N = 60)		
	# HHP Clients	% HHP Clients	# HHP Shelter Entrants	% HHP Shelter Entrants	% Point Diff.
Client Characteristics at Intake					
In Receipt of Section 8 at Intake	239	23%	9	15%	-8%
In Receipt of Housing Stability Plus Subsidy at Intake	72	7%	13	22%	+15%
Open Public Assistance Case at Intake	479	45%	34	57%	+12%
Sanctioned Public Assistance Case at Intake	45	4%	6	10%	+6%
Previous Shelter Stay, at Intake	240	23%	27	45%	+22%
Open Child Welfare Case, at Intake	14	1%	3	5%	+4%
Unemployed at Intake	519	49%	31	53%	+4%
Service Activities, Post-Intake	# HHP Clients	% HHP Clients	# HHP Shelter Entrants	% HHP Shelter Entrants	% Point Diff.
Identified with Any Primary Social Service Need	648	61%	41	68%	+7%
Identified with Mental Health Needs	299	28%	18	30%	+2%
Identified with Domestic Violence Counseling Needs	100	9%	10	17%	+8%
Identified with Substance Abuse Counseling Needs	7	1%	0	0%	-1%
Identified with Needs Related To Children's Education	163	15%	13	22%	+7%
Referred for Social Services (Other Than Homebase)	239	23%	27	45%	+22%
Referred for Long-Term Social Services (Homebase)	160	15%	14	23%	+8%
Received 10 or More Hours of Social Worker Time	42	4%	2	3%	-1%
Received 2-9 Hours of Social Worker Time	418	39%	29	48%	+9%
Received 1 Hour Social Worker Time- Assessment Only	179	17%	11	18%	+1%
Closed Cases	670	63%	42	70%	+7%
Legal and Financial Outcomes	# HHP Clients	% Closed Cases	# HHP Shelter Entrants	% HHP Shelter Entrants	% Point Diff.
Legal Outcome: Prevented Eviction or Housing Loss	580	87%	18	30%	-57%
Legal Outcome: Rehoused Elsewhere	27	4%	3	5%	+1%
Legal Outcome: Doubled-Up	8	1%	0	0.0%	-1%
Legal Outcome: Voluntarily Left Housing	34	5%	7	12%	+7%
Legal Outcome: Attorney Withdrew or Discharged	8	1%	2	3%	+2%
Legal Outcome: Unknown	35	5%	28	47%	+42%
Brief Legal Services	725	68%	49	82%	+14%
Received Assistance Applying for FEPS	166	16%	6	10%	-6%
Receiving FEPS	153	14%	4	7%	-7%
Received Assistance Applying for One Shot Deal	178	17%	11	18%	+1%
Total Receiving One Shot Deal	132	13%	4	7%	-6%
Rejected for One Shot Deal (% of Applications)	46	26%	7	64%	+38%
Successfully Resolved Public Assistance Issue	65	6%	0	0%	-6%
Successfully Acquired Pa Arrears	30	3%	0	0%	-3%

TERM	DEFINITION/ELIGIBILITY GUIDELINES
<b>Advantage NY</b>	Advantage NY is designed to provide short-term rental assistance to shelter residents while encouraging self sufficiency. Advantage NY does not require program participants to maintain active PA cases after securing an apartment and emphasizes the importance of employment. Shelter residents can access Advantage NY through five "doors," each with their own benefits and program requirements: Work Advantage, Domestic Violence Advantage, Fixed Income Advantage, Children Advantage, and Short Term Advantage.
<b>Article 78</b>	Fair hearing decisions by government agencies can be appealed by filing an Article 78 Proceeding at the court. For HHP clients, the attorneys file an Article 78 Proceeding most often for cases in which the Human Resources Administration made a decision about a client's public assistance that the client disagrees with. Article 78 proceedings must be filed within four months of the date the fair hearing decision is received.
<b>Bronx Housing Court</b>	The Bronx-based housing part of The Civil Court of the City of New York for landlord-tenant matters and housing code violations. Located at 1118 Grand Concourse, Bronx, NY 10456.
<b>Child and Dependent Care Credit</b>	The Child and Dependent Care Credit is a non-refundable tax credit based on expenses incurred for the care of a qualifying person. This care must make it possible for the individual to work or to seek employment. This credit is based on a percentage of the amount actually paid for care expenses. For 2008, up to \$3,000 of the expenses paid in a year can be used for one qualifying individual or \$6,000 for two or more qualifying individuals.
<b>Child Health Plus</b>	NYS has a health insurance plan for children, called Child Health Plus. Child Health Plus is available through dozens of providers throughout the state. Eligibility is determined by monthly household income. A household of three people with a monthly income of \$6,104 would pay \$60 per child per month with a maximum of \$180 per family.
<b>Child Tax Credit</b>	A credit given to taxpayers for each dependent child that is under the age of 17 at the end of the tax year. Individuals may take a child tax credit of up to \$1,000 per child.
<b>Department of Homeless Services (DHS)</b>	DHS was established in 1993 and made an independent Mayoral agency in 1999. Since its inception, the work of DHS and its nonprofit partners has primarily focused on providing safe shelter, outreach services and, over the last few years, helping individuals and families transition to permanent housing. DHS also funds homelessness prevention programs such as the Family Anti-Eviction Legal Services (FALS) program and Homebase.
<b>Earned Income Tax Credit (EITC)</b>	The EITC is a refundable tax credit for low-income families and individuals. The credit varies depending on income and number of dependents. In 2008, Earned income and adjusted gross income (AGI) must each be less than: \$38,646 (\$41,646 married filing jointly) with two or more children, \$33,995 (\$36,995 married filing jointly) with one child, and \$12,880 (\$15,880 married filing jointly) with no qualifying children. For tax year 2008, the maximum credit was: \$4,824 with two or more qualifying children, \$2,917 with one qualifying child, and \$438 with no qualifying children.
<b>Eviction</b>	The dispossession of a tenant of leased property by force or by legal process.
<b>Family Anti-Eviction Legal Services (FALS)</b>	New York City's Department of Homeless Services (DHS) funds and oversees the Family Anti-Eviction Legal Services (FALS) program, through which legal services are provided to housing court litigants by seven contracted legal services agencies. The FALS program funds the provision of eviction prevention legal services to 5,000 families across the city each year. The implementation of FALS services differs between service providers.
<b>Family Health Plus</b>	Family Health Plus is a public health insurance program for adults who are aged 19 to 64 who have income or resources too high to qualify for Medicaid. Family Health Plus is available to single adults, couples without children, and parents who are residents of New York State and are United States citizens or fall under one of many immigration categories.
<b>Federal Poverty Line (FPL)</b>	Also known as a "Poverty Threshold." In 2008, the U.S. Census Bureau set it at \$17,165 for a household of three.
<b>Family Eviction Prevention Subsidy (FEPS)</b>	If approved for FEPS, a household can receive up to \$7,000 in arrears payments. The \$7,000 maximum can be increased for extenuating circumstances as determined on a case by case basis. A household will also receive a monthly stipend (as explained below), in addition to the PA shelter amount, for up to 5 years as long as the household remains eligible. The time period can be extended for extenuating circumstances.
<b>Food Stamps</b>	Food stamps help low-income people and families buy food. The maximum income for food stamps for a 3-person family is \$33,874 annually.
<b>HIV/AIDS Services Administration Subsidy (HASA)</b>	Any person who has or has ever had AIDS or HIV symptoms as defined by the NYS AIDS Institute (list available through GMHC Advocacy Helpline) is eligible for services through HASA which may include benefits such as enhanced nutritional, transportation and rent allowances from Public Assistance. HASA also provides housing assistance to those who are homeless or potentially homeless.
<b>Homeless Prevention Fund</b>	The Homeless Prevention Fund is a City Council-funded program that provides emergency financial assistance to low-income households who are unable to secure sufficient assistance through available programs and are at imminent risk of homelessness due to rent arrears. Household income range between \$15,000 and \$30,000 annually with some flexibility for households outside this range. The program is currently funded at \$250,000 a year.
<b>Housing Part</b>	Part of The Civil Court of the City of New York, primarily dealing in landlord-tenant matters and housing code violations. Each Borough Civil Court has several Housing Parts dedicated to specific types of housing court cases, including Housing Parts for repairs issues, military residences, and condominiums.

TERM	DEFINITION/ELIGIBILITY GUIDELINES
<b>Housing Stability Plus</b>	A time-limited housing subsidy that declines in value by 20% each year.
<b>HRA One-Time Emergency Grant (One Shot Deal)</b>	NYC residents may apply for a one-time emergency grant through NYC Human Resources Administration's Department of Social Services. An applicant must meet eligibility guidelines and is subject to investigative review of the application. Emergency grant applicants may obtain rental assistance in cases of impending evictions, assistance with home energy and utility bills, disaster assistance including moving expenses, and the purchase of personal items for health and safety.
<b>Jiggetts</b>	Jiggetts is temporary rent assistance for qualifying people with children who receive public assistance, whose rent is higher than the welfare grant ("shelter allowance"). With Jiggetts relief, shelter allowance may be raised to pay more of the rent, as well as some or all of a tenant's back rent. Once entitled, a welfare center will issue checks for the back rent, and will change the tenant's budget to increase the amount paid to the tenant's landlord each month. Jiggetts was discontinued in 2007, and was replaced by the Family Eviction Prevention Subsidy (FEPS).
<b>Leaseholder</b>	A person who has signed a lease to rent real property.
<b>Legal Aid Society (LAS)</b>	The Legal Aid Society is the nation's oldest and largest provider of legal services to the indigent. Founded in 1876, the Society provides a full range of civil legal services. LAS' core service is to provide free legal assistance to New Yorkers who live at or below the poverty level and cannot afford to hire a lawyer when confronted with a legal problem.
<b>Legal Services of New York (LSNY)</b>	Legal Services of New York is the largest organization devoted to providing free civil legal services in the United States, with neighborhood offices in every borough of New York City. The organization provides free legal help in housing, public benefits, and consumer rights among other issues.
<b>LifeLine</b>	The Verizon LifeLine Program offers discounts on local home telephone service to low-income families. LifeLine only provides discounts on local telephone calls. In New York City, local calls are defined as within the five boroughs: Manhattan, Bronx, Brooklyn, Queens and Staten Island.
<b>Litigant</b>	The active party to legal action in court, seeking resolution of a legal contest by judicial process.
<b>Marshall's Office</b>	The office of an officer of the United States, whose duty it is to execute the process of the U.S. courts.
<b>Medicaid</b>	Medicaid is a social welfare (or social protection) program that serves about 40 million people (as of 2007) and costs about \$330 billion, or 2.4% of GDP, in 2007.
<b>Medicare</b>	Medicare is a social insurance program that serves more than 44 million enrollees (as of 2008). The program costs about \$432 billion (in 2007). Together, Medicare and Medicaid represent 21% of the FY 2007 U.S. federal government. \$23,115
<b>Order of Eviction</b>	A "notice of eviction" is a written notice from a City Marshall that warns you that you and your family can be evicted within the next few days. The notice of eviction is the last court paper that needs to be served on you before you are evicted.
<b>Petition of Nonpayment</b>	If an individual does not pay the rent after the demand for rent is made, a landlord can file a petition of nonpayment against the individual in Housing Court. The petition usually marks the start of in Housing Court legal action.
<b>Public Assistance</b>	Public Assistance, also known as welfare, is a program that provides cash assistance and food stamps to people who have limited or no income. In NYC, public assistance is funded through the federal Temporary Aid to Needy Families grant and dispersed through the NYC Human Resources Administration.
<b>Rent Burden</b>	The rent-to-income ratio used to qualify tenants for both income-restricted and non-income-restricted units. An acceptable rent burden varies depending on the requirements of funding sources, government funding sources, target markets, and local conditions. A high rent burden is typically defined as having over 50% of household income spent on rent.
<b>Section 8</b>	Section 8, also known as the Housing Choice Voucher Program, provides funding for rent subsidies for eligible low-income families for decent, safe, and affordable housing. A household of three people qualifies for the program if they do not exceed the established income limit of \$34,550, and other New York City Housing Authority (NYCHA) eligibility requirements.
<b>Senior Citizens Rent Increase Exemption (SCRIE)</b>	Senior citizen tenants under rent control or rent stabilization may be entitled to an exemption from future rent increases under the Senior Citizens Rent Increase Exemption (SCRIE) Program. When a landlord raises the rent, tenants with SCRIE do not have to pay the increased rate.
<b>Social Security Insurance (SSI)</b>	Supplemental Security Income (SSI) is a Federal income supplement program funded by general tax revenues. It is designed to help aged, blind, and disabled people, who have little or no income and it provides cash to meet basic needs for food, clothing, and shelter.
<b>Unemployment Insurance</b>	Unemployment insurance is temporary income for eligible workers who become unemployed through no fault of their own and who are ready, willing, and able to work. The dislocated worker must have sufficient work and wages in covered employment. The Department of Labor determines whether an unemployed worker qualifies for unemployment.
<b>Women in Need (WIN)</b>	Women in Need (WIN) is a nonprofit in NYC that provides programs such as shelter, supportive permanent housing, training, DV services, alcohol and substance abuse treatment and childcare.
<b>Women, Infants, and Children (WIC)</b>	WIC provides Federal grants to States for supplemental foods, health care referrals, and nutrition education for low-income pregnant, breastfeeding, and non-breastfeeding postpartum women, and to infants and children up to age five who are found to be at nutritional risk.

## ENDNOTES

- 1 Between 1999 and 2003, 11.2% of all homeless families in NYC came from the Community Districts that zip code 10456 spans.
- 2 "Understanding Family Homelessness in New York City: An In-Depth Study of Families' Experiences Before and After Shelter," Vera Institute of Justice, 2005.
- 3 Almost every other legal services program surveyed, including DHS's Family Anti-Eviction Legal Services Program, accepted only clients whose cases could be solved with legal intervention.
- 4 "Housing Court, Evictions, and Homelessness: The Costs and Benefits of Establishing a Right to Counsel," Community Training and Resource Center, 1993.
- 5 DHS Critical Activities Report, 2008, Number of unduplicated families entering shelter in FY 2008.
- 6 A smaller number stay in domestic violence shelters (run by the New York City Human Resources Administration), in shelters serving families who are victims of fires or other disasters (run by the Department of Housing Preservation and Development), and in youth shelters (run by the Department of Youth and Community Development).
- 7 New York City Department of Homeless Services, DHS Critical Activities Report, Fiscal Year 2008.
- 8 New York City Family Homelessness Special Master Panel, Family Homelessness Prevention Report (2003).
- 9 The average length of stay for families is significantly higher than the average stay for single adults, 87 days.
- 10 Homeless Children: America's New Outcasts. (1999) Better Homes Fund.
- 11 Ibid.
- 12 United Way Community Action Plan to Prevent Homelessness (February 2005). <http://www.unitedwaynyc.org/?id=69>
- 13 Ibid.
- 14 Shinn, Mary Beth. "Predictors of Homelessness among Families in New York City." American Journal of Public Health. (1998).
- 15 United Way of New York City, "Community Action Plan to Reduce Homelessness." February 2005.
- 16 Center for an Urban Future. "Between Hope and Hard Times." November 2004.
- 17 Community Service Society. "The Unheard Third." October 2004.
- 18 Vera Institute, 2005.
- 19 Ibid.
- 20 Shinn, 1998.
- 21 Vera Institute, 2005.
- 22 The Bronx neighborhood of Morrisania is Census Tract #013300 and Highbridge is Tract #018900.
- 23 According to Civil Court records, 318,092 petitions were filed in 2007.
- 24 This figure includes those in doubled-up situations where they were not the leaseholder but still suffered the effects of an eviction.
- 25 Vera Institute, 2005.
- 26 The South Bronx includes the following zip codes: 10451, 10452, 10454, 10455, and 10456.
- 27 The shelter entry figures in this chart are for the NYC FY 2007, which ended June 30, 2007. The rest of the figures cover the Calendar Year ending December 31, 2007.
- 28 HHP serves families facing eviction, regardless of whether the family had entered shelter before. Twenty percent of HHP clients experienced a shelter stay prior to enrolling in HHP.
- 29 "Housing Court, Evictions, and Homelessness: The Costs and Benefits of Establishing a Right to Counsel," Community Training and Resource Center, 1993.
- 30 Community Training and Resource Center, 1993.
- 31 "The Efficacy of Unbundled Service Provision: A look at the Low-Income Eviction Project of the East Bay Community Law Clinic," Rachael Knight, 2001.
- 32 Law & Society Review, "The Impact of Legal Counsel on Outcomes for Poor Tenants in New York City's Housing Court: Results of a Randomized Experience," 2001.
- 33 HUD, 2005.
- 34 A National Low-Income Housing Coalition analysis found that there is no county in the United States where a one-bedroom unit at Fair Market Rent is affordable to an individual working full-time at minimum wage. "Out of Reach: Persistent Problems, New Challenges for Renters," National Low-Income Housing Coalition, April 2009.
- 35 Shinn, 1998.
- 36 However, housing subsidies can be difficult to access—and their effectiveness in reducing shelter re-entry may not always be so straightforward. In October 2004, New York City closed a loophole that illustrated some of the unanticipated negative consequences of subsidy access policies. Previously, homeless New Yorkers in shelter were given priority in receiving Section 8 vouchers. As a result, the city's shelter ranks swelled with families—homeless or not—that had flocked to the system as a means of gaining access to Section 8 vouchers. With the per-family cost of housing subsidies so high – governments may spend thousands per year per family – this was not an insignificant use of taxpayer dollars. While subsidies are an important tool in reducing homelessness for truly needy families, they are in such high demand (especially in high-rent cities like New York) that critics worry that vouchers can serve as a disincentive to self-sufficiency. Additionally, subsidies are usually more costly than social services to help a family get back on its feet. Because of this expense, and because demand will almost always exceed supply, housing subsidies are not generally used as a one-size-fits-all solution for homeless or at-risk families.
- 37 "Promising Strategies to End Homelessness," National Alliance to End Homelessness, June 2006.
- 38 Interview, Laura Lane, October 2008.
- 39 Ibid.
- 40 Vera Institute of Justice, "Understanding Family Homelessness in New York City," 2005

- 41 22,037 sheltered families during this time had traceable addresses; 1,961 came from an address in Community Districts 3 or 4. In the Highbridge Census Tract that most overlaps with ZIP code 10456, roughly 71 out of every 1,000 households entered shelter between 1999 and 2003. Vera Institute, 2005.
- 42 US Census 1999 and 2000 Data.
- 43 2005 New York City Housing and Vacancy Survey Data.
- 44 For definitions of key terms, see the HHP Evaluation Glossary, Attachment I.
- 45 In 2008, 200% of the federal poverty line for a family of three is \$35,196 annually.
- 46 For each of the following tables about HHP clients, service activities, and outcomes, the indicators are separated into those clients served in Year 1 and those served in Years 2 through 4 because, between these periods of time, the zip code was changed from 10451 to 10456, the eligibility criteria changed from including single adults and families to only targeting families, and the Legal Services Provider changed from Legal Services of New York City to the Legal Aid Society of New York City. Each year does not represent precisely 12 months. Year 1 extends from January 2005 to March 2006, Year 2 from April 2006 to June 2007, Year 3 from July 2007 to June 2008, and 1st half of Year 4 from July 2008 to December 2008.
- 47 The Furman Center's 2007 State of New York City's Housing and Neighborhoods Report and U.S. Census Factfinder 2000.
- 48 Vera Institute of Justice, 2005.
- 49 That almost 1/3 of HHP clients with prior shelter stays chose not to reveal their shelter history at intake is a notable finding. This suggests that the HHP client base is even more at risk of shelter entry and future homelessness than originally assumed from the self-reported figures.
- 50 Public assistance, or welfare, in New York City is funded by the federal Temporary Aid to Needy Families grant and dispersed through the NYC Human Resources Administration.
- 51 The HHP staffing level varied during the pilot, and at times only included one attorney (in addition to the Supervising Coordinator), at times only one paralegal, and at times two social workers.
- 52 The most common staffing structure for eviction prevention programs is to assign each client to an attorney, who provides full representation and refers the client to other social service agencies for other services. In some cases, paralegals provide assistance to a number of attorneys, but are not a regular part of the client team.
- 53 An Article 78 Proceeding is an appeal to a fair hearing decision in New York State, often filed in the process of overturning public assistance sanctions or another decision by a Department of Social Services.
- 54 Interview, HHP Supervising Coordinator Lauren Donnelly.
- 55 Full legal representation is typically provided when the client: (1) has a history of repair conditions and the landlord has not made the repairs, (2) needs a fair hearing on a PA case, (3) has lost a section 8 subsidy and an article 78 proceeding is necessary, (4) is being sued for the wrong amount of money or there are improper fees being sought, (5) the rent amount is inappropriate or the rent sought is not the tenant portion, (6) a case is a holdover, cannot be resolved by payment, and requires an attorney to fight for tenancy rights, or (7) the client ultimately has no other choice but to move and an attorney is needed to fight for additional time.
- 56 Interview, HHP staff
- 57 See Attachment I: HHP Evaluation Glossary
- 58 Prior to July 2007, the HHP had a formal contract with Women in Need (WIN), a community-based agency that provided long-term social services to HHP clients.
- 59 UWNYP HHP Homelessness Prevention Service Protocol, updated 2007
- 60 The Homeless Prevention Fund is a City Council-funded program that provides emergency financial assistance to low-income households who are unable to secure sufficient assistance through available programs and are at imminent risk of homelessness due to rent arrears. Household income range between \$15,000 and \$30,000 annually with some flexibility for households outside this range. The program is currently funded at \$250,000 a year.
- 61 In total, 1,823 clients were eligible for HHP from this zip code during the pilot period.
- 62 This was due to a change in program; a new service provider was selected, leading to a loss in data.
- 63 A client's case is considered formally closed when the legal case has been completed, although the CTU usually waits an additional month before marking the case as "closed" and recording all final outcomes in the HHP data collection system.
- 64 Interview, Alia Razzaq, Housing Court Systems Administrator. Figure does not include co-ops, condos, or NYCHA cases.
- 65 For details about the path between a non-payment petition and eviction, see page 11, Cycle of Housing Instability.
- 66 The 14 leaseholders who did answer did so in the time between the day the defaulted leaseholder address list was sent from the Court to Seedco and the day that Seedco surveyed that residence.
- 67 The NYC Housing Court has published a thorough guidebook (available on the internet) that explains each step of the Housing Court process, but it is unclear how many people have read it (and also, how many people have understood the detailed instructions about navigating the Housing Court system).
- 68 We restricted the shelter entry check to only measure those HHP clients served between October 1, 2006 and November 30, 2008. We could not check on the shelter entry for the 320 clients served before October 2006, because LSNY (the service provider during the first year) because data were not available.
- 69 We use 10% as the estimate for the proportion of evicted clients who would have entered shelter because 23% of family shelter entries were attributed directly to eviction, according to the 2005 Vera Institute of Justice Study, and of the 10,000 family shelter entries each year, 23% represents 2,300 families who entered shelter after an eviction. There are 25,000 evictions executed by the Marshall's Office each year, and 2,300 is 9.2% of this figure. We therefore assume that 10% of HHP clients who are evicted would enter shelter, if not for the social worker's intervention.
- 70 After the official time to answer a petition has expired (five days after petition is served), the landlord has the option to request a warrant for eviction. However, this rarely happens after only five days, so there is no formal penalty for answering the petition slightly late (unless the landlord or the landlord's attorney is particularly organized and anxious to evict).
- 71 The Survey Team had a 25% success rate in reaching leaseholders who opened their doors or responded to phone calls, and each survey response took an average of 1.7 hours of total survey time.











