



Ombudsperson Call Center Report – Q3 May 1, 2020 – July 31, 2020

STOUT RISIUS ROSS, LLC

Baez, et al. v. New York City Housing Authority (NYCHA),

No. 13-cv-8916 (WHP)

Table of Contents

- I. Executive Summary 4
 - A. Factors Necessary for Continued Success 7
 - B. Complaint Metrics 10

- II. Factors Necessary for Continued Success 13
 - A. NYCHA’s Responsiveness to OCC Complaints..... 13
 - OCC Interactions with MRU 13
 - Overall Responsiveness with NYCHA Stakeholders 15
 - B. Need for Effective, Empathetic Resident Communication..... 17
 - C. Transparency and Individual Accountability are Necessary to Effectuate Culture Change
19
 - D. Critical NYCHA Resource Constraints Necessary to Overcome to Ensure the Continued
Success of the OCC 23
 - E. Effective Use of Vendors..... 25
 - F. The Commitment to Data Strategy, Individual Accountability at NYCHA, Collaboration
and Resident Engagement Creates Significant Opportunities for Improvement 26
 - G. Short-term Solutions for Capital Repairs..... 27
 - H. Continued Awareness of the OCC 27

- III. OCC Notable Activities 31

- Appendix A - OCC Resident Complaint Metrics in Q3 33
 - A. Reported Complaints 33
 - B. Resolved Complaints 35
 - C. Unresolved Complaints..... 36

- Appendix B - OCC Operation Overview 37

- Appendix C – NYCHA’s COVID-19 Guidance..... 40

- Exhibit 1 – OCC Resident Complaint Examples 41
 - A. Brooklyn Residents 41
 - B. Manhattan Residents 41
 - C. Queens and Staten Island Residents 42
 - D. Bronx Residents 42
 - E. Mixed Finance Residents 43
 - F. NGO-1 Residents 43
 - G. OCC Before and After Examples 44

- Exhibit 2 – OCC Metrics (Q3 – May 1, 2020 – July 31, 2020) 45
 - A. Ticket Summary 45
 - B. Tickets by Geography 47
 - C. Ticket Metrics 49
 - D. Resolved Tickets 51

E. Unresolved Tickets	52
F. Call Metrics.....	55
Exhibit 3 – OCC Outreach Examples	57
A. OCC Flyer.....	57
B. MyNYCHA Kiosk	58
C. MyNYCHA App Notification.....	59
D. NYCHA Mold Busters Mold Inspection Review Form	60
E. NYCHA Mold Busters Website.....	61
F. Email Notification.....	62
G. NYCHA Intergovernmental Newsletter	62
H. Social Media Posts	63
The NYCHA Journal	63
Facebook.....	64
Twitter.....	65
Instagram.....	66

On April 17, 2014, Judge William H. Pauley of the United States District Court for the Southern District of New York (the “Court”) approved a consent decree obligating NYCHA to abate mold and excessive moisture and their root causes in a timely and effective manner (the “Consent Decree”). In July 2018, the Court approved the Revised Consent Decree, which among other things, included the appointment of an independent Ombudsperson.

On September 20, 2019, the Court appointed César de Castro as the Ombudsperson. Mr. de Castro has been approved to serve in this role through December 31, 2020, to address NYCHA residents’ complaints about leak, mold and excessive moisture repair orders. Included in the Order, the Court also appointed and directed Stout Risius Ross, LLC (“Stout”) to operate the Ombudsperson’s call center (“OCC”) for a period contemporaneous with that of the Ombudsperson’s appointment and to file quarterly reports with the Court.

The OCC and the Ombudsperson, working collaboratively with the Baez Plaintiffs, plaintiff organizations, the Special Master, the court-appointed Independent Data Analyst (“IDA”), the court-appointed Independent Mold Analyst (“IMA”) and NYCHA (collectively herein as the “Parties”), has been successful in its efforts to assist NYCHA residents with mold and leak related complaints and identify opportunities for systemic operational change at NYCHA. On July 14, 2020 the Court appointed James C. Francis IV as Special Master to assume the duties previously undertaken by Professor Francis McGovern. The OCC was developed to assist residents in situations where their mold and leak related complaints were not being adequately addressed or resolved by NYCHA. NYCHA residents can now reach an independent party which offers effective and empathetic listening, proactive communication and timely case management to ensure their complaint is addressed. Throughout this process, the OCC seeks to have resident complaints promptly resolved by NYCHA and works with NYCHA to use OCC resident complaints as opportunities to refine and transform its culture and operational responses.

The OCC launched on November 4, 2019. This report provides an update and overview of the OCC operations, activities and call center metrics for the third reporting period from May 1, 2020 through July 31, 2020 (“Quarter 3” or “Q3”).

Pursuant to the Court’s September 20, 2019 order, this report is filed independently from the Ombudsperson.

I. Executive Summary

On March 12, 2020, New York City Mayor, Bill de Blasio, declared a state of emergency in response to the COVID-19 pandemic which remained in effect during the duration of Q3. During the COVID-19 pandemic NYCHA revised its work order guidelines for remediation of resident reported mold and emergency leak complaints.¹ Despite the COVID-19 pandemic, NYCHA was committed to continuing its operations to service resident reports of mold and severe leaks and the OCC remained open. As of July 1, 2020, the OCC became operational across the entire NYCHA portfolio.²

As of July 31, 2020, the OCC has assisted over 2,200 NYCHA households with mold and leak related complaints.³

- A total of 525 resident complaints have been fully resolved.
- A total of 1,617 resident complaints remained open and in the process of being resolved through the completion of necessary repair work.
- The OCC has had over 7,300 phone calls with residents to ensure their concerns are being properly addressed, which is an overall average of 3 calls per resident.
- OCC Client Experience Example – *The OCC received a complaint from a resident regarding an on-going mold issue throughout the entire apartment since 2017. The resident noted that their child suffered from asthma and they could no longer live in these conditions. The OCC reviewed NYCHA's work order information for this unit and conducted a virtual inspection. The OCC escalated this complaint to NYCHA MRU and requested a leak investigation be conducted. The results of the investigation identified that the mold was caused by roof and façade issues (this resident was located on the top floor of the building). The remediation plan required work to the roof, façade, and remediation to several rooms within the unit. Due to the extensive work required, the General Manager's office and the Compliance office assisted the OCC with providing the resident with a temporary relocation and ensuring that the family could return to her original apartment once the work was completed. NYCHA facilitated the relocation, has been providing the resident with updates regarding the progress of the work, and is on track to have the resident back in the original apartment in Q4. The resident reported that she had gone through several channels to try and seek help and was grateful for contacting the OCC and everyone that played a role in helping her family.*

Many of the complaints received by the OCC (throughout all 5 boroughs) have involved reports of severe conditions and/or lack of proper repair work.

- These include unresolved on-going leaks and/or severe mold, often times resulting in deteriorated walls, pest infestations, and unhealthy living conditions.
- In many of the reported complaints, residents were left with non-operational or missing components of the apartment such as sinks, cabinets, toilets, and/or showers or exposed holes in the wall due to wall breaks required to repair a leak.

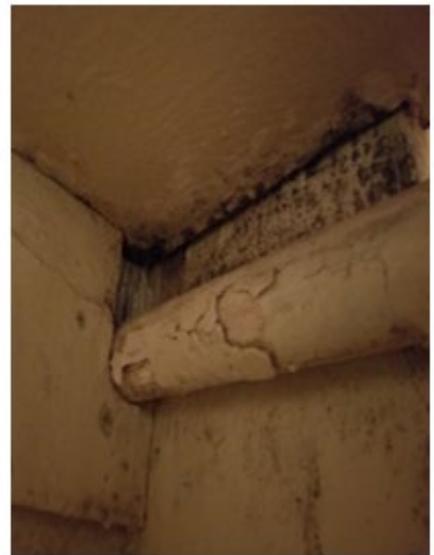
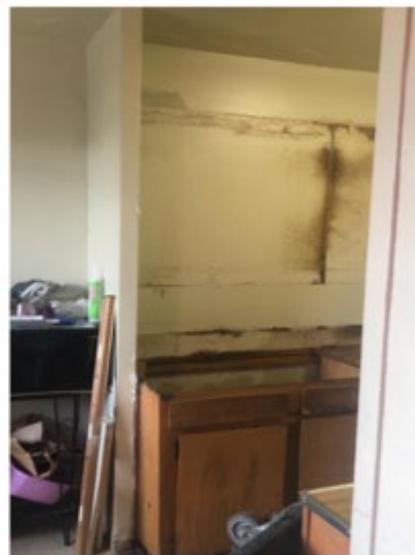
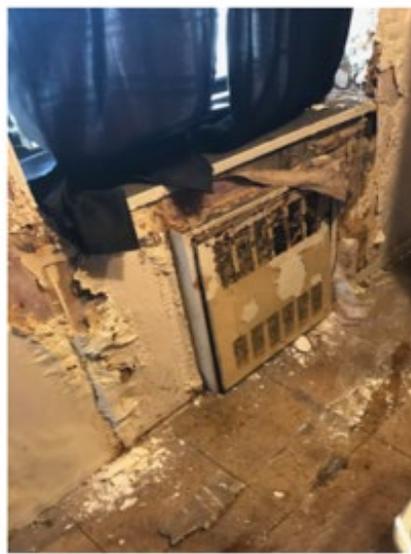
¹ Refer to Appendix C for more information regarding NYCHA's COVID-19 guidance in relation to mold and leak work order remediation.

² During the quarter, the OCC successfully completed the phased portfolio-wide launch in Queens, Staten Island, the Bronx and Brooklyn, accounting for the remaining 55% of the portfolio that was not yet activated in Q2.

³ Some complaints may involve more than one household. In Q3, the OCC received 1,651 new complaints from residents regarding mold or leak-related issues (of which over 70% were created in July) and fully resolved 275 of them.

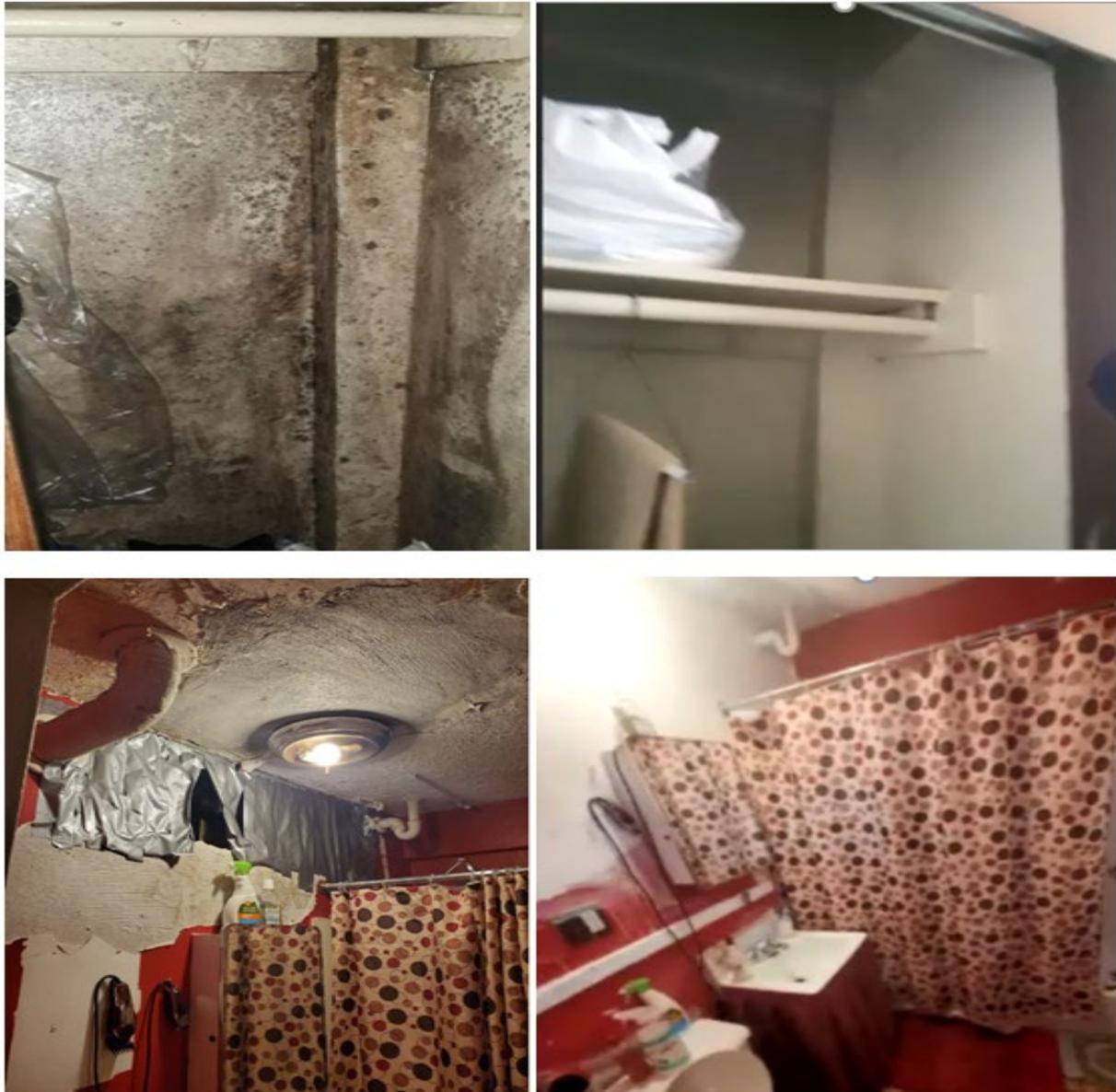
- The OCC has found that many (if not most) of the complaints received require substantial repair work that requires scheduling of several of appointments, follow-up communication, and quality assurance checks to ensure the work was successfully completed.
 - The fact that the OCC and Ombudsperson are independent of NYCHA has enabled the OCC to overcome resident skepticism or fear arising from past experiences with NYCHA and ensure accountability by NYCHA to conduct the proper repair work. This independence from NYCHA has been and will continue to be an important element of the success of the OCC.

Please see below for examples of the conditions for resident reported complaints in Q3 for when they first contacted the OCC. Progress has been made on each of these complaints, and therefore these pictures do not reflect the current conditions.⁴



⁴ Please refer to **Exhibit 1** for additional pictures.

Please see below for examples of before and after pictures for resident complaints that were resolved in Q3.



César de Castro, the Ombudsperson, has been actively involved and instrumental to the success of the OCC. Mr. de Castro has been able to effectively communicate the significance of his appointment, the obligations he has under the Consent Decree, and the actions he can take if NYCHA does not use its best efforts to resolve resident complaints to the OCC. In Q3, the Ombudsperson has emphasized the need for prompt responses from the development staff to assist and aid in the scheduling and completion of the necessary repair work. Additionally, he has participated in dialogue with NYCHA regarding staffing limitations and impacts due to COVID-19 and need for proactive communication with residents to set reasonable expectations of repair activity.

A. Factors Necessary for Continued Success

The factors necessary for continued success of the OCC, as summarized below, have remained consistent from prior quarters, with progress made in some areas during Q3, despite COVID-19 setbacks. Based on the OCC's Q3 operations, the continued success of the OCC will depend on NYCHA's ability to:⁵

- a) Provide a continuous level of prompt, detailed, resident-focused responsiveness to all complaints reported to the OCC. This will require allocation of additional resources to NYCHA's Mold Response Unit ("MRU") to meet the demand of portfolio-wide expansion as well as an increase in responsiveness of various NYCHA stakeholders to MRU requests;⁶
 - In Q3, MRU has demonstrated a commitment to resolve OCC's resident reported complaints but there has been a decline in MRU's ability to timely respond to the OCC due to a higher than expected number of complaints and lack of responsiveness at some developments, which was amplified by the ongoing MRU resource constraints (due to COVID-19).
 - In Q3, there were no resident complaints that required the Ombudsperson's action. However, there were several complaints that involved the Ombudsperson's review due to the nature of the complaint and/or the severity of the situation. Through internal escalations, NYCHA promptly attended to and resolved each of these complaints, preventing the need for the Ombudsperson to take action. However, MRU has indicated that there has been a decline in responsiveness at some developments (from the development staff, skilled trade staff, and/or property leadership staff) requiring substantial efforts and follow-up communication (including internal escalations) to receive the information needed, that may require the Ombudsperson to take action in Q4, if not addressed. This lack of responsiveness by the developments has amplified the MRU resources complaints and created additional oversight and involvement from the OCC.
 - In Q4, the OCC is hopeful that there will be an increase in responsiveness of MRU and of the developments based on plans developed and implemented and through MRU's continued support and oversight, that cultural and operational changes will continue to take effect resulting in more effective communication with residents (and within NYCHA) and continued improvement in the accountability and commitment needed to ensure proper repair work is completed and addressed promptly.
- b) Evolve to a more customer-centric culture through increased communication with residents regarding root cause issues, remediation plans and scheduling of work;
 - The vast majority of complaints in Q3 (consistent with past quarters) arose, at least in part, from a prior lack of adequate communication between NYCHA and the resident.
 - In Q3, for complaints brought to the OCC, we observed NYCHA's difficulties to effectively communicate with residents in regard to providing information and clarity regarding scheduling of repair work, relocations and reasonable accommodation requests; addressing resident complaints regarding missed appointments or unsatisfactory work; and recording resident satisfaction.

⁵ Please refer to Section II for further information on each factor discussed below. OCC observations are based on interactions with residents and various stakeholders within NYCHA in regard to OCC complaints, where there has already been a breakdown in the remediation process between NYCHA and the resident.

⁶ In October 2019, NYCHA's Office of Mold Assessment and Remediation ("OMAR") developed the MRU as a specialized task force to oversee all complaints received by the OCC and to ensure successful resolution and closure.

- In Q4, the OCC is hopeful that there will be an increase in effective, empathic resident communication based on plans developed and implemented, for residents who have filed a complaint with the OCC. The OCC and Ombudsperson will continue to collaborate and aid MRU to improve communication with residents (and those performing and scheduling the repair work).
- c) Increase oversight of work order activity to ensure that standard procedures are being followed and proper remediation steps are being taken through on-going training and staff development;
 - In Q3, the OCC observed limited progress in NYCHA's ability to increase oversight of work order activity to ensure that standard procedures are being followed and proper remediation steps are being taken through on-going training and staff development. The OCC observed substantial efforts taken by MRU to work with the development staff for OCC complaints to ensure proper inspection(s) were conducted, the complete remediation plan was created (and scheduled in sequence), that the root cause and other notes (including pictures) were recorded in the data system, and conformation that the appropriate work was completed. It is our understanding that many of the opportunities and initiatives (outlined below) were de-prioritized due to COVID-19.
 - In Q4, the OCC is hopeful that there will be an increase in individual accountability to conduct the proper remediation steps which will lead to increased resident satisfaction and a decline in new OCC reported complaints.
- d) Prioritize the completion of the Leak Standard Procedure to properly identify and repair complex leaks;
 - In Q3, the OCC continued to request a large number of leak re-inspections to determine root cause and ensure the appropriate remediation plan is created. The OCC has found that the necessary investigation and remediation required for these complaints take a very long time for NYCHA to repair which amplifies staffing constraints.
 - In Q4, the OCC is hopeful that progress towards the implementation of the Leak Standard Procedure will improve NYCHA's ability to properly identify and repair complex leaks and reduced the need for re-inspections.
- e) Retain additional resources to remediate mold and leak complaints promptly including maintenance workers and skilled trade resources such as plumbers, painters, and carpenters;
 - In Q3, the OCC observed limited progress in regard to NYCHA's ability to retain additional resources including maintenance workers and skilled trade resources such as plumbers, painters, and carpenters due to COVID-19.
 - In Q4, the OCC is hopeful that there will be an increase in addition resources available to meet the demand of open work orders.
- f) Proper prioritization and remediation of mold and leak related work orders that are not able to be addressed within the COVID-19 work order guidance that will have to be scheduled and repaired when the work order guidance is lifted;
 - In Q3, the OCC was informed that NYCHA was in the process of developing a prioritization plan (with the assistance of the court-ordered IDA) to address the open work order back-log that will have to be scheduled and repaired when the COVID-19 work order guidance is lifted. The OCC observed that in some situations NYCHA was completing leak parent and child work orders that were considered to be outside of guidance (such as non-emergency leaks, tub enclosures, etc.).
 - In Q4, the OCC is hopeful that NYCHA will implement its plan to prioritize the scheduling and repair activity for the open mold and leak work orders with adequate resources and utilize virtual inspection technology to ensure efficient use of current staffing available.

- g) Effectively use vendors (and have the appropriate contracts in place) to overcome temporary staffing constraints;
 - In Q3, the OCC observed continued vendor backlogs, particularly as a result of COVID-19 and the levels of open long-term pending work orders. In addition, the OCC observed that vendors can take a very long period of time to conduct the necessary repair work due to scheduling independent inspections and the creation of approved scope of services (and associated costs). It is our understanding that NYCHA plans to increase the use of vendors to expedite the timeline to conduct work.
 - In Q4, the OCC is hopeful that there will be an increase in the use of vendors to effectively assist NYCHA to overcome temporary staffing constraints.
- h) Maintain a commitment to data strategy, individual accountability, collaboration and resident engagement with a continuous pursuit of opportunities for improvement;
 - In Q3, OMAR was committed to work with the court-appointed IDA to identify and implement various data enhancements and/or revisions that have been identified through the OCC's resident engagement, findings from detailed work order reviews, and collaboration with various internal and external stakeholders.
 - In Q4, the OCC is hopeful that NYCHA will invest in new initiatives to reduce OCC complaints and develop data strategies to develop operational processes and procedures for increased improvement and oversight.
- i) Properly address resident recurrence complaints associated with capital needs repairs (e.g., roof repairs, façade or exterior brickwork repairs) and develop interim solutions to ensure the health and safety concerns raised by the residents and reduction of duplicative work currently required by NYCHA.
 - In Q3, MRU worked with the developments with capital repair needs to develop interim solutions to ensure the health and safety of the residents and the creation of a monitoring process to ensure that the interim solutions are sustainable until the capital repairs are completed. These are often very complex complaints with severe conditions, that have been most positively impacted by the OCC operations and MRU's efforts.
 - In Q4, the OCC is hopeful that NYCHA will conduct further analysis of all mold and leak work orders affected by capital repairs and offer residents of those buildings with interim solutions to ensure the health and safety concerns are proactively addressed.
- j) Continuing to raise awareness of the OCC to all residents using multiple communication channels, with frequent distribution;
 - In Q3, there NYCHA improved its efforts to raise awareness of the OCC using multiple communication channels and frequent distribution. However, there was also numerous instances when NYCHA did not communicate about when outreach was distributed and instances when the outreach used included messaging inconsistent with the message agreed to between NYCHA, the Ombudsperson and the OCC (such as not indicating that the OCC can receive complaints for both leaks and mold).
 - In Q4, the OCC is hopeful that NYCHA will continue to raise awareness of the OCC to all residents using multiple communication channels, with frequent distribution, while providing advanced notice and use of only approved materials based on plans developed and implemented. NYCHA must continue to communicate to residents that the OCC and the Ombudsperson are independent of NYCHA and is an outlet for residents who are not satisfied with NYCHA's efforts.

If NYCHA has the ability to make progress on all of the factors summarized above, it will be able to effectively reduce the number of resident reported complaints. This will require substantial effort by NYCHA to better serve residents through effective resident communication, individual accountability and commitment to conduct the proper repair work (including effective and appropriate use of vendors to overcome staffing limitations or complex repairs) and a commitment to operational oversight via data strategy and operational processes.

B. Complaint Metrics

The OCC became available to NYCHA's borough groupings in Queens and Staten Island on May 1, 2020, the Bronx on June 1, 2020, and all of Brooklyn on July 1, 2020. Please refer to **Appendix A** of this report for further details regarding complaint volume, distribution, timing and related metrics.⁷ However, below are key observations from Q3:

- Resident reported complaints increased by over 350% in Q3 due to the completion of the portfolio-wide launch and enhanced outreach efforts (described below). There were 1,892 resident complaints serviced (1,651 resident complaints created in Q3 and 241 opened in prior quarters) in Q3, of which 275 were resolved in the quarter and 1,617 remained open or on-hold at the end of the quarter.
 - Of the 1,617 complaints remaining open, 1,254 (or 78%) had work performed or was awaiting an inspection by NYCHA as of the end of the quarter.
 - There were 1,183 resident complaints created in July (which accounted for over 70% of all complaints created in Q3), of which nearly 600 (or 50%) were created within the last two weeks of the month and reporting period.
 - This influx of ticket activity was higher than originally anticipated. While NYCHA committed to conducting additional outreach, a lack of advance communication from NYCHA's department of communication regarding these planned outreach activities created an unexpected increase in ticket activity. As a result, there has been some delay in processing tickets in the last two weeks of the quarter and there will be temporary modification to the intake timing in the first few weeks of Q4 (as discussed in more detail below).
- There were nearly 5,000 calls (inbound and outbound) between residents and the OCC in Q3 (over 160% increase since Q2), with an average of 5 calls per complaint (with activity in Q3). The average number of calls per complaint increased by 25% compared to Q2 due to (in part) staffing limitations for NYCHA's Resident Coordinators (referred to as "RC" or MRU) available to meet the increased demand of active tickets, which NYCHA has been actively working to address (as described above).
- Resident reported missed appointments by NYCHA for OCC tickets declined to 4% (or 83 complaints) in Q3 (compared to 19% (or 75 complaints) in Q2), which is due in-part to the RC's new process (instituted in Q2) to notify both the resident and the development of the upcoming scheduled appointments, and proactively re-schedule, if needed.

⁷ Data collections efforts and data fields for population were revised in Q3 and therefore may not always be comparable to prior quarters.

- Of the 1,617 open complaints, 13% were placed on-hold indicating that the mold and/or leak remediation work has been completed and the only remaining work remaining is outside of NYCHA's current work order guidance due to COVID-19 (e.g., painting).
 - It is our understanding that in Q4, OMAR is considering the use of vendors to conduct the repair activity for open work orders with paint work remaining.
- Over 55% of all reported complaints involved a leak work order ticket (consistent with Q2).
- This is an indication of the importance for NYCHA to finalize its Leak Standard Procedure to properly identify and repair complex leaks, retain specialized plumbers trained to identify such leaks and offer additional training to the staff on how to conduct and repair required wall breaks. In addition, this also reinforces the need for consideration of capital investments needed to address larger scale building deficiencies giving rise to leaks. Over 60% of all reported complaints involved a mold work order ticket (compared to 49% in Q2).
 - This is a higher proportion than the overall work order volume at NYCHA and is an indication of the importance for NYCHA to ensure effective mold remediation, resident communication for residents living in units with natural ventilation via windows (rather than forced air via mechanical ventilation), and the importance of NYCHA's prioritization of its planned ventilation systems upgrade work including the replacement of roof fans and cleaning of the lateral lines. However, the portion of mold complaints is to be expected given the increased outreach and awareness of OCC services for residents whom create a mold ticket (rather than leak), as discussed below.
 - Since the OCC launched, there have been nearly 170 OCC complaints that involved poor ventilation in inspection findings for complaints of mold in the bathroom.
- Of the 275 resolved complaints, the overall average number of days to resolve a complaint was 29 days.
 - Nearly 10% of all resolved complaints were closed within 24 hours, 32% within one week, 23% within a month, and 35% over 30 days.
 - Resolved complaints that required extensive repairs or relocation took on average between 45 and 95 days. Resolved complaints involving a combination of both leak and mold work required the longest period of time to resolve (on average 66 days). Many of these complaints required leak inspections to identify the root cause (involving other units within the building) and remediation activities that included multiple skilled trade workers (e.g., maintenance, plumber, plaster) to complete the repair.
- The reported complaint type varied from simple issues (such as resolving a resident's complaint regarding a scheduling date or needing assistance with opening a mold or leak work order) to complex issues (such as severe leaks that required multi-day, multi-unit investigations) or complaints requiring work in several rooms of a unit (e.g., bedroom, bathroom, kitchen, foyer, etc.).
 - In Q3, there were several complaints that required residents to be relocated or have extensive repair work conducted to resolve their complaints (e.g., replacement of cabinets in kitchen, replacement of bathroom tub enclosures, and repairs to walls as a result of wall breaks required).
 - There were 5 complaints where the residents were relocated in the quarter and 4 additional complaints where the resident was awaiting or confirming relocation as

of the end of the quarter. The OCC has observed that residents often prefer to not be relocated. The OCC works with NYCHA to try to develop a remediation plan that fits the needs of the resident while ensuring their health and safety.

- The OCC conducted over 50 virtual inspections for OCC complaints, NYCHA and/or the court-appointed IMA.
 - The OCC conducted 17 virtual inspections in Q3 for OCC complaints and has found that conducting virtual inspections helps in expediting remediation work in the apartments, particularly those that require extensive repairs.
- NYCHA reported that at the end of Q3, there were nearly 45,000 open mold and leak parent work orders and 60,000 open mold and leak work orders (parent and child), of which nearly 25% were within the work order guidance and 75% were outside the work order guidance. Of these work orders, nearly 60% had been opened for over 15 days as of the end of the quarter. The OCC will continue to be an essential resource for NYCHA residents over the next quarter to help ensure that those in the most need of extensive repair work are getting the attention and oversight needed.

II. Factors Necessary for Continued Success

A. NYCHA's Responsiveness to OCC Complaints

NYCHA needs to provide a continuous level of prompt, detailed, resident-focused responsiveness to all complaints reported to the OCC. This will require additional MRU resources to meet the demand of portfolio-wide expansion as well as an increase in responsiveness of various NYCHA stakeholders to MRU requests.

As discussed above, the OCC was developed to assist residents in situations where their mold and leak related complaints were not being adequately addressed or resolved by NYCHA. The OCC interacts directly with NYCHA's MRU to assist in the facilitation and scheduling of inspections, the creation of the remediation plan, and scheduling of the repair work. For all OCC complaints where a resident has had an open mold or leak work order for more than 7 or 15 days (depending on the repair) prior to contacting the OCC, a NYCHA Resident Coordinator (RC) is assigned to the resident to ensure proper levels of communication and case management.⁸ The OCC relies on MRU to provide prompt, resident-focused responses to all OCC complaints throughout the complaint process. The OCC monitors the complaint and remains available to assist the resident if they have any questions or concerns that the RC cannot address. MRU must interact with various stakeholders at NYCHA for each complaint (such as property management staff, borough schedulers, skilled trade management staff, NYCHA's Legal Department, vendors, labor workers, etc.). In order to effectively resolve OCC complaints, a continuous level of prompt, detailed, resident-focused responsiveness to all tickets is required from both MRU and the various stakeholders MRU interacts with.⁹

OCC Interactions with MRU

In Q2, the OCC concluded that additional MRU resources would be required to meet the demand of portfolio-wide expansion as well as an increase in responsiveness of various NYCHA stakeholders to MRU requests. In Q3, MRU was involved in 54% of OCC complaints (compared to 80% in Q2). In circumstances that do not involve MRU, the OCC works directly with the resident to resolve the issue (such as providing the resident with a date for the next scheduled work). Overall, MRU has demonstrated a commitment to resolve OCC's resident reported complaints in Q3 but there has been a decline in MRU's ability to respond due to a higher than expected demand of OCC complaints, which was amplified by the ongoing resource constraints of the RCs (due to COVID-19) in Q3. While MRU has been responsive, a significant amount of follow-up communication has been required by the OCC to ensure NYCHA has communicated the various updates to the resident and that each of the OCC's requests is being addressed. With various stakeholders involved, it is extremely important for all communication to contain information on what steps have been taken, what steps are in process, and what was communicated to the resident(s). The OCC is hopeful that increased MRU staffing will streamline follow-up communications and related resources required of the OCC in Q4.

⁸ The RC position was created by NYCHA's MRU department in Q1 with a singular focus and responsibility to communicate with residents and relevant teams within NYCHA (e.g., property management staff, maintenance workers, MRU, etc.) to ensure successful completion of OCC complaints. The RC position is a dedicated resource to service mold and leak related complaints.

⁹ In order to effectively resolve OCC complaints, and ensure transparency regarding active cases and new developments, the OCC facilitates a weekly coordination call with various departments including OMAR, MRU, Compliance (including EH&S), and the CCC.

Please see below for additional information regarding progress and opportunities identified this quarter:

- **MRU Resources (Hiring Plan)** – In Q1, MRU was comprised of 8 employees to support the OCC and planned to hire 26 additional employees prior to July 1, 2020. In Q2, MRU was unable to hire anyone due to COVID-19. Starting in June 2020, MRU was able to resume the interview process and was able to hire 14 employees by the end of the quarter. At the end of Q3, there were 18 RCs.¹⁰ It is our understanding that MRU plans to fill the remaining 10 – 12 positions in Q4.
 - In Q3, the OCC has assisted MRU with the development of operational tools to oversee and manage the RC activity and ticket volume. The OCC has also worked with MRU to provide feedback on training materials and resources for the RCs to better serve residents.
 - It is our understanding that in Q4, MRU will be promoting certain persons to regional supervisor roles to ensure that there is proper oversight and management as the team expands.

- **MRU Demand for Spanish Language** – In Q3, 12% of OCC complaints required Spanish language interaction with the resident. While the resident language distributions remained consistent to the prior quarter, the increased ticket volume has caused a significantly higher demand for Spanish resources (47 tickets in Q2 compared to 198 in Q3) for the RC position. It is our understanding that MRU uses language services to communicate with residents that require Spanish language but there have been some inefficiencies in doing so. The OCC has recommended that MRU retain Spanish speaking employees during its expansion to ensure prompt, resident-focused responsiveness. MRU has taken our recommendation under advisement and is considering this in future hiring decisions.

- **RC Staffing Constraints** – Despite MRU's ability to obtain additional resources by the middle of Q3 (and use overtime as a stopgap when available), the RCs were not able to meet the demand of OCC tickets, particularly towards the end of Q3 after the portfolio-wide expansion was completed. The staffing constraints led to a delay in action such as resident communication, scheduling of repair work and/or updating information to the OCC. The OCC advised that the RC always contact the resident within 1 business day of receipt of complaint. From there, the OCC requested that the RC work with the resident to set a reasonable expectation of when they will contact them back with information regarding scheduling or the next step in the remediation plan, based on the severity of the situation. While the OCC has a follow-up procedure to check-in with the RC to ensure action is taken, the OCC continued to see a decline in responsiveness during the last several weeks of July. The RC staffing constraint led to an increased call volume from residents following up on the status of their complaint or to provide feedback that they have not heard from (or were unable to reach) the NYCHA RC.
 - In collaboration with the Parties, the OCC will change its intake procedures in Q4 to inform residents of the high demand, indicating there may be a delay in processing a complaint. It is anticipated that this temporary change to intake communication will be resolved prior to the close of the quarter while MRU hires and trains additional RCs. The OCC has created an intake monitoring process that will screen for reports of severe conditions to ensure swift action is taken in those cases.

¹⁰ It is our understanding that of the 18 RCs, 6 of them are NYCHA residents.

- In addition, the OCC and MRU have been working collaboratively to identify opportunities to streamline the case management process by developing automated reports, workflow prioritization protocols and process views, revisions to data collection processes, and a feedback system to share with the developments to increase responsiveness and provide opportunities to discussion and collaboration with borough leadership responding to OCC tickets.
- In Q4 it will be important for MRU to evaluate its productivity and determine if they have the appropriate resources to meet the demand of ongoing and expected OCC tickets.
- **RC Communication with Residents** – In Q1, the OCC developed technology for all RCs to communicate with the resident through the call center platform, which provides complete transparency of call volumes and call activity. In Q2, the OCC was working with NYCHA to enable this technology, but the initiative was placed on-hold due to COVID-19. In Q3, the OCC began to receive complaints from some residents that, at times, the RCs were not reachable (via live phone or the ability to leave a voicemail). There is currently no process in place for MRU to monitor RC communication (or lack thereof) with residents, which is amplified with remote working during COVID-19. It is our understanding that OMAR and MRU have been working internally to enable this technology as soon as possible. The OCC is hopeful that the RCs will utilize this technology in Q4 so that there is a greater level of transparency of resident communication by RCs, enabling MRU to identify inadequate resident communication.

Overall Responsiveness with NYCHA Stakeholders

In Q3, there were no resident complaints that required the Ombudsperson's action. Based on the OCC's observations to date, NYCHA has taken the appointment of the Ombudsperson and the OCC seriously. However, MRU has indicated that there has been a decline in responsiveness at some developments, requiring substantial efforts and follow-up communication (including internal escalations) to receive the necessary information needed (e.g., scheduling date, updated remediation plan, question regarding a missed appointment, verification of work being completed, or ensure the proper information is logged and created in the data system). While it is our understanding that some of these delays in responsiveness have been due to staffing and management constraints associated with COVID-19, there will need to be a greater level of prompt and continuous, detailed, resident-focused responsiveness to all tickets handled by the MRU.

- In Q3, MRU had to reach out to the development (or skilled trades) in regards to a resident reported complaint for 646 OCC complaints (nearly 70% of tickets requiring their involvement) due to a lack of adequate information included in the remediation plan, inspection findings, notes with the Maximo data system, and/or an upcoming scheduling date;
- In Q3, MRU requested expedited scheduling or a revision to the remediation plan for over 315 OCC complaints;
- In Q3, MRU had to follow-up with the development to seek a response regarding inspection findings or remediation plans for nearly 330 OCC complaints (or 35% of tickets requiring their involvement), of which some were escalated to senior leadership (e.g., Regional Asset Manager, Director of Operations, Deputy Director of Skilled Trades, Borough Vice President, General

Manager's office), due to a lack of responsiveness from the development (after multiple follow-up attempts by MRU).¹¹

- In Q4, MRU will be recording the internal escalations with greater detail and metrics will be shared with NYCHA leadership within each development and will be included in future quarterly reports. In addition, the OCC and Ombudsperson will be discussing with NYCHA an escalation process for OCC tickets to ensure prompt action is taken.

Please see below for additional information regarding progress and opportunities identified this quarter:

- **Feedback Sessions with Developments** – In Q3, MRU (with the support of the Ombudsperson and OCC) have worked with many of the borough groups to identify constraints and limitations in order to develop plans and strategies to reduce the number of follow-up requests required in Q3. MRU held several listening sessions with the borough groups to hear about their experiences working with MRU and servicing OCC complaints. During these sessions MRU provided feedback on resident communication best practices, need for responsiveness (and number of escalations), scheduling difficulties, and capital repair constraints. The OCC provided feedback regarding OCC ticket activity, reports of severe conditions, and metrics associated with open work order volumes and backlog.
 - Strategies developed to reduce the number of follow-up requests identified in Q3 (and planned implementation in Q4) included:
 - Request for bulk ticket scheduling for all open work orders in a development;
 - Greater transparency at the senior leadership level of non-responsive tickets at the unit level, with a flag for open work orders;
 - Importance of including senior leadership on internal escalation emails sooner, rather than later, so that the leadership team can ensure prompt responses are provided; and
 - Creation of a data flag in Maximo for OCC work orders so the development can query live reports of open work orders.
 - Development limitations or concerns raised:¹²
 - Vacancies at the staff and management levels;
 - Staff reluctance and/or refusal to conduct in-unit repair work due to COVID-19 despite work order guidelines in limited developments (due to personal or health-related concerns);
 - Data process delays whereby the work has been populated in the system but does not appear as “Closed” for a few weeks;
 - Inability to provide a response to OCC requests (to MRU) in a reasonable amount of time with appropriate action steps due to competing demands of an unreasonable work load (based on resources available) and a large number of competing requests from other internal and external parties (such as NYCHA's Compliance department, Quality Assurance department, General Manager's office, and MRU and external parties such as the Monitor team, Mayors office,

¹¹ In Q3, the OCC relied on MRU to populate the necessary data fields for MRU activity tracking. Despite weekly reminders, MRU indicated that this was not completed by the end of the quarter due to staff limitations which indicates that the reported metrics are likely understated for Q3.

¹² OMAR's Senior Director has been very responsive to the feedback provided from each development and its our understanding that the department has taken the feedback under advisement to determine next steps.

court mandates, etc.). NYCHA needs to develop a process to prioritize and manage timely responses to all requests and consider retaining dedicated resources to coordinate and respond, as needed.

- **Creation of an Executive Dashboard for Operations** – As discussed in Q2, the OCC and the court-appointed IDA are working with NYCHA to create new data platforms (including within NYCHA's data environment) to provide greater visibility and clarity to NYCHA regarding open and closed work orders in combination with feedback from residents contacting the OCC. In Q3, an executive data analytic dashboard for each borough grouping was created and the prototype was shared with various stakeholders to solicit feedback. This data platform contains data regarding work order trends, OCC complaint trends, and data associated with the strategies identified above.
 - In Q4, this dashboard will be finalized and become available for all borough groups. We are hopeful that MRU will facilitate recurring meetings with the borough groups to offer opportunities for collaboration and further discussions regarding best practices and strategies to reduce the number of follow-up requests required by MRU.

- **Participation from Other Departments (Legal, Family Partnerships)** – In Q3, MRU (with the support of the Ombudsperson and OCC) have worked with various departments to ensure certain resident complaints can be effectively resolved. The OCC has found that there are situations whereby the resident's complaint to the OCC can be linked to or associated with other situations beyond the mold and leak complaint (on-going legal cases, disputes between the resident and development, and/or cases with Social Services or Family Partnerships). These departments have helped to ensure that proper protocols and appropriate actions are being taken to best serve the resident. Such activities included:
 - Providing feedback on protocols for interaction with resident (including instructions to development for scheduling and staffing repair work), notice to the resident (two weeks in advance, two days in advance, etc.), and procedures for access dates;
 - Written reports of resident legal cases and associated legal documentation (e.g., complaint, judge rulings, etc.);
 - Written reports or interoffice memos from Family Partnerships on activities, history of complaints/referrals, and emergency points of contact; and
 - Communication with resident to aid in MRU's efforts.

In Q3, the Legal department was involved in 4 complaints and Family Services was involved in 3 complaints.

Through MRU's continued support and oversight, the OCC is hopeful that cultural and operational changes will continue to take effect resulting in more effective communication with residents (and within NYCHA) and continued improvement in the accountability and commitment needed to ensure proper repair work is completed and addressed promptly.

B. Need for Effective, Empathetic Resident Communication

As discussed in prior quarters, NYCHA needs to evolve to a more customer-centric culture through increased communication with residents regarding root cause issues, remediation plans and scheduling of work. It still remains that nearly all complaints to the OCC have involved a breakdown of communication

between the resident and NYCHA. Residents were often unaware of the Mold Busters remediation standard procedure, the status of the repair work needed in their unit or the next scheduling date.¹³

In order for MRU to operate effectively and efficiently, there will need to be a required change in the culture at NYCHA to effectively communicate with residents (and internally) the accountability and commitment needed to ensure that the proper repair work is completed. Such effective resident communication activities would include, but are not limited to:

- NYCHA listening to the residents' description of health concerns, safety concerns, and prior experiences with NYCHA;
- NYCHA listening to the residents' description of the current complaint (diagnosis of the historic problem, not just the current situation and ensuring the proper classification of the reported conditions);
- NYCHA responding immediately, with commitment and accountability, to the results of inspection findings and the conditions identified within the unit (e.g., sharing virtual inspections and/or pictures) and the sense of urgency to internally escalate severe conditions to supervisors and upper management (as needed);
- NYCHA carefully and empathetically discussing with the resident the findings of any inspection, the series of activities / work that need to be completed to effectively remediate the situation, any unknowns or uncertainties that are still being reviewed, whether a relocation may be necessary (and if so, what that process will be and why), when they will hear from someone regarding the next step in the process (and who that person will be), and what they can do if they have any questions or concerns about what was discussed or about work that is completed later; and
- NYCHA feedback from residents *via* survey (or other methods) to gauge the effectiveness of the communication efforts being implemented and to offer the residents the ability to provide feedback.

Please see below for information regarding progress and opportunities identified this quarter:

- **Difficulties Associated with Relocations and Reasonable Accommodation Requests** – The OCC has observed that there are some complaints that require a significant number of complex work orders that can take a long time to effectively repair, or where the severity of the conditions in the unit renders it uninhabitable and requires the resident to relocate, either temporarily while the necessary repair work is being conducted or permanently. There are situations whereby a resident files for a Reasonable Accommodations Request to relocate due to a health or safety concern (e.g., breathing condition / asthma as a result of mold). The OCC has found that residents who get to this point are often placed on a long waiting list (often lasting months or years) for a transfer due to a lack of available vacant units (particularly those that are 3+ bedrooms or larger). These residents do not appear to always be provided information about their location options and variations of estimated wait times based on the availability and number of people on the waiting list. The OCC has also found that some residents did not have an open request, despite their belief that they were actively on the waiting list.
 - NYCHA needs to develop alternative solutions for residents who require relocation to ensure their health and safety concerns are being addressed (within reasonable expectations) and ensure that all communication is provided and understood by the resident. NYCHA needs to create clear guidelines and policies regarding relocation

¹³ Its our understanding that in Q4, NYCHA will be retaining a vendor to create and execute a resident awareness campaign regarding the Mold Busters program.

criteria, moving expenses, temporary leases and re-assurance that they will be able to move back into their unit after it is repaired

- In Q3, resident relocations were each handled differently based on the facts and circumstances of the ticket, often times involving the Property Manager, the Compliance department, and/or the General Manager's office.
 - It is our understanding that the Compliance department created a cross-functional working group in Q3 to review the current relocation and reasonable accommodation policies, procedures, and resident communication materials and has since been transition to the General Manager's Office.
- **Recording Resident Satisfaction** – It is our understanding that NYCHA has a data element within the Maximo work order system to record resident satisfaction for mold and leak work orders. Based on feedback from MRU, it appears that this data field is not being used consistently across NYCHA. Recording and understanding resident satisfaction, and how that might change over time, will be instrumental to ensure there is consistent, effective, empathetic resident communication across the authority.
 - We have been informed that in Q4, MRU will be gathering more information regarding this data element and its use.

C. Transparency and Individual Accountability are Necessary to Effectuate Culture Change

As discussed in prior quarters, NYCHA needs to continue to increase oversight of work order activity to ensure that standard procedures are being followed and proper remediation steps are being taken through on-going training and staff development. In addition, NYCHA needs to prioritize the completion of the Leak Standard Procedure to properly identify and repair complex leaks.¹⁴

The OCC has received extensive feedback from residents indicating that they reported mold and leak issues to NYCHA in the past and nothing was done to fix the issue. Through our review of these cases, the residents report is almost universally correct. For all OCC complaints, there is an increased level of case management and oversight of work performed, which provides accountability for each worker involved in the remediation process. The OCC will not close a complaint until the resident has indicated that the work has been performed to their satisfaction. The goal is that with increased individual accountability to conduct the proper remediation steps, resident satisfaction will increase and cause a decline in OCC tickets.

Please see below for information regarding progress and opportunities identified this quarter:

- **Re-inspections** – For situations where the resident contacts the OCC dissatisfied with repair work, the OCC requests that MRU conduct a re-inspection of the work to determine the root cause and ensure the appropriate remediation plan is created. The OCC has on several occasions requested that NYCHA conduct a thorough leak investigation for complaints of leak recurrence or non-visible leaks. The OCC has stressed the importance for NYCHA to identify situations where the root cause of an issue cannot easily be identified so that outside resources (such as the court-appointed IMA or vendors) can be enlisted. The OCC has found that the necessary investigation and remediation

¹⁴ It is our understanding that in Q3, NYCHA drafted the standard procedures and began the design and development of the training program and technology considerations, in preparation for the launch of the pilot in Q4.

required for these complex complaints take a very long time for NYCHA to repair and requires substantial follow-up from the OCC to ensure progress and effective resident communication.

- In Q3, the OCC requested re-inspections for approximately 185 complaints (over 10% created in the quarter). The OCC is hopeful that the implementation of the Leak Standard Procedure will improve NYCHA's ability to properly identify and repair complex leaks and reduced the need for re-inspections.
 - For certain developments with extensive leak-related issues, advanced training for leak investigation and remediation repair solutions for underlying root causes should be offered to maintenance workers and an emphasis to maintenance workers that non-visible leaks need to be investigated.
- **Recommendations to NYCHA's Compliance Department** – The OCC continues to receive feedback from residents indicating they reported mold and leak issues to NYCHA in the past and nothing was done to fix the issue. Residents noted they would create work order tickets (on the MyNYCHA app or through the CCC) but they would be closed without ever hearing from anyone (which could be seen on the MyNYCHA app or would be communicated to the resident from the CCC if the resident followed-up on the scheduling date). The OCC has been able to conduct work order reviews in these situations and has found that there are often cases where work orders were recorded as closed for “no work done,” “resident not home,” “resident refusal,” or “unfounded”. The OCC has also learned of instances where according to residents they were informed that a wall break was needed but was not performed (and the work order was closed as “unfounded” or “no work done”). For these situations, the OCC will recommend that MRU consider a referral to the Compliance department to review and/or investigate the activity associated with the complaint.¹⁵
 - In Q3, the OCC recommended that 10 cases be referred to Compliance for review or investigation. It is our understanding that in Q3, 2 cases were referred to Compliance and the remaining were under advisement of MRU as of the end of the quarter. The OCC is not aware of the outcome of the recommendation or if any action was taken.¹⁶
 - **Resident Reported Follow-up Complaints to the CCC** – Towards the end of Q3, the OCC received feedback from numerous residents that they reported a complaint to NYCHA's Customer Contact Center (“CCC”) in regard to a missed appointment (or unsatisfactory repair work) but nothing was ever done. During the conversation with the CCC, the resident would be informed that someone from NYCHA would reach out to them to reschedule or inspect the situation. In some situations, residents reported that they followed-up with the CCC several times prior to contacting the OCC to assist with scheduling their mold or leak work order ticket. Scheduling of repair work is the first step in the process and it is essential that the CCC is equipped to be able to resolve these issues directly with the resident. Additionally, NYCHA needs to take immediate action on all resident reported follow-up complaints to avoid the unnecessary involvement and resources of the OCC or Compliance. As discussed later, this caused an increase in improper referrals to the OCC in Q3.
 - In Q3, this issue has been raised with MRU, OMAR, Compliance, and the CCC and preliminary interviews have been conducted.

¹⁵ The Compliance department has access to all OCC tickets and participates on a weekly standing call with the OCC and MRU.

¹⁶ It is our understanding that Compliance may recommend additional Mold Busters training and/or take employee corrective action, including but not limited to verbal warnings, instructional memoranda, or counseling memoranda.

- In Q4, the OCC will work with NYCHA to better understand the operational processes and procedures associated with processing CCC follow-up complaints, the mechanisms to ensure accountability and oversight of these complaints, and the magnitude of the volume within the NYCHA developments.
- **Additional Training for Workers** – In Q3, 20% of resident complaints involved the craftsmanship of the work completed (compared to 25% in Q2). In these situations, the mold or leak repair was made but the work was unsatisfactory or did not solve the problem. Based on these findings and feedback from property management and the court-appointed IMA, NYCHA began offering additional Mold Busters field training to each borough grouping during the month in which the OCC launches at that location.
 - In Q3, due to COVID-19, this training was placed on hold for all developments.
 - In the interim, NYCHA should be closely monitoring Mold Busters QA inspections for the identification of training opportunities for NYCHA staff. It is our understanding that NYCHA is keeping track of the areas in which additional training is needed to aid in developing supplemental training materials for staff. It is our understanding that the court-appointed IMA is also developing a supplemental training bulletin for NYCHA workers regarding certain mold and leak remediation activities (such as wall breaks). As discussed above, NYCHA is also in the process of developing a new leak standard procedure which will provide additional opportunities to train staff with regard to leak investigations and remediation. This will be critical to NYCHA's ability to conduct proper leak remediation for NYCHA residents.
- **Need for Better Data Recording** – The OCC observed that in Q3 (similar to prior quarters) there were several instances where NYCHA would indicate that work was completed for a work order but there would be no indication of any progress in the Maximo data system.¹⁷ In situations where there were complex leak investigations, there was no information in Maximo to understand what investigative steps had been completed, where access was denied, and what the next steps were to resolve the issue. This creates significant inefficiencies for NYCHA as people will eventually have to confirm that the repair work was completed and delays the completion of sequenced work for the completion of the Mold Busters Quality Assurance check, if applicable. Feedback from property management and borough schedulers indicated that there is a need for better training and reinforcement to record detailed notes and pictures in Maximo. It was also communicated that some workers do not have access to hand-held devices to enter such information and they needed to go back to the office to record the information. The OCC also observed that in Q3 there were several instances where NYCHA would create a child work order for a remediation plan but not link it to the parent inspection.¹⁸ This creates significant inefficiencies for MRU to track and maintain progress of the remediation plan. Feedback from property management indicated that there is a need for better training on how to create a child work order in the hand-held after an inspection has been completed.

¹⁷ This was also found through the court-appointed IMA's mid-stream quality assurance inspections where the data indicated that there were wall-breaks conducted with no follow-up repair work. However, upon inspection, the wall breaks were completed and repaired. This was also found through the Resident Engagement department targeted phone-call efforts to residents with open work orders (as discussed above) but when the Resident Engagement department contacted the resident, it was reported that the necessary repair work had been completed.

¹⁸ It is our understanding that in these situations, the RC requested that the development re-link the child work order to the parent inspection.

- In Q3, MRU had to reach out to the development (or skilled trades) in regards to a resident reported complaint for 646 OCC complaints (nearly 70% of tickets requiring their involvement) due to a lack of adequate information included in the remediation plan, inspection findings, notes with the Maximo data system, and/or an upcoming scheduling date. MRU provided feedback to the management staff regarding the administrative burden that can be alleviated when appropriate information is proactively populated.
 - NYCHA should consider conducting regular formal training on the importance of updating tickets real-time, providing more detailed notes in the system and uploading pictures for each work order. NYCHA should also consider conducting quarterly assessments of physical inventory to ensure staff have the proper equipment and materials available to complete the repairs at each development.
- **Process to Reduce Missed Appointments** – As discussed in prior quarters, the OCC found that missed appointments continue to be a common reason for a resident complaint. Based on conversations with NYCHA, it appears there are no data reporting processes in place to notify the property management office or borough scheduler of appointments scheduled for the day for each worker.¹⁹ Therefore, there is no automated efficient process to review and prioritize work orders, identify capacity constraints, and reschedule any anticipated missed appointments. In Q1 of the OCC, the court-appointed IDA created the architecture of an automated daily user report of scheduled work orders to provide to the property management office, borough schedulers, and/or RCs the ability to prioritize and communicate any anticipated rescheduling demands in advance of a missed appointment. It is our understanding that NYCHA is in the process of building this report in its operating environment. The creation of a new process to reduce the number of missed appointments will positively impact all residents (not just those that reached out to the OCC) and will likely reduce the number of OCC complaints regarding missed appointments.
 - It is our understanding that in Q3, NYCHA was working to develop and integrate an automated daily user report of scheduled work orders but it had not yet been operationalized.
 - In the interim, the RCs sent proactive emails at the beginning of each week to each development to inform them of their upcoming scheduled appointments for OCC tickets. This email offered the development to reschedule if they were aware of any limitations that would not allow them to keep the appointment. As a result, missed appointments for OCC tickets declined to 4% in Q3 (compared to 19% in Q2).
 - **Data Strategy to Develop Operational Processes and Procedures** – NYCHA needs to use data to develop regular operational processes, procedures, and responses to effectively monitor and prioritize inspection, work order and Q&A activity, resident reported complaints, and requests from internal and external stakeholders. NYCHA needs to develop iterative processes to address new issues that arise with effective strategies and goals to best utilize current resources, identify opportunities for change, and ensure that accountability is upheld at all levels (from maintenance workers to upper management).

¹⁹ It is our understanding from OMAR that the property management supervisory staff can create a query in the data system to identify work order tickets that have a past scheduled date without a proper labor record to identify missed appointments.

D. Critical NYCHA Resource Constraints Necessary to Overcome to Ensure the Continued Success of the OCC

As discussed in prior quarters, NYCHA needs to retain additional resources to remediate mold and leak complaints promptly including maintenance workers and skilled trade resources such as plumbers, painters, and carpenters. In addition, NYCHA should also utilize virtual inspection technology to ensure efficient use of current staffing available.

Please see below for information regarding progress and opportunities identified this quarter:

- **Vacant Management Positions** – There are currently vacant management positions across NYCHA developments, such as Property Manager, Supervisor of Caretakers, etc. Because these management positions are unfilled, the existing management staff is required to complete all required inspections, scheduling and follow-up work, and interaction with the RCs for OCC complaints. It is our understanding that in Q3, these vacant management positions were further strained due to COVID-19 and NYCHA sent temporary relief (or floating staff) to help alleviate the constraints, when possible. While temporary support was encouraging, the OCC found that there appeared to be a breakdown in communication associated with the knowledge transfer regarding resident remediation plans, resident communication, and coordination with the RCs. NYCHA has indicated that there are often staffing constraints or delays to conduct mold inspections due to the lack of management positions on site on a given day due to alternative working schedules (AWS) (e.g., only one superintendent or assistant superintendent on staff because they rotate weekend availability and there are no maintenance worker available then to aid in the inspection).

 - In Q3, the Bronx leadership indicated that there are vacancies at 10 developments within the borough that is limiting their abilities to promptly address OCC/MRU requests and conduct the necessary mold initial and QA inspections. It is our understanding that OMAR has taken this feedback under advisement.
 - It is our understanding that there were hiring restrictions due to COVID-19 that will be resolved in Q4 for the Superintendent and Assistant Superintendent positions.
 - For NYCHA and the OCC operations to be efficient and effective, these management positions will need to be filled promptly.

- **Staffing Constraint – Maintenance Workers** – All developments across NYCHA have a significant number of open work orders. Many of the open work orders are complex, requiring two maintenance workers to work together (across different units) to identify root causes and repair the issue(s). Based on feedback from NYCHA, there are severe staffing constraints at the maintenance worker level due to turnover and inability to replace the positions. In a meeting with NGO-1 (in Q2), the Ombudsperson and OCC were also made aware of staffing limitations due to a lack of funding for overtime and loss of available workers due to other demands such as pest programs. In addition, NYCHA's COVID-19 work order guidance has (and will continue to) created a severe backlog of open work orders for non-emergency leaks that will need to be addressed when the current work order restrictions are lifted.

 - In Q3, the OCC observed that MRU had to follow-up with the development on the scheduling inspections and repair work for two developments due to feedback of staff refusal due to personal or health-related concerns related to COVID-19. For these cases, MRU internally escalated these tickets to upper management and offered to have inspections completed by OMAR, as an interim solution.

- For NYCHA and the OCC operations to be efficient and effective, these vacant positions will need to be filled promptly.
- **Staffing Constraint – Skilled Trades** – Many developments across NYCHA have a significant number of complex work orders that can take a long time to effectively repair. NYCHA noted that many of the work orders require pipe repairs and that nearly all pipes in certain buildings require asbestos abatement. In addition, many work orders involve multiple units, requiring more time to investigate and repair these complex circumstances. NYCHA indicated that the skilled trade resources are very short staffed in all skilled trade positions, most importantly plumbers, painters, and carpenters. Such work orders can require 2 or 3 different skilled trades and each trade often has a backlog (sometimes up to weeks away). These work orders often require work in more than one apartment so scheduling and sequencing the work by skilled trade becomes a challenge. However, it should also be noted that, as indicated in NYCHA's Capital Improvement Plan, significant investments in capital repairs and infrastructure are required across the NYCHA portfolio. The current state of the building infrastructure, especially plumbing, will give rise to complex leaks. Supplemental skilled trade and property staff resources will be required for the related remediation but may not take the place of the need for these significant capital repairs and infrastructure investments. In addition, NYCHA's COVID-19 work order guidance has (and will continue to) created a severe backlog of open work orders for non-emergency mold and leak related repairs that will need to be addressed when the guidance lifts.
 - For NYCHA and the OCC operations to be efficient and effective, adequate skilled trade resources will need to be available in each development.
- **COVID-19 Work Order Prioritization and Resource Planning** – As discussed in Q2, NYCHA must ensure prioritization and remediation of mold and leak related work orders that are not able to be addressed within the COVID-19 work order guidance that will have to be scheduled and repaired when the work order guidance is lifted.
 - In Q3, the OCC observed that in some situations (for 865 complaints serviced in the quarter) NYCHA was completing mold and leak parent and child work orders that were considered to be outside of guidance (such as non-emergency leaks, tub enclosures, etc.). However, despite NYCHA's efforts, NYCHA reported that there were over 43,000 open parent and child mold and leak work orders that NYCHA will have to address when the work order guidance lifts (as of the end of Q3).
 - In Q3, the court-appointed IDA assisted NYCHA with an analysis of the open mold and leak work order volumes and projections for when the work order guidance is lifted, to aid in NYCHA's resource planning.
- **Virtual Inspection Technology** – In Q2, the OCC launched a virtual inspection pilot and has since conducted over 50 virtual inspections of apartments (as of July 31, 2020) to assess severity of mold and leak issues. Virtual inspections will enable NYCHA to better serve residents while also prioritizing the health and safety of the NYCHA residents and workers. In Q3, the OCC conducted nearly 20 virtual inspections for OCC complaints and received very positive feedback from residents who participated in them. The OCC has found virtual inspections to be a very effective method to expedite repair work and/or resident relocation because the internal escalation process (within NYCHA) allows for transparency of the conditions. Virtual inspections can also create efficiencies for NYCHA by reducing the time spent conducting inspections, identifying necessary

materials for repairs, accelerating the creation of work orders, assist with remote training or complex triage, etc. In Q3, a working committee for virtual inspections was formed consisting of representatives from different teams within NYCHA (including OMAR, Compliance, and EH&S) to consider how to integrate virtual inspections for a variety of use cases including reports of simple complaints (that a worker could walk the resident through the repair), reports of resident dissatisfaction of repair work performed, pre-remediation inspections or assessments (for vendors or skilled trade), virtual unit walk throughs for relocations, oversight of common space cleanliness, opportunities for training, etc.

- In Q4, the OCC will memorialize the pilot with a document regarding insights and recommendations for implementation in NYCHA's operations including sections on technology, use cases, process details for conducting virtual inspections, and spreading awareness of virtual inspections. NYCHA has been committed to the pilot program and is working with leadership to evaluate the integration of the technology into its operations. The OCC is available to facilitate virtual inspections for NYCHA while they work towards integration within the authority.

E. Effective Use of Vendors

As discussed in prior quarters, NYCHA must effectively use vendors (and have the appropriate contracts in place) to overcome temporary staffing constraints. NYCHA reported that at the end of Q3, there were nearly 60,000 open mold and leak work orders (parent and child), of which nearly 60% had been opened for over 15 days as of the end of the quarter.

Please see below for information regarding progress and opportunities identified this quarter:

- **Vendor Backlog** – Due to limited availability of skilled trade resources, use of vendors is increasingly important for leak related complaints. Based on the open work order data, the average days a work order is pending awaiting vendor work is very long. NYCHA's property management has indicated that there was a 6 to 8-week backlog for certain vendors (pre COVID-19), such as plumbers. These vendors can only be utilized to assist with leak related work orders, not mold remediation due to State laws.
 - In Q3, the OCC observed continued vendor backlogs, particularly as a result of COVID-19 and the levels of open long-term pending work orders.
 - It is our understanding that in Q4, OMAR is considering the use of vendors to conduct the remaining repair activity for tickets with paint work remaining. It is our understanding that it is the responsibility of the vendor to communicate with the resident regarding scheduling of work and the responsibility of the property superintendent (and/or OMAR and MRU) to monitor completion of the work and closing of the work order, depending on the vendor contract. It will be important for NYCHA to monitor such activity to ensure vendor(s) are appropriately communicating with residents and the superintendent is promptly reviewing such activity and updating work order information.
- **OMAR's Mold Assessor and Remediator Contracts** – NYCHA has executed two Mold Assessor and two Mold Remediator contracts to remediate and repair complex cases of mold (where conditions impact multiple rooms, involve repair work in a ceiling or wall cavity, and require multiple skilled trades to satisfactorily resolve).

- In Q3, OMAR used these contracts on 2 OCC cases that required substantial repair work. While this is a great resource to remediate severe conditions, the OCC has observed that these contracts take a long period of time to schedule an inspection and develop a scope of work (weeks or months), prior to even beginning the repair work. It is our understanding that OMAR is planning to retain 3 additional vendors and add additional scope of work lines to the contracts in its efforts to expedite the timeline to conduct work in Q4. It is also our understanding that OMAR is in the process of awarding 2 additional vendor contracts for a total of \$10 million to address leak repairs in Q4.

For the OCC operations to be efficient and effective, management must prioritize skilled trade resources to mold related work orders and increase the availability of vendor contracts to conduct remediation work on leak issues.

F. The Commitment to Data Strategy, Individual Accountability at NYCHA, Collaboration and Resident Engagement Creates Significant Opportunities for Improvement

As discussed in prior quarters, NYCHA must maintain a commitment to data strategy, individual accountability, collaboration and resident engagement with a continuous pursuit of opportunities for improvement.

The OCC's resident engagement, findings from detailed work order reviews, and collaboration with various internal and external stakeholders (including the Parties and Tenant Associations) has already provided significant opportunities for operational changes across the NYCHA portfolio. This combination of perspectives, activities and processes informs standard procedure, use and interpretation of data, resident communication, and the effective use of NYCHA resources. Understanding the feedback from both the residents' perspective as well as the operations perspective offers a unique opportunity for ongoing and sustainable transformative change in NYCHA's response to mold and leaks, and its efforts to effectively prevent recurrence.

Please see below for information regarding progress and opportunities identified this quarter:

- **IDA Initiatives identified through the OCC** – In Q3, the court-appointed IDA has worked with NYCHA to identify and/or implement the following enhancements to data tracking and/or information provided to residents in regard to mold and leak remediation:
 - Improper root cause findings recorded on the Mold Receipt form have been revised;
 - Discrepancy between resident provided scheduling time frame on the MyNYCHA app (8:00 a.m. – 12:00 p.m. or 12:00 p.m. – 4:00 p.m.) and NYCHA worker provided scheduling time frame (8:00 a.m. – 4:00 p.m.) which can lead to missed appointments and resident frustration;
 - Dust wipe child work orders creating an administrative hold on the completion of paint work orders; and
 - Data tracking and need for an operational monitoring process to ensure proactive inventory re-stocking for tub enclosures, cabinets, etc.
- **Preventing OCC Complaints** – While NYCHA works on the systemic factors outlined in this report to reduce resident reported complaints and prevent the need for residents to contact the OCC, NYCHA has the opportunity to utilize data strategy to identify residents that may have a higher

propensity to have a complaint (e.g., long term open work order, recurring mold and leak work orders, open or exposed wall, awaiting the repair or replacement of a sink, toilet, shower, or cabinets, several open work orders etc.) and proactively reach out to ensure the proper repair work is conducted.

- We understand that in Q2 NYCHA planned to conduct proactive outreach to residents that have several open mold and leak work orders to lower the number of resident complaints to the OCC, but this has been delayed due to COVID-19 work order guidance limitations, and staffing and resource limitations.
- In Q3, the Resident Engagement department replaced its in-person canvassing efforts with targeted phone-call efforts based on a data set provided by the court-appointed IDA for residents with greater than 10 Sq. Ft of mold with no work done. Nearly 900 residents were contacted (with up to three contact attempts per resident) resulting in the creation of over 260 OCC tickets. This initiative was very successful in identifying severe conditions and ensuring the proper mold remediation efforts were scheduled and conducted.

G. Short-term Solutions for Capital Repairs

As discussed in prior quarters, NYCHA needs to properly address resident recurrence complaints associated with capital needs repairs (e.g., roof repairs, façade or exterior brickwork repairs) and develop interim solutions to ensure the health and safety concerns raised by the residents and reduction of duplicative work currently required by NYCHA.

Please see below for information regarding progress and opportunities identified this quarter:

- **Interim Repairs and Routine Inspections** – In Q3, 5% of reported complaints were recurrence, whereby NYCHA has completed the mold or leak repair in the past but the resident reported that the problem had returned within a year. These are often situations related to poor ventilation within the unit or lack of root cause remediation due to capital needs (such as needed roof repair work, pipe replacement work, façade or exterior repair work) that is left unfinished which leads to a recurrence of the reported condition. For many of these complaints, the OCC has been informed that capital repair work is required and despite any remediation work, there is a higher likelihood of recurrence.
 - In Q3, MRU worked with the developments with these capital repair issues to develop interim solutions to ensure the health and safety of the resident. Such solutions included temporary roof repair work and waterproofing within the unit to try and prevent recurrence. It is also our understanding that routine inspections will be conducted by the development on a bi-annual or annual basis to ensure the conditions are remediated if return.
 - NYCHA should consider conducting an analysis of all mold and leak work orders affected by capital repairs and offer residents of those buildings with the same services.

H. Continued Awareness of the OCC

In Q3, there was a persistent lack of awareness for the timing of distribution of outreach and use of communications that were inconsistent with the communications provided to the OCC and Ombudsperson for review and comment. As emphasized in Q2, NYCHA needs to continue to raise awareness of the OCC to all residents using multiple communication channels, with frequent distribution. The OCC and Ombudsperson provided feedback to NYCHA and the Parties regarding concerns about NYCHA's

communication efforts and concerns about clearly demonstrating that the Ombudsperson (and OCC) is independent from NYCHA. The OCC shared its comments and feedback regarding NYCHA's ongoing efforts to raise awareness about the OCC. NYCHA has indicated its commitment to ensuring residents are made aware of the OCC and the importance of regular, multi-channel outreach, with advanced notice and use of approved content.

Please see below for information regarding progress and opportunities identified this quarter:

- **NYCHA Communication with Residents Regarding the OCC** – It will be important for NYCHA to reinforce the independence of the Ombudsperson and OCC to residents as well as the fact that NYCHA is taking action to become more resident-focused and accountable. Residents have expressed confusion in calls to the OCC, and the Parties, about whether the OCC is part of NYCHA, creating the potential for lack of engagement from residents because of factors such as skepticism or fear. The fact of its independence has been an important element of the OCC's communication with residents and provides an opportunity for dialogue and trust with the resident. The Ombudsperson and the OCC have emphasized to NYCHA that it must communicate to residents that the OCC and the Ombudsperson are independent of NYCHA.
- **Outreach Concerns** – In Q3, the NYCHA Department of Communications (the DOC) was also faced with unprecedented challenges related to the COVID-19 pandemic. The DOC was working to communicate with residents on a wide variety of urgent issues including, but not limited to, new cleaning protocols at NYCHA properties, health and safety practices residents should follow, new work order guidance, and rent payment and modification procedures. In the midst of these other urgent communication needs during the pandemic, the DOC also expressed a willingness to share communication with residents regarding OCC, a recognition of the health and safety intersection between leak and mold complaints and the pandemic. As a result of these many competing priorities for the DOC, there were various instances when activities were performed without advance notification for the OCC or where communications were distributed using content inconsistent with versions shared with the OCC and Ombudsperson. On several occasions, this resulted in unexpected and unplanned increases in OCC ticket volume and can result in resident confusion or misunderstanding regarding the role and independence of the OCC. When these instances were identified (either by OCC review of social media account or by resident feedback regarding a message they had received) the OCC contacted OMAR and Compliance to request that more advanced notice regarding DOC messaging about the OCC, the development of a calendar of DOC activity about the OCC and a consensus about communication content or best practices. During Q3, Compliance was able to work with the DOC to develop the requested calendar of activities and to incorporate content requests and best practices for OCC communication into the messaging used by DOC about the OCC. The OCC is continuing to work with Compliance and the DOC to facilitate effective and efficient communication when planned messaging is unable to be completed when expected, so as to ensure the OCC and MRU are aware of when messaging about the OCC is provided to residents.
- **New Outreach Channels** – In Q1, in coordination with the Ombudsperson and OCC, NYCHA developed a monthly communication plan to inform residents about the OCC and to clearly demonstrate that the Ombudsperson is independent from NYCHA. The communication plan contemplated multiple communication channels (over several weeks) for each borough grouping

launch. In Q3, following the launch across the entire portfolio, the following new outreach channels were issued:²⁰

- NYCHA social media account posts including Twitter, Facebook, and Instagram;
 - NYCHA digital resident facing newspaper (NYCHA Journal);
 - NYCHA's Customer Contact Center ("CCC") interactive voice response ("IVR") system for reports of mold;
 - NYCHA intergovernmental newsletter; and
 - NYCHA email to residents.
- OCC contact information has not yet been made accessible to residents on:
 - MyNYCHA app for reports of leaks.
 - Residents who report mold conditions through the app are notified that if the resident has a complaint after opening the work order the OCC can be contacted. However, reports of leaks or moisture conditions included in the Baez Revised Consent Decree are not provided this notification in the app at this time. It is our understanding that NYCHA plans to re-consider this once the Leak standard procedure has been implemented and MRU is adequately staffed.
 - NYCHA's Customer Contact Center ("CCC") interactive voice response ("IVR") system for reports of leaks.
 - Residents who report mold conditions through the CCC are notified that if the resident has a complaint after opening the work order the OCC can be contacted. However, reports of leaks or moisture conditions included in the Baez Revised Consent Decree are not provided this notification at this time. It is our understanding that NYCHA plans to enable this once the Leak standard procedure has been implemented.
 - **Post Launch Outreach Plan** – NYCHA will need to clearly and consistently communicate with residents, resident associations, and property management staff on a regular basis to ensure awareness among residents about the OCC. This communication will need to utilize multiple channels of communication (flyers, posters, rent bill inserts, in-app notifications, discussions at resident association meetings, social media, emails, automated phone outreach, etc.). NYCHA will need regular supplemental communication to new residents and those who may not be aware of the OCC. In Q3, NYCHA conducted supplemental outreach to developments that had already launched earlier in the quarter or prior quarters, to the outreach channels outlined below.
 - MyNYCHA app for reports of mold;
 - MyNYCHA kiosks;
 - Mold Inspection Review form;
 - NYCHA Mold Busters website;
 - NYCHA social media account posts including Twitter, Facebook, Instagram, and the NYCHA Journal;
 - NYCHA's Customer Contact Center ("CCC") interactive voice response ("IVR") system for reports of mold;
 - NYCHA intergovernmental newsletter;
 - NYCHA email to residents;

²⁰ Please refer to Exhibit 3 for outreach examples.

- Outreach to local Resident Associations via phone and email (with the OCC flyer as an attachment);
- Rent statement insert;
- Flyers in buildings including under resident's doors, in-person canvassing, and posted in common areas during initial launch (via the Resident Engagement department and/or the Property Management department); and Automated ("robo") telephone calls.

III. OCC Notable Activities

The OCC was developed and launched with the collaboration and input of the Ombudsperson, Special Master, NYCHA, plaintiff organizations, IMA and IDA. Operating across the entire portfolio by the end of Q3, the OCC identified numerous elements for successful response to resident complaints and resources that NYCHA must increase for continued success in responding to resident reports of leaks and mold, and related complaints associated with NYCHA response and remediation activities.²¹

Please see below for information regarding progress and opportunities identified this quarter:

- **Stakeholder Meetings** – In Q3, the Ombudsperson, the OCC and the Parties participated in several meetings with the Property Management and Skilled Trade departments at each borough grouping to prepare for the launch and expansion of the OCC. This offered NYCHA the ability to share relevant information with the Ombudsperson (and the OCC) regarding NYCHA's staffing limitations, challenges, and ways to collaborate to better serve residents. The Ombudsperson offered feedback and assistance to help ensure the success of the launch but also indicated the need for prompt resolution to each reported complaint. MRU created a webinar for development staff and hosted two live webinars to train staff on their role and the expectations being asked of them. After each phase of expansion, the Parties met (or are scheduled to meet) to discuss the ongoing efforts needed to resolve resident complaints, root cause issues, breakdowns in the system, and other opportunities for improvement. The OCC and the Parties will continue to participate in these meetings in Q4.
- **Proactive Efforts to Remediate and Close All Open WOs** – In Q3 (similar to prior quarters), the OCC found that many residents had several open parent work orders related to mold and leaks within the same unit (and room). For these situations, the OCC asked that MRU coordinate and resolve all open work orders in a given room. Ongoing efforts to resolve all open work orders related to mold and leak will help NYCHA reduce its backlog of open work orders.
- **Technology Enhancements** – As discussed above, the OCC has assisted MRU in Q3 with the development of operational tools to oversee and manage RC ticket activity, volume and gage productivity. The OCC has also worked with MRU to provide feedback on training materials and resources for the RCs to better serve residents and in their workflow procedures. The OCC has created technology enhancements to the call center platform, such as allowing for residents to text pictures and/or updates directly into the call center platform.
- **Compliance Referrals** – In Q3 (as of June), the OCC received 43 complaints that were referred from NYCHA's Compliance department. The majority of these complaints are scheduling relating and Compliance is requesting the OCC's assist (through MRU) to ensure proper communication between the resident and the development. In July, Compliance also began referring the OCC complaints that were received from the Federal Monitor team. Compliance has full access to all referral complaints and can monitor progress accordingly.

²¹ Please refer to **Appendix A** of this report for further details regarding complaint volume, distribution, timing and related metrics. Please refer to **Appendix B** of this report for further details regarding the OCC operational process and overview.

- **Improper CCC Referrals** – In Q3, the CCC (NYCHA’s Customer Contact Center) provided a script to inform residents of the OCC when reporting mold. As a result, the OCC received nearly 300 complaint in Q3 (in July). However, based on feedback from residents, nearly 10% of the referrals were a deviation from the approved script which caused an influx of improper requests which led to resident frustration and confusion. The OCC has created a process to regularly share these examples with the CCC so that they can audit the calls with the residents and offer training or disciplinary action (as needed). Such examples included that the “CCC no longer handles mold complaints”, contact the OCC for “emergencies” or if “nobody shows up.”²² As discussed above, the OCC also learned that many residents reported follow-up complaints regarding missed appointments or unsatisfactory work that went unaddressed. It will be important for NYCHA to address these issues in Q4 to ensure that proper actions are taken by the CCC prior to being referred to the OCC.
 - Approved script - “If NYCHA does not properly or promptly complete the repairs related to the mold or leaks you have reported you can contact the independent, court-appointed Ombudsperson Call Center at 1-888-341-7152 or at www.ombynyc.com”.
 - Example of CCC script recorded by the OCC – ““If NYCHA does not properly or promptly complete the repairs related to the mold condition that you have reported, please contact the independent court-appointed Ombudsperson that is auditing all mold/leaks. If they do not come to the apartment promptly or provide the assistance **that is needed promptly give them a call 1-888-341-7152 and they will come out, or notify NYCHA or send someone out**”.
- **OCC Awareness Summit** – In Q2, the Ombudsperson, the OCC, plaintiff organizations, and NYCHA began to work collaboratively to prepare, organize and host a summit to increase awareness of the OCC. The summit was to include representatives from across the 5 boroughs, Tenant Associations, elected officials, community based organizers, and NYCHA residents to offer an overview of the OCC, initial findings since launch, and hear from residents directly about their experience with the OCC and solicit feedback from those who are able to attend. This summit was initially contemplated to be scheduled in March 2020 but due to COVID-19 has been placed on hold until further notice. In the interim, NYCHA has created an internal webinar to spread awareness to property management staff within the authority.

²² The OCC was not present for the calls that the resident had with the CCC agent and therefore the information is open to interpretation that the OCC was not able to verify.

Appendix A - OCC Resident Complaint Metrics in Q3²³

Please refer to **Exhibit 2** for the OCC complaint metrics for this quarter.

A. Reported Complaints

Since the OCC launched in November 2019, the OCC has assisted over 2,200 households across the entire portfolio.

- There are 525 complaints that have been resolved, of which 20 that have required resident relocation or referred to NYCHA's Compliance department due to the severity of the condition.
- There are 1,617 complaints that remained open at the end of the quarter.
- In total, the OCC has had over 7,300 phone calls with residents to ensure their concerns are being properly addressed.

There were 1,892 resident complaints serviced (1,651 resident complaints created in Q3 and 241 opened in prior quarters) in Q3, of which 275 were resolved in the quarter and 1,617 remained open (or unresolved) at the end of the quarter.

- The number of complaints ranged from 6 to 475 per week, with an average of 118 per week (increase from 30 in Q2) and 550 per month.
- Over 70% (1,183) of tickets created in the quarter were during the month of July due to the launch in Brooklyn (the largest borough grouping) and increased outreach across the entire portfolio.
- There was diversity amongst all of the borough groupings for complaints created this quarter (Brooklyn - 26%; Manhattan - 20%; NGO-1 - 17%; Bronx - 15%; Mixed Finance - 13%; Queens/Staten Island - 8%).
- The distribution of resident source of awareness varied month-over-month, due to a change in outreach efforts starting in July once the OCC was launched across the portfolio. Overall, 26% of resident source of awareness was from the CCC, 26% from canvassing, 15% from the OCC flyer, 9% from email communication, and the remaining 24% through various other channels (e.g., word of mouth, NYCHA referral from the Compliance department, automated telephone calls, Tenant Associations (including the Plaintiffs), Mold Busters website, MyNYCHA app, MyNYCHA Kiosk, social media posts, and resident events).

The OCC received 76% of complaints through the toll-free phone number and the remaining 24% through web-based submissions. In Q3, 87% of residents spoke English, 12% spoke Spanish, and 1% spoke other languages (including Chinese).²⁴ While the resident language distributions remained consistent to the prior quarter, the increased ticket volume has caused a significantly higher demand for Spanish resources (47 tickets in Q2 compared to 198 in Q3) within the RC position.

²³ The OCC evaluates call volumes, issues raised, escalations required, number of resident interactions, etc., to identify process refinement opportunities that could create operational improvements and efficiencies. Since adjustments to the data fields and methods of recording the data have been and continue to be modified and enhanced, it is possible that certain metrics are understated or not entirely representative of the actual activities conducted in the quarter. In Q3, the OCC relied on MRU to populate the necessary data fields for MRU activity tracking. Despite weekly reminders, MRU indicated that this was not completed by the end of the quarter due to staff limitations which indicates that the reported metrics are likely understated for Q3.

²⁴ The OCC has English, Spanish, Chinese, and French resources and uses a language service for all other languages, as needed.

There were nearly 5,000 calls (inbound and outbound) between the residents and the OCC in Q3 (over 160% increase since Q2), with an average of 5 calls per complaint. The average number of calls per complaint increased by 25% compared to Q2 due to staffing limitations of the number of RCs available to meet the increased demand of active tickets.²⁵

Of the 1,651 resident complaints created in Q3, 36% (compared to 35% in Q2) were associated with a leak repair, 40% (compared to 29% in Q2) were associated with a mold repair, 21% (compared to 20% in Q2) were associated with both leak and mold repairs, and 3% (compared to 16% in Q2) were associated with other repairs not directly associated with leak or mold (e.g, ceiling damaged or paint). The increase of mold related complaints is due (in part) to the CCC outreach provided to resident whom report of mold conditions (rather than leaks).²⁶

The distribution of resident complaints by initial complaint type (also referred to as “Swimlane” in Exhibit 2) in Q3 is shown below. While the distribution below reflects the residents’ initial complaint, the OCC found that residents who reported complaints often had several open leak and mold related work orders needing repair (not all of which they were initially complaining about).

- Scheduling complaint – 40% (compared to 34% in Q2);
- Craftmanship complaint – 20% (compared to 25% in Q2);
- New mold or leak related issue – 16% (compared to 20% in Q2);
- OCC services inquiries – 15% (compared to 13% in Q2);
- Recurrence complaint – 5% (same in Q2);
- Improper closure of work order – 2% (same in Q2);
- Missed appointment complaint – 1% (same in Q2); and
- Emergency complaint – 1% (compared to 0% in Q2).

In Q3, there were no resident complaints that required action from the Ombudsperson, however there were tickets that required his attention and review.

The OCC was able to address 46% of the resident complaints without NYCHA’s assistance (compared to 20% in Q2) due (in part) to the types of complaints received in the quarter (e.g., increase in scheduling complaints and OCC service inquiries). NYCHA’s MRU was involved in the remaining 54% of OCC complaints (compared to 80% in Q2). In Q2, the OCC requested assistance directly from EH&S and/or Compliance for tickets where a concern regarding the health and safety of the resident was raised or a reported condition or a resident report of improper practices by NYCHA. In Q3, the OCC streamlined this process by directing all such concerns to MRU, which in-turn, would involve EH&S and/or Compliance, as needed. In Q3, the Compliance and EH&S department each assisted in 5 tickets to conduct independent inspections and/or assist with the facilitation of resident relocations.

In Q3, nearly 15% of complaints were impacted by COVID-19 (compared to 46% in Q2). This decline was due (in part) to NYCHA’s clarification to the work order guidance in April 2020 (within Q2) to ensure that

²⁵ Please refer to Section II of this report for further information regarding NYCHA’s efforts to address the staffing limitations of the RC position.

²⁶ The CCC does not currently advertise the OCC services to residents that contact them report a leak. Please refer to Section II of this report for further information.

mold inspections (and the necessary remediation and repair work) were within the guidance of work allowed to be performed. Many of these complaints had one (or more) of the following impacts including²⁷:

- Delay in remediation due to COVID-19 work order guidance – 175 complaints (or 10%);
- Work order placed in temporary deferred status or resident request in delay of work – 78 complaints (or 5%); or
- Delay in work due to development staffing constraints (or staff feeling unsafe conducting in-unit work) – 1 complaints (less than 1%).

B. Resolved Complaints

There were 275 resident complaints in Q3 that were resolved (15% of complaints serviced within the quarter) and nearly 220 resident complaints that were placed on-hold (due to remaining work being outside of NYCHA's work order guidance due to COVID-19). Of the 275 resolved complaints, the resolution type included:

- Remediation completed of reported mold or leak issue – 73% (compare to 58% in Q2);
 - Follow-up work (e.g. paint) may not have yet been completed but the resident was satisfied with the work performed based on the complaint filed.
- Responded to resident service inquire (or assistance in opening a work order ticket with NYCHA) – 23% (compare to 38% in Q2); and
- Referred to NYCHA's Compliance or resident relocated – 4% (same in Q2).

Of the resolved complaints in Q3, the overall average number of days to resolve a complaint was 29 days (as compared to 20 days in Q2). The OCC also observed residents' requests for advanced scheduling to accommodate their work schedules and concerns regarding COVID-19 contributed to the timeframe for resolution.

- Nearly 10% of all resolved complaints were closed within 24 hours, 32% within one week, 23% within a month, and 35% over 30 days.
- Resolved complaints regarding both leak and mold work required the longest period time to seek resolution (on average 66 days). Many of these complaints required leak inspections to identify the root cause (involving other units within the building) and remediation activities that included multiple skilled trade workers (e.g., maintenance, plumber, plaster, painter) to complete the repair.
- The OCC also observed the staffing limitations within developments that required scheduling 1-2 weeks in advance to conduct repairs. The OCC found that so long as the resident was informed of the next scheduling date, they did not raise a concern as to the proposed timing of remediation activities, particularly once the mold cleaning or immediate leak issue has been resolved and only follow-up work was required (e.g., painting).

The OCC has received positive reinforcements of gratitude and appreciation from residents throughout the quarter, including (paraphrased):

- "I appreciate everything that was done for me and I sincerely thank everyone that played a role in helping me get closer to living in a healthy environment.";
- "I want to thank you from the bottom of my heart, for helping me with my plight. Eureka, the hole in the bathroom has been finally repaired."; and

²⁷ Metrics include both resolved tickets and unresolved tickets. "Work orders placed in temporary deferred status" are those that are not within NYCHA's current COVID-19 work order guidance.

- “Everything is so nice. Thank you from the bottom of my heart. NYCHA came to fix everything.”

C. Unresolved Complaints

There were 1,617 resident complaints in Q3 that were unresolved (remaining open) at the end of the quarter, within the following categories:

- Open - indicating that there is on-going activity and remediation efforts in process (including various phone conversations, review of work order information, creation of remediation plans, and/or scheduling of inspections and/or repair work) – 51%;
 - There were 241 resident reported complaints opened in prior quarters and remained in open status in Q3.
- Pending - indicating that the complaints were in the near-final stages of completion (requiring resident confirmation to close) or awaiting resident communication to process the complaint – 16%;
- On-hold - indicating that the mold and/or leak remediation work has been completed and the only remaining work remaining is outside of NYCHA’s work order guidance due to COVID-19 (e.g., paint) – 13%; and
- New - indicating that a resident reached out to the OCC with a complaint that was received but pending action (such as contacting resident with follow-up questions, review of work order information, or addressing a follow-up question for an open or active ticket) - 20%
 - There were 1,183 resident complaints created in July (which accounted for over 70% of all complaints created in Q3), of which nearly 600 (or 50%) were created within the last two weeks of the month and reporting period.

Of the unresolved complaints where activity has occurred, the status of the complaints at the end of Q3 included:

- Awaiting the response of MRU (e.g., next scheduling date) – 65% (compared to 70% in Q2);
- Awaiting the response / contact of the resident – 17% (compared to 3% in Q2)
- Awaiting the results of a complaint inspection/investigation – 10% (compared to 2% in Q2);
- Awaiting the completion of work order remediation (e.g., entire remediation plan has been scheduled) – 7% (compare to 21% in Q2); and
- Monitoring for repair activity for new mold and leak work order tickets or temporary move-outs – 1% (compare to 4% in Q2).

Of the unresolved complaints in Q3, the overall average number of days open was 37 days (compared to 46 days in Q2). This decline was due to the increased volume of complaints created in the last two weeks of the reporting period.

- Complaints regarding scheduling or recurrence of mold or leak issues had an average of 47 days open. While these complaints have been open for a long period of time, the residents are aware of the status of their complaint, understands the next steps and remediation plan. As discussed above, most of the open complaints have addressed the residents’ complaint but are being monitored until the completion of repairs to ensure the residents’ satisfaction.
- Complaints regarding new mold or leak issues had an average of 53 days open because they are being monitored for repair activity.
 - In Q4, these tickets will be closed unless the resident contacts the OCC with a complaint regarding the remediation process.

Appendix B - OCC Operation Overview

The OCC has been created to receive complaints from residents who have already contacted the NYCHA Customer Contact Center (CCC) but still have concerns about mold, leaks and any associated repairs that has not been completed properly or has not been completed on time. Complaints can be submitted to the OCC via phone (Monday – Friday 9am – 5pm) at 1-888-341-7152 or through a web-form at www.ombnyc.com.

The OCC's operations are guided by this general process:

- Provide an independent and supportive resident experience through effective and empathetic listening, proactive communication and establishment of trust.
- Determine the process needed to seek resolution to the resident's satisfaction (based on the resident's complaint).
- Ensure there is timely case management and escalate the complaint if there is a lack of responsiveness or willingness to resolve the issue raised. A complaint will not be closed until the remediation of the work has been completed to resident's satisfaction or a relocation has been conducted.
- Evaluate and investigate resident complaints through data analysis of NYCHA's Maximo work order database and offer observations and recommendations to NYCHA's Mold Response Unit (MRU), Compliance department and/or Environmental Health and Safety (EH&S) department.²⁸
- Perform strategic data collection and recommend operational enhancements.

Common reasons for residents to contact the OCC include:

- A resident scheduled a mold inspection or the repair of a leak and NYCHA did not show up for the appointment (Missed appointment complaint).
- NYCHA conducted a mold inspection but did not tell the resident the next step in the repair process (Scheduling complaint).
- NYCHA scheduled a mold or leak repair and it has taken longer than the required 15 days to complete the repair and this is causing a problem for the resident (Scheduling complaint).
- NYCHA started the mold remediation process and/or leak repair work but did not complete it and did not provide the resident with a follow-up appointment date to complete the repair (Scheduling complaint).
- NYCHA completed the mold or leak repair but the work was unsatisfactory or did not solve the problem (Craftsmanship complaint or Improper closure of a work order complaint).
- NYCHA completed the mold or leak repair but the problem came back again even though NYCHA tried to repair it (Recurrence complaint).
- A resident who has a report of mold or a leak related issue but does not have an open work order (New mold or leak related issue complaints).
 - In these situations, the OCC assists the resident in opening a mold or leak work order with the CCC, if requested. If the resident, however, experiences any issues (discussed above) after opening the work order with NYCHA, they are advised to contact the OCC back.

²⁸ NYCHA supports this data analysis by extracting mold and leak data twice a week to populate a Tableau report that allows OCC call center representatives and NYCHA's RCs to rapidly view a unit's history of mold and leak complaints by inputting easy-to-obtain resident information: name, address, etc.

- The OCC also receives service inquiries to better understand what the OCC is and how it can help them (OCC service inquires complaints).

The OCC interacts with NYCHA's Office of Mold Assessment and Remediation (OMAR) unit. OMAR developed a specialized task force, the Mold Response Unit (MRU) within OMAR that monitors complaints received from the OCC to ensure successful resolution and closure. For all OCC complaints where a resident has had an open mold or leak work order for more than 7 or 15 days (depending on the repair) prior to contacting the OCC, a NYCHA Resident Coordinator (RC) may be assigned to the resident to ensure proper levels of communication and case management, if needed.²⁹

Once the OCC receives the complaint from the resident, they will contact the resident to discuss the proposed next steps for anything that cannot be resolved during the initial intake. The OCC's objective is to have an actionable next step for the resident within 1 business day. Such next steps may involve the OCC to request:

- OCC and/or NYCHA to receive photos, video, and/or conduct a virtual inspection with the resident to better understand the issues they are facing;
- NYCHA RC to contact the resident within 1 business day of OCC intake and assignment;
- NYCHA immediately schedule and conduct a re-inspection of prior work performed;
- Expedited scheduling for work orders that have been open for longer than 7 or 15 days;
- NYCHA to reach out to the resident to discuss the results of the Mold Busters initial inspection and/or associated remediation plan; or
- Referral of the complaint to NYCHA's Compliance or EH&S departments depending on the circumstances.

The length of time to resolve a complaint is contingent on a variety of factors including the complexity of the repair, the scheduling availability (and preferences) of the resident, and the staffing constraints, scheduling limitations, and inventory of materials at NYCHA.

In response to the COVID-19 pandemic, the OCC provides NYCHA residents with information about COVID-19 on its website, including NYCHA's policies during these times. The OCC also informs residents of the current guidance, makes sure the resident is comfortable with having repair work scheduled and conducted, and provides the resident with feedback on what to expect regarding social distancing and the need for wearing a face covering.

The OCC completed the phased portfolio-wide launch on July 1, 2020, per the schedule below:

- Queens/Staten Island: Live since May 1, 2020
- Bronx: Live since June 1, 2020
- Brooklyn: Live since July 1, 2020

Throughout this expansion, the Parties facilitated meetings with each borough grouping to prepare for the launch and to identify staffing limitations and resources that NYCHA will need to address. For the OCC to continue to be successful, NYCHA will need to continue to assess the staffing limitations and other

²⁹ The RC position was created by NYCHA's MRU department in Q1 with a singular focus and responsibility to communicate with residents and relevant teams within NYCHA (e.g., property management staff, maintenance workers, MRU, etc.) to ensure successful completion of OCC complaints. The RC position is a dedicated resource to service mold and leak related complaints.

resource constraints at each development and work to ensure those positions are filled prior to the OCC expansion in each borough grouping, when feasible. Effective, multi-channel communication in advance of each phase of expansion, and regularly thereafter, will also be critical to the continued success of the OCC.

Appendix C – NYCHA’s COVID-19 Guidance

On March 12, 2020 (in the midst of Q2) New York’s Mayor, Bill de Blasio, declared a state of emergency in New York City in response to the COVID-19 pandemic.³⁰ As a result, NYCHA has communicated various updates regarding the measures that it has taken in response to the pandemic.³¹ Those measures have remained consistent and unchanged throughout Q3.

The OCC has included a link to the NYCHA Journal on its website and informs residents of the current guidance. The OCC also makes sure the resident is comfortable with having repair work scheduled and conducted. For residents who do not wish to have work conducted, the OCC can request advanced scheduling or place the resident’s ticket on-hold until they are comfortable having repair work conducted.

Please see below for select information included in the guidance pertaining to mold and leak work orders conducted within units that was made available to residents via the NYCHA Journal (emphasis added):

- March 13 and 16, 2020 – NYCHA would conduct some leak related complaints that were considered “emergency repair (e.g., gas/**water leaks**, stoppages, etc.)”^{32;33} This guidance unintentionally excluded mold work orders.
- March 20, 2020 – NYCHA provided more context regarding leak related work orders that were being conducted including “...**water leaks**, gas leaks, **flooding conditions**, stoppages, electrical issues, and hazardous conditions.”³⁴ This guidance excluded mold work orders.³⁵
- April 6, 2020 – NYCHA expanded the work orders it would address including “...**conducting mold inspections and, if mold conditions are found, the necessary remediation and repair work. Paint related to mold conditions is suspended.**”³⁶
- April 17, 2020 – NYCHA requires that all staff wear face coverings (also referred to as PPE) during work within a unit - “Governor and the City issued another Order requiring all essential employees to wear a face covering that covers the mouth and nose when in direct contact with members of the public – that is, when employees are within six feet or less of any other person in the workplace, including coworkers and residents.”³⁷

³⁰ <https://nychajournal.nyc/update-from-nycha-chair-and-general-manager-on-covid-19-measures/>.

³¹ NYCHA is informing residents about COVID-19 updates through emails from NYCHA Chair Gregory Russ and General Manager Vito Mustaciuolo, direct phone calls, robocalls, notices posted in buildings, push notifications from the MyNYCHA app, and updates on NYCHA websites and social media. (https://www1.nyc.gov/site/nycha/about/covid-19-FAQ_page).

³² <https://nychajournal.nyc/covid-19-update-on-staff-working-in-apartments/>

³³ <https://nychajournal.nyc/covid-19-updates-related-to-nycha-property-management-offices/>

³⁴ <https://nychajournal.nyc/nycha-development-property-management-offices-services-update/>

³⁵ It is our understanding that the COVID-19 work order guidance disseminated to the property management staff included mold work orders as of March 20, 2020, although this was not communicated directly to residents via the NYCHA Journal.

³⁶ <https://nychajournal.nyc/development-services-update/>

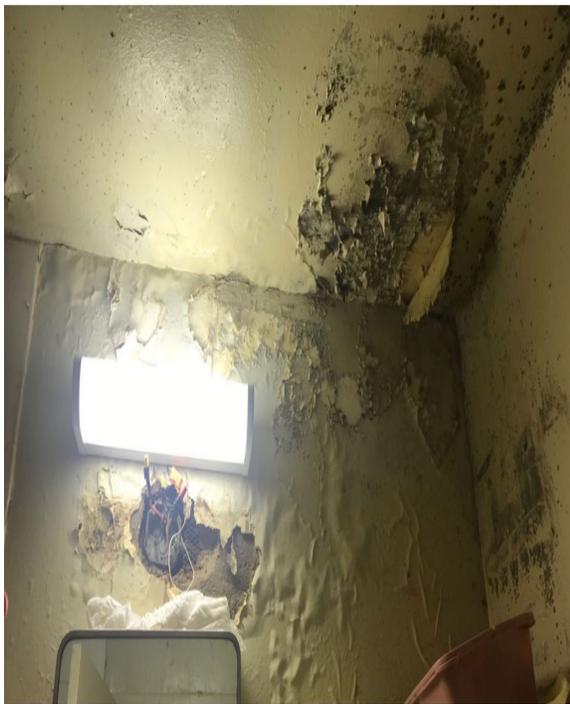
³⁷ <https://nychajournal.nyc/face-coverings-additional-protections-nycha/>

Exhibit 1 – OCC Resident Complaint Examples

A. Brooklyn Residents



B. Manhattan Residents



C. Queens and Staten Island Residents



D. Bronx Residents



E. Mixed Finance Residents



F. NGO-1 Residents



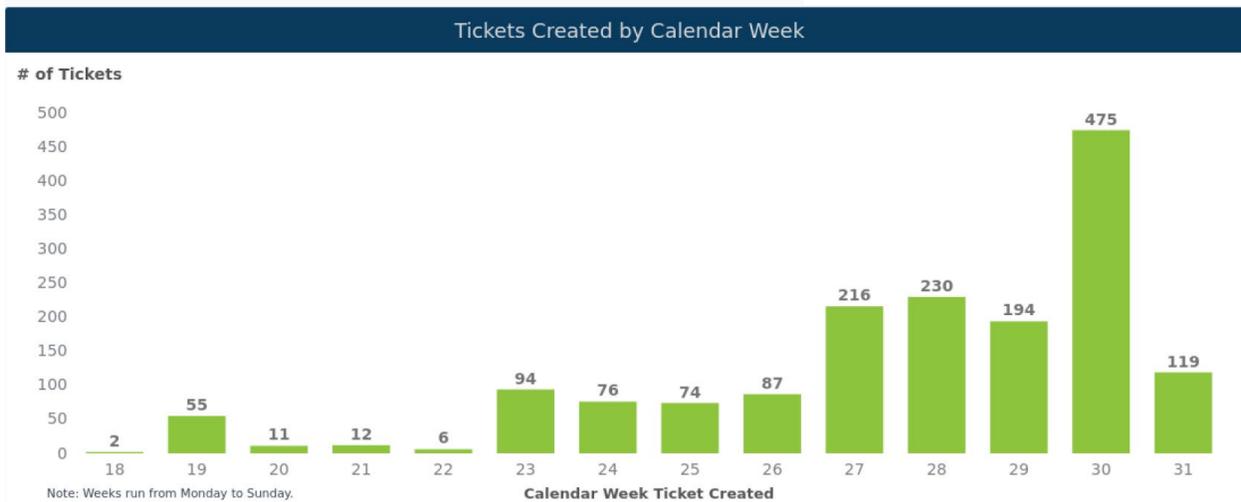
G. OCC Before and After Example



Exhibit 2 – OCC Metrics (Q3 – May 1, 2020 – July 31, 2020)³⁸

A. Ticket Summary

Created Tickets	Resolved Tickets	Open Tickets
1 651	275	1 617
Avg Monthly Tickets Created	Avg Weekly Tickets Created	
550	118	



³⁸ Totals on select metrics may not reconcile based on the create date of the ticket, current status, and/or data field being populated or available.

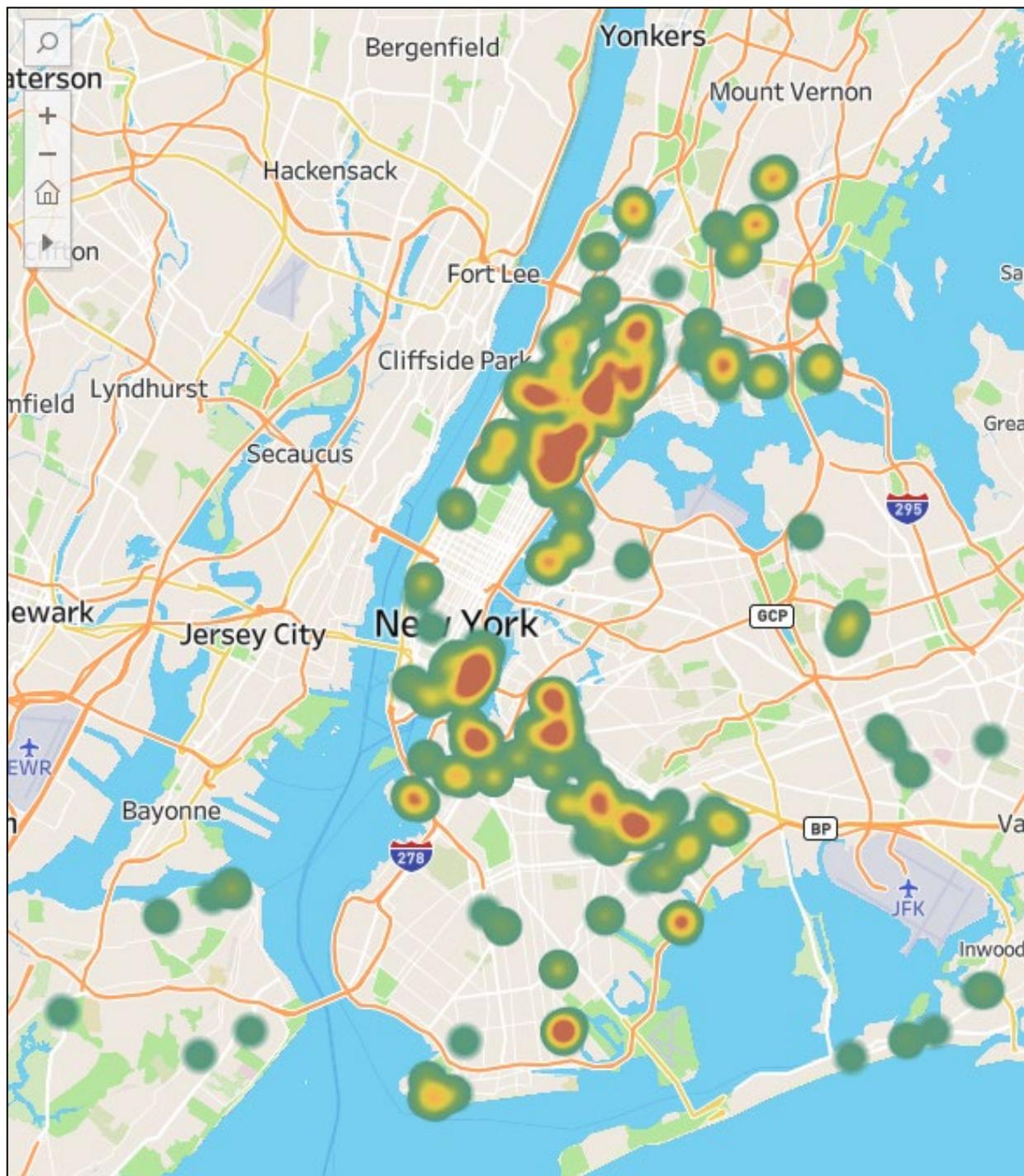


Tickets Created by Swimlane

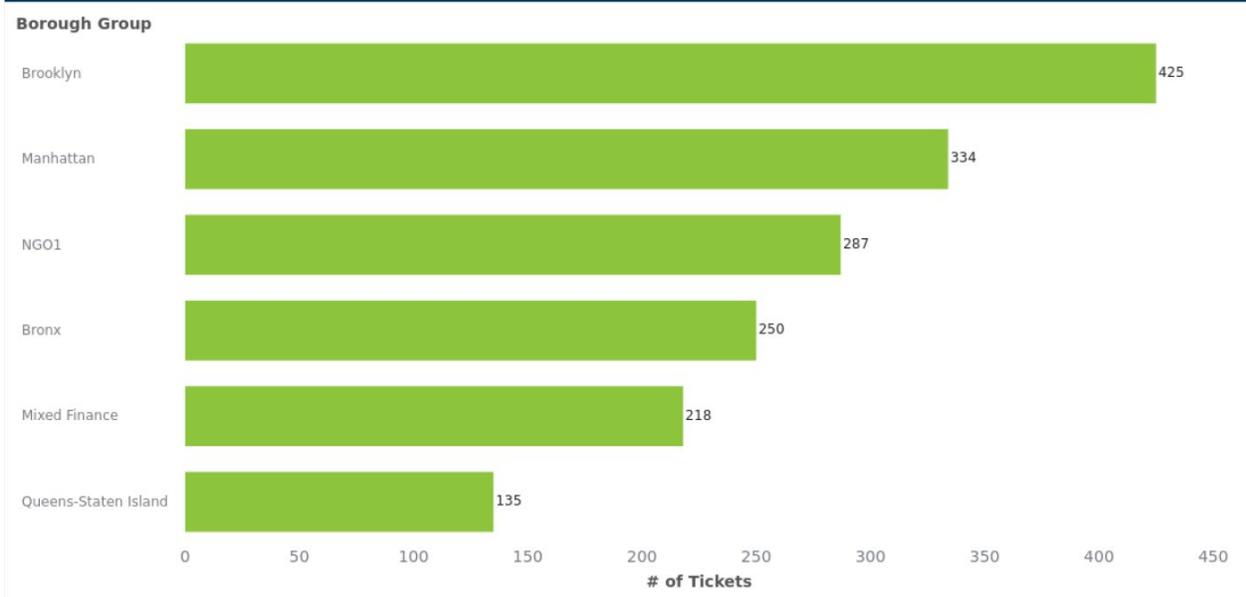
Swimlane	# of Tickets	% of Total
Scheduling	478	40%
Craftsmanship	242	20%
New mold or leak related issue	188	16%
OCC services inquiries	182	15%
Recurrence	57	5%
Improper closure of work order (within 1 month)	21	2%
Missed appointment	13	1%
Emergency	7	1%
Incorrect classification	1	0%



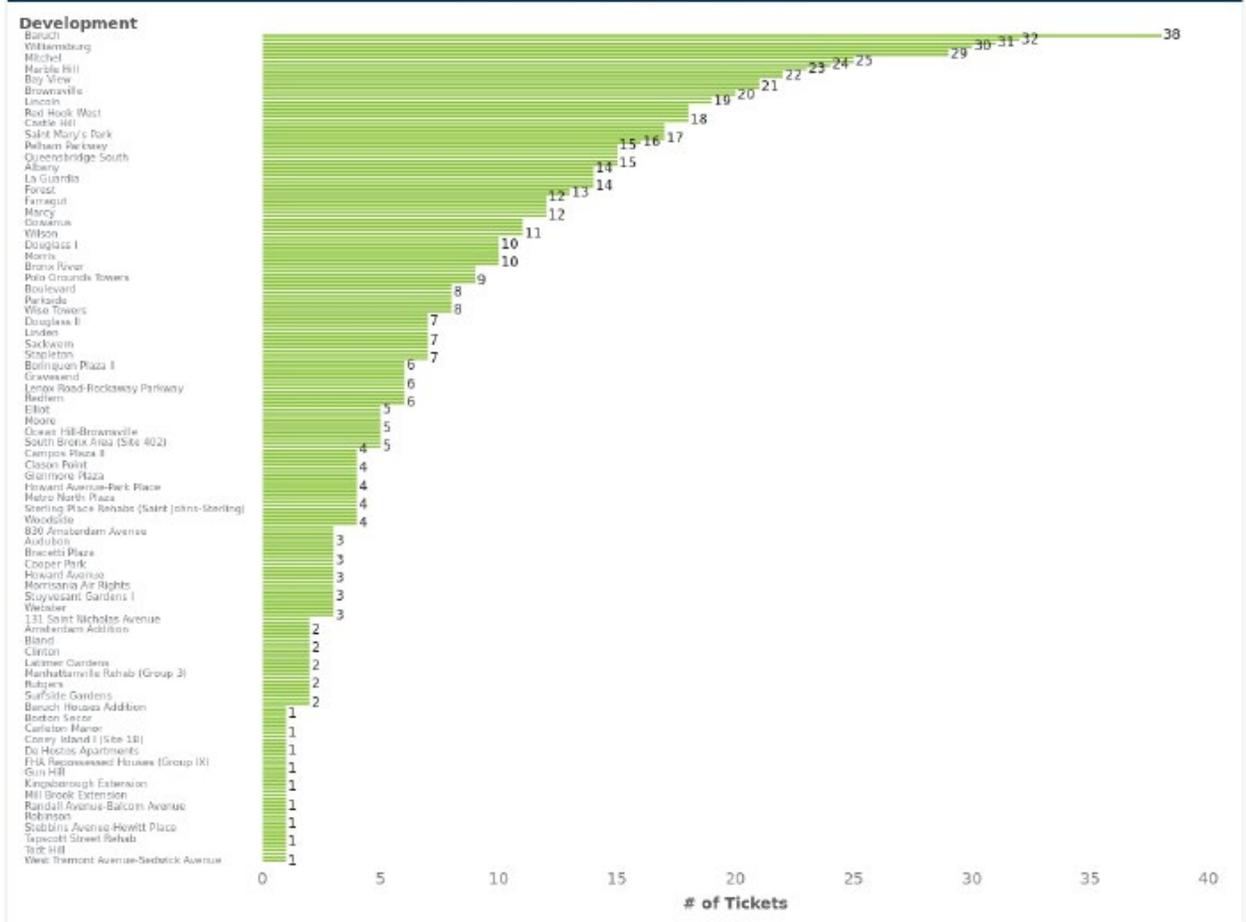
B. Tickets by Geography



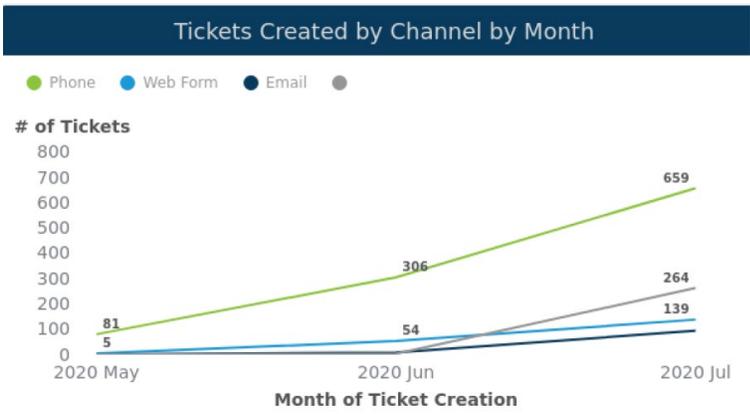
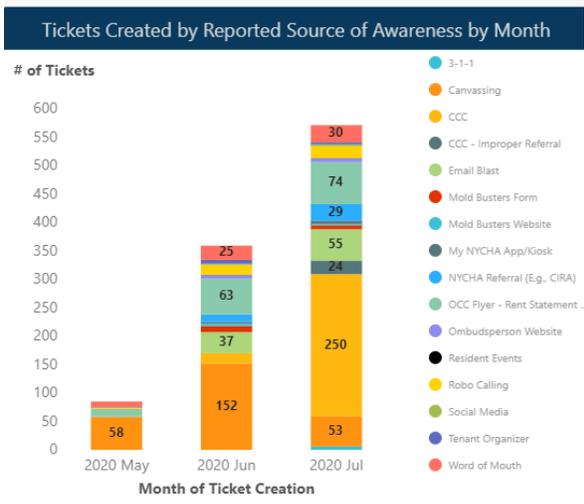
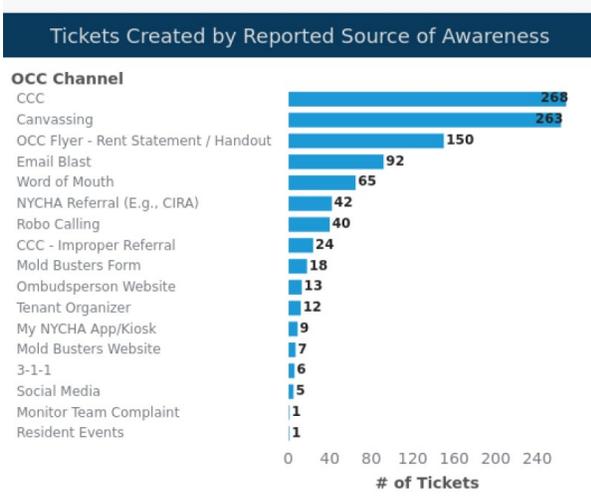
Tickets Created by Borough Grouping



Tickets Created by Development



C. Ticket Metrics



Tickets Created by OCC Work Performed	# of Tickets	% of Total
Reviewed Automated Unit History Report	1 156	66.4%
Reviewed Maximo Work Order Data	872	50.1%
Requested Scheduling Date	819	47.0%

Recommended Re-Inspection	185	10.6%
Recommended Re-opening a Work Order	31	1.8%
Recommended Temporary Repair	19	1.1%
Conducted a Virtual Inspection	17	1.0%
Recommended NYCHA Compliance Department Conduct Review/Investigation	10	0.6%
Conducted Work Order Investigation	7	0.4%
Recommended 3rd Party Attend Inspection/Remediation	3	0.2%
Requested Tenant Documentation	3	0.2%
Sought Information from Independent Mold Analyst	1	0.1%

Tickets Created by MRU Work Performed	# of Tickets
Followed-up with Labor Worker(s)/Investigated Situation	646
Followed up with Development Regarding Remediation Plan/ Inspection ...	325
Revised Remediation Plan/Expedited Scheduling	317
Escalated to RAM	14
Flagged for Supervisor Review/Oversight	6
Conduct New Mold Busters Inspection	3
Sent Building Supervisor to Conduct Immediate Inspection	3
Determined Reason for Missed Appointment	2
Increased Priority Level	1
Offered Temporary Relocation/Reasonable Accommodation Request	1
Refer Independent Mold Analyst for Inspection	1

Tickets Created by Escalation Required		
OCC Escalation	# of Tickets	% of Total
MRU	947	54.4%
MRU Supervisor	367	21.1%
EH&S	5	0.3%
Compliance	2	0.1%
OMAR	2	0.1%
Operations - RAM	2	0.1%
Operations - Director	1	0.1%

COVID-19 Impact			
COVID-19 Impact	# of Tickets	% of Total	
Delay in Work Due to Covid-19 Guidelines	175	10.0%	
Work Order(s) Placed On Hold	60	3.4%	
Resident Requested Delay in Work	16	0.9%	
Resident Refused Appointment	2	0.1%	
Delay in Work - Development Staffing Constraints	1	0.1%	
Plasterer - Missed Appointment	1	0.1%	

D. Resolved Tickets

Resolved Tickets	Average Days to Resolution
275	29 Days

Resolved Tickets by Month Resolved



Average Days to Resolution by WO Type



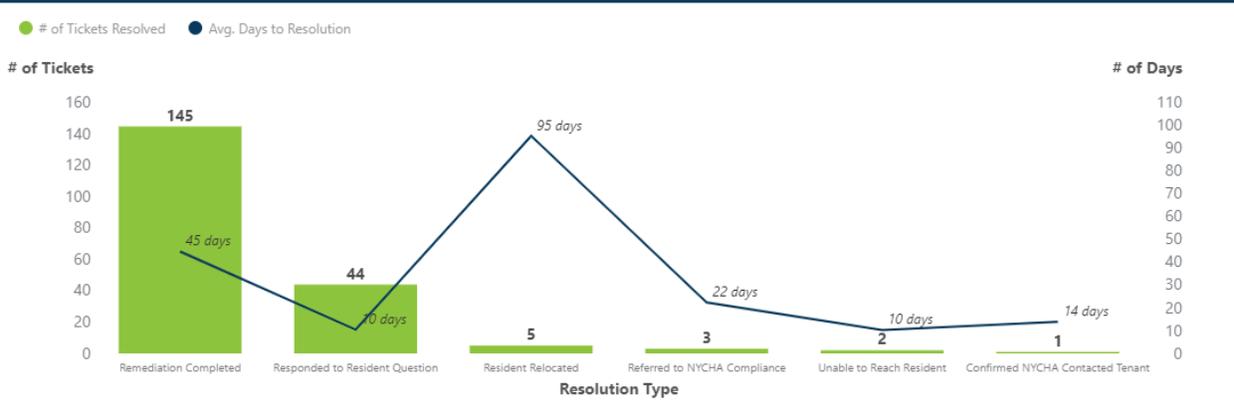
Resolved Tickets by Time to Resolution



Resolved Tickets by Swimlane

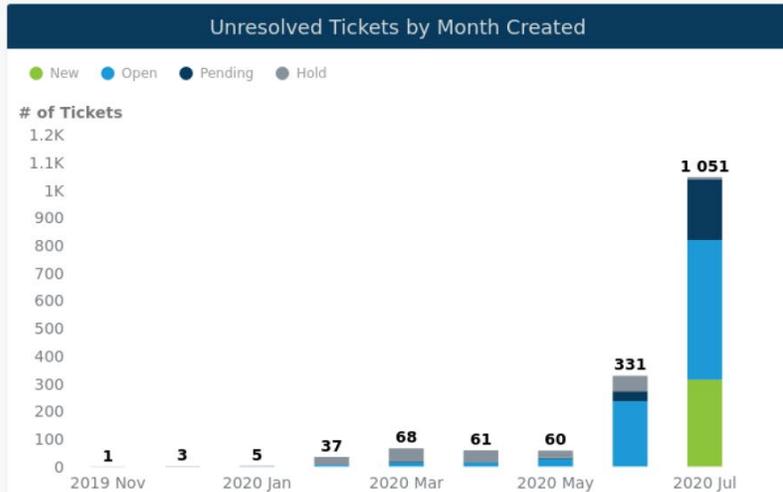
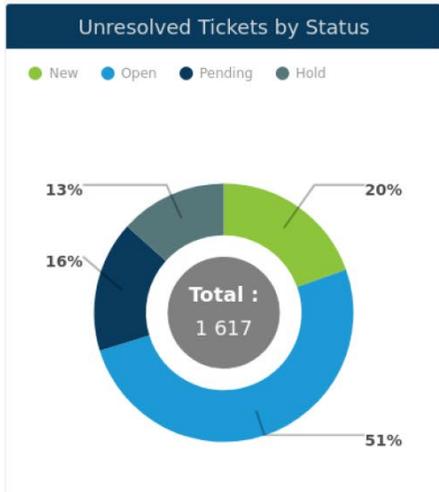
Swim Lane	# of Resolved Tickets	% of Total	Avg. Days to Resolution
Scheduling	65	31%	38 Day(s)
OCC services inquiries	56	27%	6 Day(s)
New mold or leak related issue	38	18%	50 Day(s)
Craftsmanship	31	15%	63 Day(s)
Recurrence	10	5%	65 Day(s)
Improper closure of work order (within 1 month)	6	3%	51 Day(s)
Emergency	1	0%	11 Day(s)

Resolved Tickets by Resolution Type and Avg. Days to Full Resolution



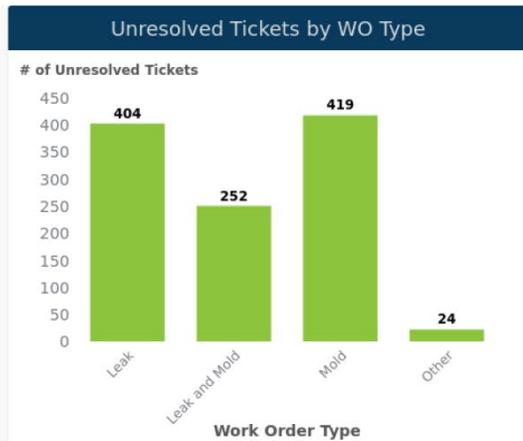
E. Unresolved Tickets³⁹

Unresolved Tickets	Average Ticket Age
1 617	37 Days



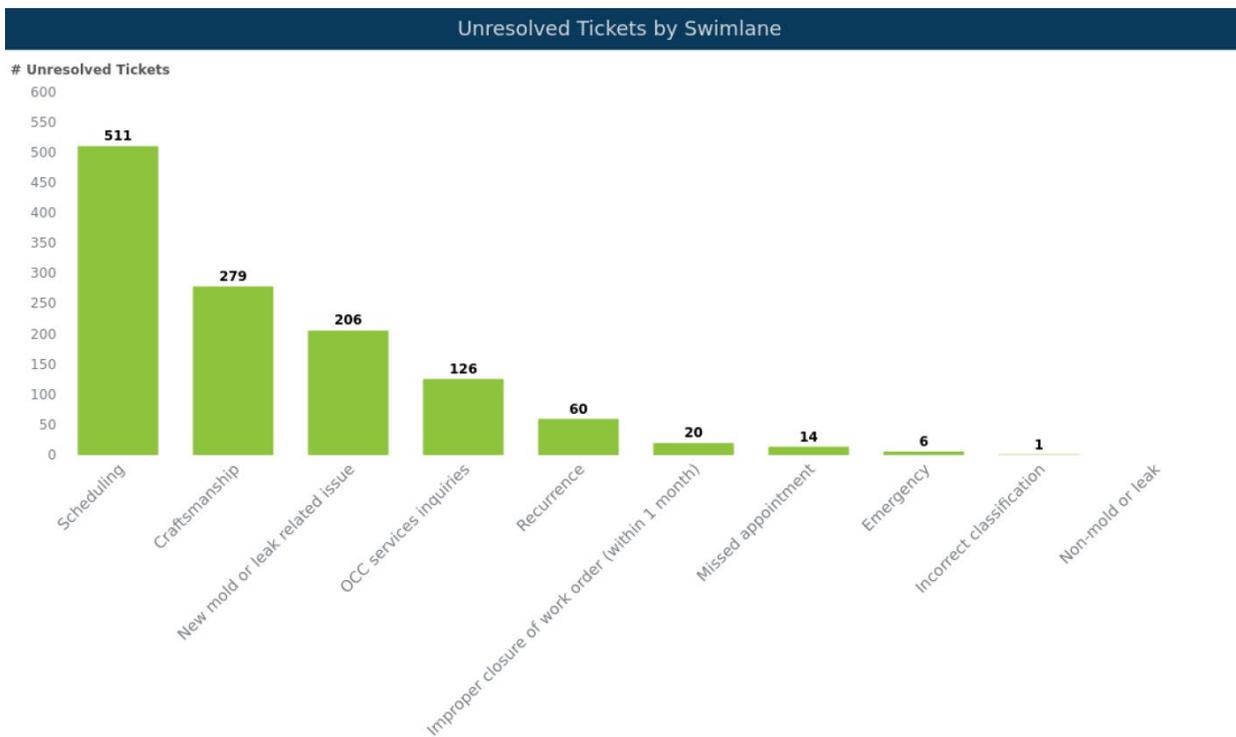
Unresolved Tickets by Swimlane

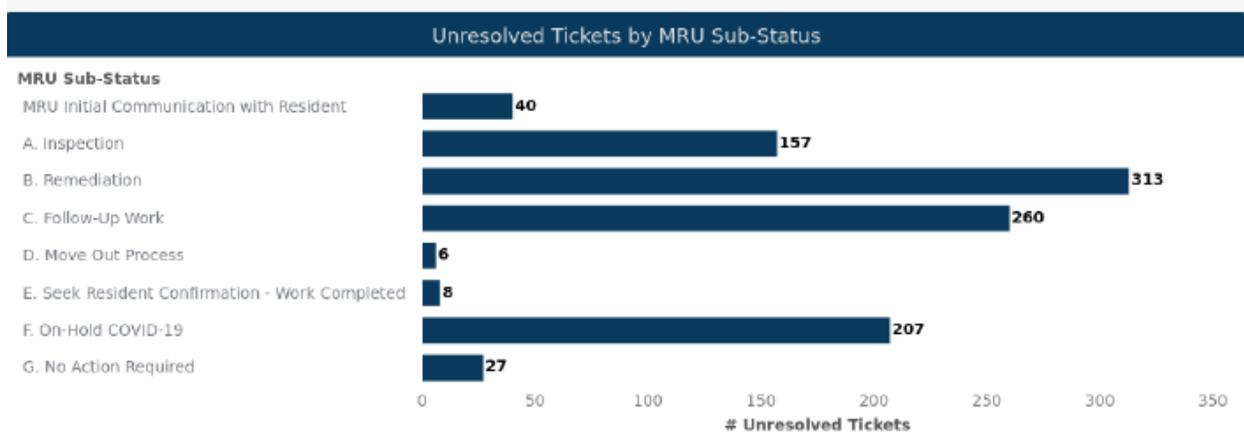
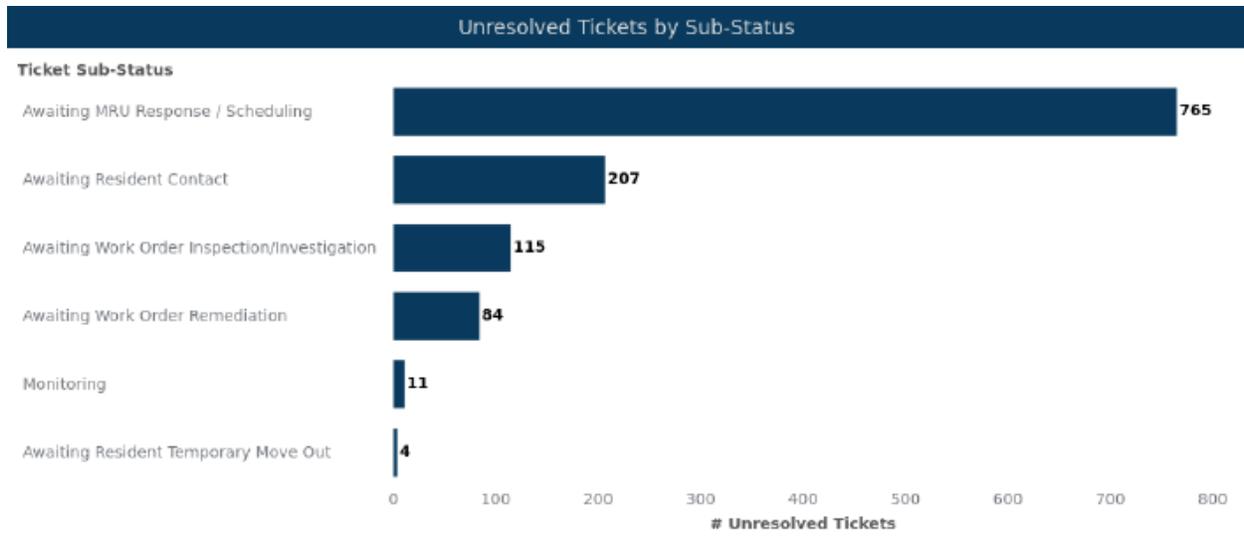
Swimlane	# of Tickets	Avg. Days Open	% of Total
Scheduling	511	47 days	31.6%
Craftsmanship	279	52 days	17.3%
New mold or leak related issue	206	53 days	12.7%
OCC services inquiries	126	22 days	7.8%
Recurrence	60	47 days	3.7%
Improper closure of work order (within 1 month)	20	37 days	1.2%
Missed appointment	14	35 days	0.9%
Emergency	6	8 days	0.4%
Incorrect classification	1	9 days	0.1%
Non-mold or leak	0		0.0%



³⁹ Tickets in "New" status are excluded from metrics.

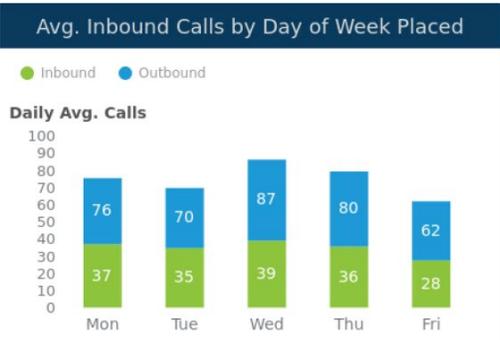
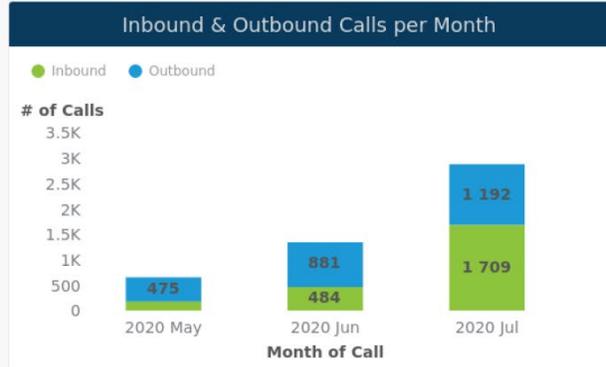
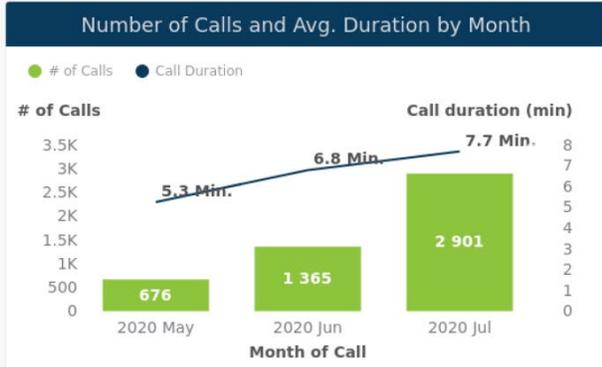
Unresolved Tickets by OCC Work Performed	
OCC Work Performed	# of Tickets
Reviewed Automated Unit History Report	1 188
Reviewed Maximo Work Order Data	952
Requested Scheduling Date	919
Recommended Re-Inspection	211
Conducted a Virtual Inspection	32
Recommended Re-opening a Work Order	28
Recommended Temporary Repair	24
Recommended NYCHA Compliance Department Conduct Review/Investigation	14
Conducted Work Order Investigation	7
Sought Information from Independent Mold Analyst	4
Recommended 3rd Party Attend Inspection/Remediation	3
Requested Tenant Documentation	3
Requested NYCHA Documentation	1
Conducted On-Site Visit	0

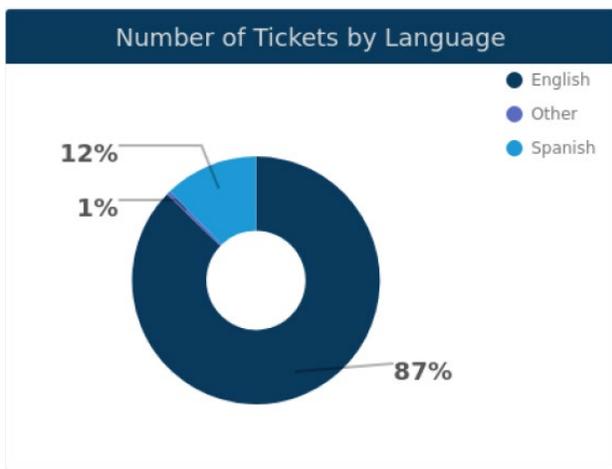




F. Call Metrics

Inbound Calls	Avg. Inbound Calls/Day	Outbound Calls	Avg. Outbound Calls/Day
2 394	29	2 548	31





Avg. Calls per Ticket

5

Exhibit 3 – OCC Outreach Examples

A. OCC Flyer



The flyer features a large photograph of a multi-story brick apartment building under a blue sky with scattered clouds. The image is framed by a yellow and black border. In the top right corner, the text "MOLD BUSTERS AT NYCHA" is displayed in bold, yellow and black letters. In the top left corner, there is a small logo for the Housing Authority of the City of New York, which includes a stylized building icon and the text "HOUSING AUTHORITY".

What is Mold Busters?

Mold Busters is NYCHA's program to effectively and efficiently remediate mold. It is a vital part of NYCHA's commitment to providing residents with the healthy and safe homes they deserve.

To report mold or a leak in your apartment and initiate the Mold Busters process, call the Customer Contact Center (CCC) at 718-707-7771 or use the MyNYCHA app.

Who is the Ombudsperson?

NYCHA is under a court order to effectively remediate mold and excessive moisture in a timely fashion. The Court has appointed César de Castro as the Ombudsperson to consider complaints from Residents if NYCHA fails to comply with that order. Mr. de Castro will address NYCHA residents' complaints about leak, mold and excess moisture repair orders. Mr. de Castro and the Ombudsperson Call Center (OCC), which works under Mr. de Castro's direction, are completely independent of NYCHA.



What is the Ombudsperson Call Center?

The OCC receives complaints by Residents who have already contacted the NYCHA CCC but still have concerns about mold, leaks and any associated repairs that have not been completed properly or have not been completed on time. Residents with such concerns can contact the OCC at 1-888-341-7152 or at ombnyc.com. Do not call the OCC unless you have first contacted NYCHA regarding a particular mold or leak problem and are dissatisfied with NYCHA's performance.

Common Reasons to Submit a Complaint to the Ombudsperson Call Center:

- You scheduled a mold inspection or the repair of a leak and NYCHA did not show up for the appointment.
- NYCHA conducted a mold inspection but did not tell you the next step in the repair process.
- NYCHA scheduled a mold or leak repair and it has taken longer than the required 15 days to complete the repair and this is causing a problem for you.
- NYCHA started the mold remediation process and/or leak repair work but did not complete it and did not provide you with a follow-up appointment date to complete the repair.
- NYCHA completed the mold or leak repair but the work was unsatisfactory or did not solve the problem.
- NYCHA completed the mold or leak repair but the problem came back again even though NYCHA tried to repair it.

B. MyNYCHA Kiosk

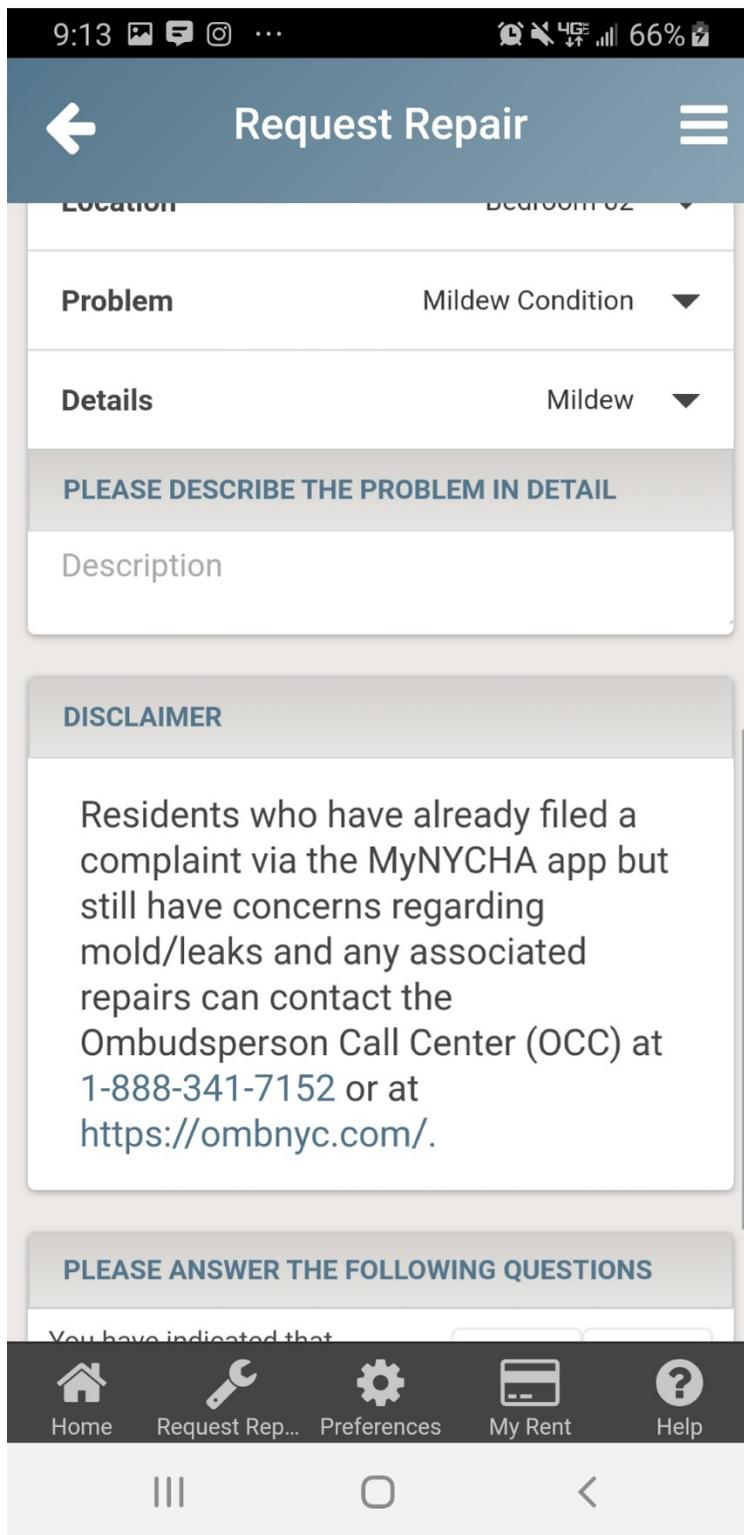
Residents with mold or active water leaks in their apartment should enter a work order by calling the **NYCHA Customer Contact Center at (718) 707-7771**. Residents can also use the MyNYCHA app or website.

Touch Screen to Begin



Residents who have already contacted the NYCHA Customer Contact Center but still have concerns regarding mold/leaks and any associated repairs can contact the **Ombudsperson Call Center (OCC) at 1-888-341-7152 or at ombnyc.com**.

C. MyNYCHA App Notification



D. NYCHA Mold Busters Mold Inspection Review Form



**Notice:
Mold Inspection Review**

11/04/18

JANE DOE
100-10 100TH STREET 3G
QUEENS, NEW YORK 11433

On **10/31/18** NYCHA conducted the initial inspection for work order # **60070080** NYCHA has found mold, water damage, and/or a moisture level indicating excessive moisture and/or a possible leak.

The likely root cause is: **LEAK ABOVE OR ASIDE**

Based on this root cause and the remediation method selected, follow-up work orders have been automatically generated. Below is a summary of the work that is needed to correct this root cause and remediate the mold or moisture condition:

Work Order #	Failure Class	Problem Code	Craft	Estimated Scheduled Date
62711365	Floor	FloorTilesDML	Maintenance	
62711366	Floor	Needs Cleaning	Caretaker	11/11/18
62645326	Mildew Condition	Mildew	Painter	11/13/18

If you do not have a scheduled date listed above, NYCHA will contact you to schedule appointments needed to complete the repairs or to discuss next steps if capital repairs are needed to remediate mold or moisture in your unit.

NYCHA is committed to completing all mold and excessive moisture work orders within 7 days for simple repairs and 15 days for complex repairs, starting from the date that the initial complaint is reported to the Customer Contact Center. If resident access is not provided for the scheduled follow-up appointments, NYCHA may use its right to access a resident's apartment, immediately after providing 48 hours' notice, as indicated in the NYCHA Resident Lease Agreement.

A final quality assurance re-inspection will be conducted by NYCHA staff 30 to 45 days after the necessary work orders are completed to ensure that the mold and excessive moisture remediation work was done correctly and effectively.

If you have any concerns regarding this notice or repair, you can reach the Ombudsperson Call Center (OCC) at 1-888-341-7152 or at <https://ombnyc.com/>. If OCC cannot resolve your concerns, they will contact Cesar De Castro, the Ombudsperson, to resolve the issue.

A translation of this document is available in your management office.
La traducción de este documento está disponible en la Oficina de Administración de su residencial.
所居公房管理处備有文件譯本可供索取。
所居公房管理处备有文件译本可供索取。
Перевод этого документа находится в офисе управления Вашего жилищного комплекса.

E. NYCHA Mold Busters Website

NYCHA NYC Housing Authority
311 | Search all NYC gov websites

Italiano | Translate | Text-Size

Home
About
Eligibility
Residents
Section 8
Business
Submit Concern
Search

Resources
Pay Rent
Engagement
Service Interruptions

Customer Contact Center

MyNYCHA

Domestic Violence

Emergency Management

Extermination Visits

Family Partnerships

Lead-Based Paint Inspections

Mold Busters

NYCHA Journal

Parking

Reasonable Accommodation

REES

Residents Policies & Procedures

Smoke-Free NYCHA

Mold Busters



The Mold Busters process introduces new mold inspection tools (clockwise from top): borescope (camera/viewing device for tight spaces), hygrometer (humidity detector), protimeter (surface moisture detector) and anemometer (airflow detector).

Photo: Mold Busters Inspection Tools

NYCHA is committed to providing residents with the healthy and safe homes they deserve. To fulfill this commitment, NYCHA is taking proactive measures to meet the obligations of both the 2018 Revised Baerz Consent Decree and the 2019 HUD Agreement. As part of this process, NYCHA has revised its standard procedure for addressing mold complaints and introduced "Mold Busters" – an innovative new program informed by industry standards to effectively and efficiently remediate mold. NYCHA began a citywide roll out of Mold Busters in January 2019 and completed implementation on September 2, 2019.

NYCHA will take the following measures to comprehensively address mold and moisture conditions:

- **Better Tools:** Staff will use new tools to find and fix mold's root causes, including moisture meters and new mold-fighting paint.
- **Enhanced Training:** Beginning in January 2019, over 2,500 staff members will receive comprehensive hands-on training in performing apartment inspections for mold and mold remediation.
- **More Accountability:** A new inspection and record keeping process will identify the underlying causes of mold and/or moisture problems. A new quality assurance process will ensure that staff properly address the root causes of mold and moisture. Finally, NYCHA has implemented a regular schedule to ensure that malfunctioning roof fans are identified and repaired in a timely manner.
- **Streamlined Response:** NYCHA will prioritize and better coordinate mold-related repairs across skilled trades.
- **Improved Communication:** NYCHA will improve communication with tenants by creating new informational tools and meeting with local Resident Associations to share information about the Mold Busters process.

Resources for Residents

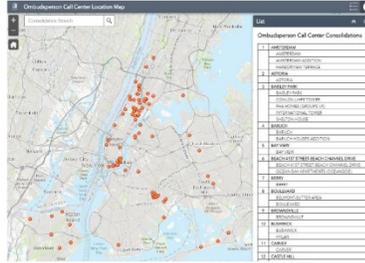
- [Mold and Mold Prevention](#)
- [NYCHA's New Mold Procedure Explained](#)
- [Mold Busters Fact Sheet English | Español | Русский](#)
- [Ombudsman and Ombudsperson Call Center Information English | Español](#)
- [NYCHA's Right to Entry Policy Explained](#)
- [Mold Busters Public Presentation NYCHA 2.0 Resident Webinar](#)
- [Mold Busters Public Presentation NYCHA 2.0 Resident Webinar Video](#)
- [NYCHA's Mold Standard Procedure](#)

Residents with mold or active water leaks in their apartment should enter a work order by calling the **NYCHA Customer Contact Center** at (718) 707-7771. Residents can also use the **MyNYCHA** app or website.

Residents who have already contacted the NYCHA Customer Contact Center but still have concerns regarding mold/leaks and any associated repairs can contact the Ombudsman Call Center (OCC) at 1-888-341-7152 or at ombyc.com. If OCC cannot resolve your concerns, they will contact Cesar de Castro, the Ombudsperson, to resolve the issue.

The Ombudsperson will initiate a phased portfolio-wide launch of the Call Center that will be completed by July 1, 2020. The start schedule is listed below:

- Jefferson Beta Test: November 4, 2019
- NGO: Live as of February 3, 2020
- Mott/Fincher: Live as of March 2, 2020
- Manhattan: Live as of April 1, 2020
- Queens/St. May 1, 2020
- Bronx: June 1, 2020
- Brooklyn: July 1, 2020



This map shows locations where OCC support is now available to NYCHA residents.

Directory of City Agencies

Notify NYC

NYC Mobile Apps

Contact NYC Government

City Store

Maps

City Employees

Stay Connected

Resident Toolkit



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NYC is a trademark and service mark of the City of New York.

F. Email Notification

From: **New York City Housing Authority** <noreply@everbridge.net>
 Date: Thu, Jul 23, 2020 at 2:23 PM
 Subject: Ombudsman_7_23



[Please click here to acknowledge receipt of this message](#)

Hello, this is the New York City Housing Authority calling to remind you that the Ombudsperson Call Center (or OCC) that is independent of NYCHA is active at your development. Residents who have already contacted NYCHA but still have concerns about mold, leaks and any associated repairs that have not been completed properly or on time can contact the OCC at 888-342-7152 or email at ombnyc.com

With the recent spread of COVID-19, NYCHA is still committed to its residents. During this time, NYCHA will be focusing on emergencies only. Mold inspections will continue, however, all non related emergencies will be postponed until further notice.

G. NYCHA Intergovernmental Newsletter



COVID-19 Update #48

We hope that this has reached you in good health. Thank you for your commitment in serving the residents and employees of NYCHA. Together, we can support our communities in need. This issue will highlight the following topics:

- Customer Contact Center Annual Recertification Prompt Update
- Ombudsperson Call Center: Mold Busters
- The Summer Bridge 2020 Program: Application Due Tomorrow!
- NeON Food Pantries

Customer Contact Center (CCC) Annual Recertification Prompt Update

Calling the CCC for Annual Recertifications? The new prompt to be connected with the unit is option 5. For this and other options, please see below.

CCC Hotline: 718-707-7771

- For Maintenance Press 1.
- For Section 8 Housing Press 2.
- For Applications press 3
- For Public Housing Emergency Transfers press 4.
- For Annual Recertifications and Rent Hardship, press 5.**
- For Lockbox and Parking press 6.
- For the Compliance Department, the Environmental Health & Safety Department or the Quality Assurance Unit, press 7

Ombudsperson Call Center: Mold Busters

NYCHA is under a court order to effectively remediate mold and excessive moisture in a timely fashion. The Court has appointed César de Castro as the independent Ombudsperson to consider complaints from residents if NYCHA fails to comply with that order. Mr. de Castro and the Ombudsperson Call Center (OCC) are completely independent of NYCHA. The OCC is now active at all NYCHA Consolidations.

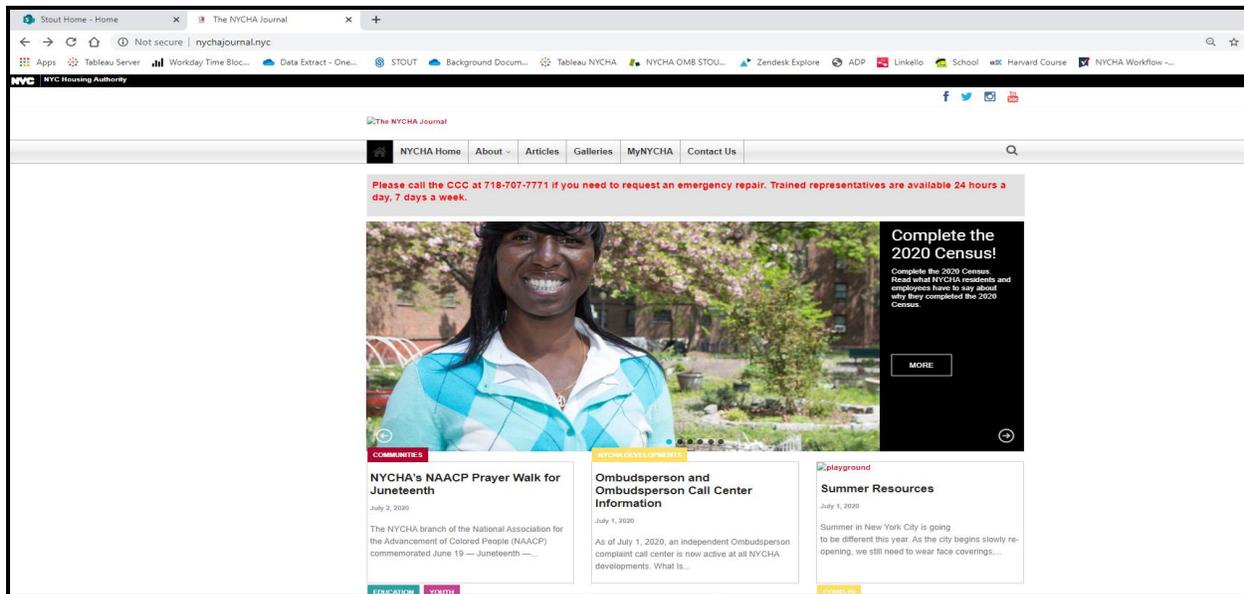
Residents with mold concerns can contact the independent OCC at 1-888-341-7152 or at http://secure-web.disco.com/1aGSEW69d_KRISOECruuMfuGntA7PFHLvys2WxR9_X0ek7UN7cRHxv6lqyY13u5p22AAuGW9mMj6JE8f8%JZcaXGbLm561_Y2qEFG-myW9ny92GJJe8y8RcB0b08c0eSL1-nJyDe84818owYD3qefnONi40984v0TihhQTX34xuv@DS8BlppiaRBTx3771Dw3i11KCVDZxZxAlu4dnngIXOukuQmes7No7USPFTqkFmAk-WLaOSDqb0OWaFdlJ0aW2_Tu1twxv6JNPyLefOrZBbw7X055v45-Naw76Fe08wD_cy6pPIdbGpdXXShvuSQ2i9GmjDvNq_WVDhwCBuLb-GaCeMzPzPFBx4pWRESchb_-JML_HXhlaMCTe7D7_5MDie-KuDoMwnis3bH4HUPRnN8http://www.ombnyc.com

Residents should not call the OCC unless they have first contacted NYCHA regarding a particular mold or leak problem and are dissatisfied with NYCHA's performance.

Please refer [here](#) for additional information regarding Mr. de Castro and the Ombudsperson Call Center (OCC).

H. Social Media Posts

The NYCHA Journal



Facebook

New York City Housing Authority (NYCHA) June 27 at 7:15 AM

Ombudspersons Call Center is available for most NYCHA developments if you are experiencing the following issues:

- You scheduled a mold inspection or the repair of a leak and NYCHA did not show up for the appointment.
- NYCHA conducted a mold inspection but did not tell you the next step in the repair process.
- NYCHA scheduled a mold or leak repair and it has taken longer than the required 15 days to complete the repair and this is causing a problem for you.
- NYCHA started the mold remediation process and/ or leak repair work but did not complete it and did not provide you with a follow-up appointment date or complete the repair.
- NYCHA completed the mold or leak repair but the work was unsatisfactory or did not solve the problem.
- NYCHA completed the mold or leak repair but the problem came back again.

Learn more:

- English <https://on.nyc.gov/2Nfdyqm>
- Spanish <https://on.nyc.gov/2UZ7npQN>
- 中文 (繁體) <https://on.nyc.gov/2UWYj9>
- 中文 (简体) <https://on.nyc.gov/3ekvago>
- Pycooná <https://on.nyc.gov/2V11aP1>
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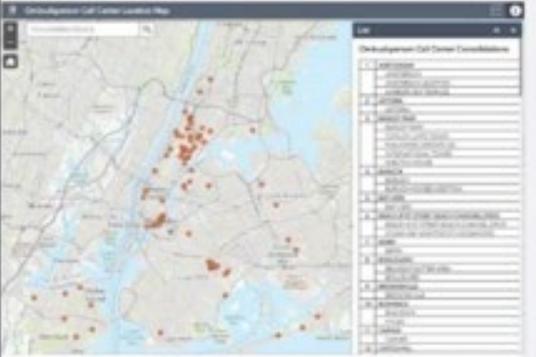


New York City Housing Authority (NYCHA) 6 hrs

The Ombudspersons Call Center (OCC) is currently 'live' for all NGO, Mixed Finance, Manhattan, Queens and Staten Island and Bronx developments. OCC will be live in Brooklyn by July 1st.

To see if OCC is live in your development please see the map below, and read the flyers for more info.

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New York City Housing Authority (NYCHA) June 27 at 7:15 AM

Ombudspersons Call Center is available for most NYCHA developments if you are experiencing the following issues:

- You scheduled a mold inspection or the repair of a leak and NYCHA did not show up for the appointment.
- NYCHA conducted a mold inspection but did not tell you the next step in the repair process.
- NYCHA scheduled a mold or leak repair and it has taken longer than the required 15 days to complete the repair and this is causing a problem for you.
- NYCHA started the mold remediation process and/ or leak repair work but did not complete it and did not provide you with a follow-up appointment date or complete the repair.
- NYCHA completed the mold or leak repair but the work was unsatisfactory or did not solve the problem.
- NYCHA completed the mold or leak repair but the problem came back again.

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