

Governance Information (Authority-Related)

Question	Response	URL (if applicable)
1. Has the Authority prepared its annual report on operations and accomplishments for the reporting period as required by section 2800 of PAL?	Yes	http://www.nyshcr.org/AboutUs/Governance/GovernanceInformationfornyhomes.htm
2. As required by section 2800(9) of PAL, did the Authority prepare an assessment of the effectiveness of its internal controls?	Yes	http://www.nyshcr.org/AboutUs/Governance/GovernanceInformationfornyhomes.htm
3. Has the Authority named an internal control officer in accordance with section 2931 of PAL?	Yes	N/A
4. Please enter the number of staff assigned the internal control function.	2	N/A
5. Has the lead audit partner for the independent audit firm changed in the last five years in accordance with section 2802(4) of PAL?	Yes	N/A
6. Does the independent auditor provide non-audit services to the Authority?	No	N/A
7. Does the Authority have an organization chart?	Yes	http://www.nyshcr.org/AboutUs/Governance/GovernanceInformationfornyhomes.htm
8. Are any Authority staff also employed by another government agency?	Yes	HFA, TSFA, MBBA, SONYMA, DHCR, HFTC
9. Has the Authority posted their mission statement to their website?	Yes	http://www.nyshcr.org/AboutUs/Governance/GovernanceInformationfornyhomes.htm
10 Has the Authority's mission statement been revised and adopted during the reporting period?	Yes	N/A
11 Attach the Authority's measurement report, as required by section 2824-a of PAL and provide the URL.		http://www.nyshcr.org/AboutUs/Governance/GovernanceInformationfornyhomes.htm
12 Has the Authority adopted a lobbying policy in accordance with section 2987 of PAL?	Yes	http://www.nyshcr.org/AboutUs/Governance/GovernanceInformationfornyhomes.htm
Lobbying officer name	Alejandro J. Valella	N/A
13 Has the Authority maintained a record of all lobbying contacts during the reporting period, as required by section 2987 of PAL?	Yes	N/A

Governance Information (Board-Related)

Question	Response	URL
1. Has the Board established a Governance Committee in accordance with Section 2824(7) of PAL?	Yes	N/A
2. Has the Board established an Audit Committee in accordance with Section 2824(4) of PAL?	Yes	N/A
3. Has the Board established Finance Committee in accordance with Section 2824(8) of PAL?	No	N/A
4. Provide a URL link where a list of Board committees can be found (including the name of the committee and the date established):		http://www.nyshcr.org/AboutUs/Governance/GovernanceInformationforNYHomes.htm
5. Does the majority of the Board meet the independence requirements of Section 2825(2) of PAL?	Yes	N/A
6. Provide a URL link to the minutes of the Board and committee meetings held during the covered fiscal year		http://www.nyshcr.org/AboutUs/Governance/GovernanceInformationforNYHomes.htm
7. Has the Board adopted bylaws and made them available to Board members and staff?	Yes	http://www.nyshcr.org/AboutUs/Governance/GovernanceInformationforNYHomes.htm
8. Has the Board adopted a code of ethics for Board members and staff?	Yes	http://www.nyshcr.org/AboutUs/Governance/GovernanceInformationforNYHomes.htm
9. Does the Board review and monitor the Authority's implementation of financial and management controls?	Yes	N/A
10. Does the Board execute direct oversight of the CEO and management in accordance with Section 2824(1) of PAL?	Yes	N/A
11. Has the Board adopted policies for the following in accordance with Section 2824(1) of PAL?		
Salary and Compensation	Yes	N/A
Time and Attendance	Yes	N/A
Whistleblower Protection	Yes	N/A
Defense and Indemnification of Board Members	Yes	N/A
12. Has the Board adopted a policy prohibiting the extension of credit to Board members and staff in accordance with Section 2824(5) of PAL?	Yes	N/A
13. Are the Authority's Board members, officers, and staff required to submit financial disclosure forms in accordance with Section 2825(3) of PAL?	Yes	N/A
14. Was a performance evaluation of the board completed?	Yes	N/A
15. Was compensation paid by the Authority made in accordance with employee or union contracts?	Yes	N/A
16. Has the board adopted a conditional/additional compensation policy governing all employees?	No	

Board of Directors Listing

Name	Mattox, Thomas H	Name	Megna, Robert L
Chair of the Board	No	Chair of the Board	No
If yes, Chairman Designated by.		If yes, Chairman Designated by.	
Term Start Date	03/08/2011	Term Start Date	06/15/2009
Term Expiration Date	Ex-Officio	Term Expiration Date	Ex-Officio
Title	Commissioner	Title	Budget Director
Has the Board member appointed a designee?	Yes	Has the Board member appointed a designee?	Yes
Designee Name	Aida Brewer	Designee Name	Elaine McCann
Ex-officio	Yes	Ex-officio	Yes
Nominated By	Ex-Officio	Nominated By	Ex-Officio
Appointed By	Ex-Officio	Appointed By	Ex-Officio
Confirmed by Senate?		Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes	Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	Yes	Does the Board member/designee also hold an elected or appointed State gove	Yes
Does the Board member/designee also hold an elected or appointed municipal government position?	No	Does the Board member/designee also hold an elected or appointed municipal government position?	No

Board of Directors Listing

Name	Mulrow, William J	Name	Weiss, Steven J
Chair of the Board	Yes	Chair of the Board	No
If yes, Chairman Designated by.	Governor	If yes, Chairman Designated by.	
Term Start Date	03/19/2012	Term Start Date	06/07/2011
Term Expiration Date	01/01/2018	Term Expiration Date	01/01/2017
Title		Title	
Has the Board member appointed a designee?		Has the Board member appointed a designee?	
Designee Name		Designee Name	
Ex-officio	No	Ex-officio	No
Nominated By	Governor	Nominated By	Governor
Appointed By	Governor	Appointed By	Governor
Confirmed by Senate?	Yes	Confirmed by Senate?	Yes
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes	Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes	Complied with training requirement of Section 2824?	No
Does the Board member/designee also hold an elected or appointed State gove	No	Does the Board member/designee also hold an elected or appointed State gove	No
Does the Board member/designee also hold an elected or appointed municipal government position?	No	Does the Board member/designee also hold an elected or appointed municipal government position?	No

Board of Directors Listing

Name	Towns, Darryl C
Chair of the Board	No
If yes, Chairman Designated by.	
Term Start Date	04/07/2011
Term Expiration Date	Ex-Officio
Title	Cheif Executive Officer
Has the Board member appointed a designee?	No
Designee Name	
Ex-officio	Yes
Nominated By	Ex-Officio
Appointed By	Ex-Officio
Confirmed by Senate?	
Has the Board member/designee signed the acknowledgement of fiduciary duty?	Yes
Complied with training requirement of Section 2824?	Yes
Does the Board member/designee also hold an elected or appointed State gove	Yes
Does the Board member/designee also hold an elected or appointed municipal government position?	No

Staff Listing

Name	Title	Group	Department / Subsidiary	Union Name	Bargaining Unit	Full Time/Part Time	Exempt	Base Annualized Salary	Actual salary paid to the Individual	Over time paid by Authority	Performance Bonus	Extra Pay	Other Compensation/Allowances/Adjustments	Total Compensation	Individual also paid by another entity to perform the work of the Authority	If yes, Is the payment made by State or local government
Abrams, Alexander	Vice President for Portfolio Management	Managerial	Housing Programs & Policy			FT	Yes	120,000.00	116,769.12	0	0	0	0	116,769.12	No	
Archer, Clifford	Vice President	Managerial	Housing Programs & Policy			FT	Yes	113,142.00	113,142	0	0	0	445	113,587	No	
Bocina, Joan S	Associate Counsel	Professional	Legal	UAW	AHC	FT	Yes	141,398.00	120,188.11	0	0	1,087.68	0	121,275.79	No	
Boody, Thomas T	Data Base Mgr/Sr. Syst. Archit	Technical and Engineering	Finance & Operations	UAW	AHC	FT	Yes	97,200.00	97,199.96	0	0	1,121.54	0	98,321.5	No	
Boyd, Gloria D	Vice President	Professional	Housing Programs & Policy	UAW	AHC	FT	Yes	84,800.00	79,569.24	0	0	3,000	0	82,569.24	No	
Brown Jr., Richard M	Underwriter	Professional	Housing Programs & Policy	UAW	AHC	FT	Yes	74,821.00	74,821	0	0	0	0	74,821	No	
Cabrera, Lillian	Sr. Executive Assistant	Professional	Executive Office			FT	No	87,733.00	87,733	0	0	3,374.35	0	91,107.35	No	
Chan, Jimmy D	Senior Network Engineer	Technical and Engineering	Finance & Operations	UAW	AHC	FT	Yes	116,755.00	116,755	0	0	4,490.58	105	121,350.58	No	
Chang, Elaine M	Program Manager	Professional	Housing Programs & Policy	UAW	AHC	FT	Yes	94,203.00	75,362	0	0	0	0	75,362	No	
Colombo, Bonita R	Loan Administrator	Professional	Housing Programs & Policy	UAW	AHC	FT	Yes	50,055.00	49,477	0	0	0	0	49,477	No	
Dilan, Jose Dilan	VP/IT/Telcom/Fac&Adm	Managerial	Finance & Operations			FT	Yes	125,195.00	125,195	0	0	4,815	0	130,010	No	

Staff Listing

Name	Title	Group	Department / Subsidiary	Union Name	Bargaining Unit	Full Time/ Part Time	Exempt	Base Annualized Salary	Actual salary paid to the Individual	Over time paid by Authority	Performance Bonus	Extra Pay	Other Compensation/Allowances/Adjustments	Total Compensation	Individual also paid by another entity to perform the work of the Authority	If yes, Is the payment made by State or local government
Fisher-Kemp, Deirdre	Project Manager	Professional	Housing Programs & Policy	UAW	AHC	FT	Yes	62,386.00	61,666	0	0	0	0	61,666	No	
Flanders, Veronica M	Program Compliance Specialist	Professional	Finance & Operations	UAW	AHC	FT	Yes	70,000.00	70,000	0	0	2,692	0	72,692	No	
Francis, Toyce T	Webmaster	Professional	Executive Office	UAW	AHC	FT	Yes	64,700.00	14,433	0	0	0	55	14,488	No	
Gomez, Paul	Associate Auditor	Professional	Executive Office	UAW	AHC	FT	Yes	72,982.00	72,982	0	0	2,807	0	75,789	No	
Gruenfeld, Leonard	AVP/Senior Underwriter	Professional	Housing Programs & Policy	UAW	AHC	FT	Yes	87,797.00	87,797	0	0	3,376.81	0	91,173.81	No	
Guan, Yingying	Senior Accountant	Professional	Finance & Operations	UAW	AHC	FT	Yes	55,504.00	34,454.81	0	0	0	0	34,454.81	No	
Gulotta, Lawrence	Project Manager	Professional	Housing Programs & Policy	UAW	AHC	FT	Yes	88,400.00	88,400	0	0	0	0	88,400	No	
Hauk, Henry C	AVP/Deputy Comptroller	Managerial	Finance & Operations	UAW	AHC	FT	Yes	117,198.00	117,198.12	0	0	4,507.62	0	121,705.74	No	
Hunter, Karen M	Upstate Regional Director	Managerial	Legal			FT	Yes	127,408.00	127,408	0	0	0	0	127,408	No	
Lam, Man Kuen	Underwriting	Professional	Housing Programs & Policy	UAW	AHC	FT	Yes	68,000.00	62,676	0	0	0	0	62,676	No	
Landy, Robert J	Asset Manager	Professional	Housing Programs & Policy	UAW	AHC	FT	Yes	58,916.00	58,916	0	0	2,266	45	61,227	No	
Lohrs, John D	Asset Manager	Professional	Housing Programs & Policy	UAW	AHC	FT	Yes	75,400.00	69,165	0	0	0	105	69,270	No	
Marnell, Kathryn E	Sr. Asset Manager	Managerial	Housing Programs & Policy	UAW	AHC	FT	Yes	88,817.00	88,817.04	0	0	0	120	88,937.04	No	

Staff Listing

Name	Title	Group	Department / Subsidiary	Union Name	Bargaining Unit	Full Time/ Part Time	Exempt	Base Annualized Salary	Actual salary paid to the Individual	Over time paid by Authority	Performance Bonus	Extra Pay	Other Compensation/Allowances/Adjustments	Total Compensation	Individual also paid by another entity to perform the work of the Authority	If yes, Is the payment made by State or local government
Martello, Dominic A	VP/Affordable Housing Corp.	Managerial	Housing Programs & Policy			FT	Yes	104,432.00	104,432.12	0	0	4,016.62	0	108,448.74	No	
Martinez, Anthea W	Program Assistant	Administrative and Clerical	Housing Programs & Policy	UAW	AHC	FT	No	56,788.00	56,787.9	0	0	0	0	56,787.9	No	
McGill, Margaret L	VP/Counsel to MIF	Professional	Housing Programs & Policy			FT	Yes	137,058.00	137,058	0	0	0	460	137,518	No	
Mookram, Sue	Executive Adm. Assistant	Administrative and Clerical	Legal	UAW	AHC	FT	No	68,911.00	68,910.92	909.96	0	1,325.21	162	71,308.09	No	
Okusanya, Michelle M	Senior Financial Analyst	Professional	Finance & Operations	UAW	AHC	FT	Yes	88,167.00	88,167.04	0	0	3,391.04	0	91,558.08	No	
Paluch, John J	Associate Accountant	Professional	Finance & Operations	UAW	AHC	FT	Yes	85,582.00	85,582.12	0	0	3,291.62	0	88,873.74	No	
Pearson, Jason R	Vice President/Director of NSP	Managerial	Housing Programs & Policy			FT	Yes	94,952.00	94,288	0	0	3,652	170	98,110	No	
Reddy, Ravelly	Marketing Public Affairs Officer	Professional	Executive Office	UAW	AHC	FT	Yes	52,000.00	38,973.38	0	0	0	0	38,973.38	No	
Santana, Alejandra	Final Document Loan Analyst	Administrative and Clerical	Housing Programs & Policy	UAW	AHC	FT	No	50,988.00	50,988	0	0	0	0	50,988	No	
Sarmiento, Juan	Assistant Accountant	Professional	Finance & Operations	UAW	AHC	FT	Yes	52,856.00	52,855.92	447.24	0	2,032.92	72	55,408.08	No	
Sedney, Leonard G	AVP/CES	Professional	Housing Programs & Policy	UAW	AHC	FT	Yes	108,950.00	108,949.88	0	0	4,190.38	0	113,140.26	No	

Staff Listing

Name	Title	Group	Department / Subsidiary	Union Name	Bargaining Unit	Full Time/Part Time	Exempt	Base Annualized Salary	Actual salary paid to the Individual	Over time paid by Authority	Performance Bonus	Extra Pay	Other Compensation/Allowances/Adjustments	Total Compensation	Individual also paid by another entity to perform the work of the Authority	If yes, Is the payment made by State or local government
Stern, Susan M	Assistant Counsel	Professional	Legal	UAW	AHC	FT	Yes	80,340.00	80,340	0	0	0	0	80,340	No	
Sultana, Ripon	Assistnat Accountant	Professional	Finance & Operations	UAW	AHC	FT	Yes	51,704.00	41,164.44	0	0	0	0	41,164.44	No	
Vitacco, Maryann	Senior Legal Assistant	Administrative and Clerical	Legal	UAW	AHC	FT	No	54,518.00	54,518.1	1,055.43	0	2,096.85	180	57,850.38	No	
Walters, Alexis K	Special Assistant-NSP	Administrative and Clerical	Housing Programs & Policy	UAW	AHC	FT	No	36,300.00	12,426.4	0	0	0	0	12,426.4	No	
Ward, Dionne C	HFA Compliance Monitor	Administrative and Clerical	Housing Programs & Policy	UAW	AHC	FT	No	35,656.00	28,524.6	0	0	0	0	28,524.6	No	
Weil, James M	Sr. Computer Programmer Analyst	Technical and Engineering	Finance & Operations	UAW	AHC	FT	Yes	97,093.00	90,183.99	0	0	0	0	90,183.99	No	
Weinstat, Michele L	VP/Associate Counsel	Professional	Legal			FT	Yes	137,803.00	137,803.12	0	0	0	45	137,848.12	No	
Wickham, Gerard	Manager of Program Compliance	Managerial	Housing Programs & Policy	UAW	AHC	FT	Yes	98,283.00	98,283	0	0	0	0	98,283	No	
Zou, Lin Zou	Assistant Accountant	Professional	Finance & Operations	UAW	AHC	FT	Yes	49,600.00	49,600	0	0	0	18	49,618	No	

Benefit Information

During the fiscal year, did the authority continue to pay for any of the above mentioned benefits for

No

Board Members

Name	Title	Severance Package	Payment for Unused Leave	Club Memberships	Use of Corporate Credit Cards	Personal Loans	Auto	Transportation	Housing Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment	None of These Benefits	Other
Mulrow, William J	Board of Directors												X	
Brewer, Aida	Board of Directors												X	
Towns, Darryl C	Board of Directors												X	
Weiss, Steven J	Board of Directors												X	
Megna, Robert L	Board of Directors												X	
McCann, Elaine	Board of Directors												X	
Mattox, Thomas H	Board of Directors												X	

Staff

Name	Title	Severance Package	Payment for Unused Leave	Club Memberships	Use of Corporate Credit Cards	Personal Loans	Auto	Transportation	Housing Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment	None of These Benefits	Other
Abrams, Alexander	Vice President for Portfolio Management												X	
Archer, Clifford	Vice President												X	
Bocina, Joan S	Associate Counsel												X	
Chan, Jimmy D	Senior Network Engineer												X	
Dilan, Jose Dilan	VP/IT/Telcom/Fac&Adm												X	

Name	Title	Severance Package	Payment for Unused Leave	Club Memberships	Use of Corporate Credit Cards	Personal Loans	Auto	Transportation	Housing Allowance	Spousal / Dependent Life Insurance	Tuition Assistance	Multi-Year Employment	None of These Benefits	Other
Hauk, Henry C	AVP/Deputy Comptroller												X	
Hunter, Karen M	Upstate Regional Director												X	
Martello, Dominic A	VP/Affordable Housing Corp.												X	
McGill, Margaret L	VP/Counsel to MIF												X	
Sedney, Leonard G	AVP/CES												X	
Weinstat, Michele L	VP/Associate Counsel												X	

Subsidiary/Component Unit Verification

Is the list of subsidiaries, as assembled by the Office of the State Comptroller, correct? Yes

Are there other subsidiaries or component units of the Authority that are active, not included in the PARIS reports submitted by this Authority and not independently filing reports in PARIS? No

Name of Subsidiary/Component Unit	Status	Requested Changes
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Subsidiary/Component Unit Creation

Name of Subsidiary/Component Unit	Establishment Date	Entity Purpose
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Subsidiary/Component Unit Termination

Name of Subsidiary/Component Unit	Termination Date	Termination Reason	Proof of Termination
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Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

<u>Assets</u>	
Current Assets	
Cash and cash equivalents	\$1,280,000
Investments	\$20,942,000
Receivables, net	\$0
Other assets	\$0
Total Current Assets	\$22,222,000
Noncurrent Assets	
Restricted cash and investments	\$15,787,000
Long-term receivables, net	\$0
Other assets	\$0
Capital Assets	
Land and other nondepreciable property	\$0
Buildings and equipment	\$0
Infrastructure	\$0
Accumulated depreciation	\$0
Net Capital Assets	\$0
Total Noncurrent Assets	\$15,787,000
Total Assets	\$38,009,000

Summary Financial Information

SUMMARY STATEMENT OF NET ASSETS

Liabilities

Current Liabilities

Accounts payable	\$3,055,000
Pension contribution payable	\$0
Other post-employment benefits	\$0
Accrued liabilities	\$0
Deferred revenues	\$0
Bonds and notes payable	\$0
Other long-term obligations due within one year	\$0
Total Current Liabilities	\$3,055,000

Noncurrent Liabilities

Pension contribution payable	\$0
Other post-employment benefits	\$0
Bonds and notes payable	\$0
Long Term Leases	\$0
Other long-term obligations	\$0
Total Noncurrent Liabilities	\$0

Total Liabilities	\$3,055,000
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Net Asset (Deficit)

Net Asset

Invested in capital assets, net of related debt	\$0
Restricted	\$34,954,000
Unrestricted	\$0
Total Net Assets	\$34,954,000

Summary Financial Information

SUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS

Operating Revenues

Charges for services	\$275,000
Rental & financing income	\$0
Other operating revenues	\$0
Total Operating Revenue	\$275,000

Operating Expenses

Salaries and wages	\$1,875,000
Other employee benefits	\$0
Professional services contracts	\$0
Supplies and materials	\$0
Depreciation & amortization	\$0
Other operating expenses	\$46,000
Total Operating Expenses	\$1,921,000

Operating Income (Loss) (\$1,646,000)

Nonoperating Revenues

Investment earnings	\$669,000
State subsidies/grants	\$24,725,000
Federal subsidies/grants	\$0
Municipal subsidies/grants	\$0
Public authority subsidies	\$0
Other nonoperating revenues	\$1,131,000
Total Nonoperating Revenue	\$26,525,000

Summary Financial InformationSUMMARY STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETSNonoperating Expenses

Interest and other financing charges	\$0
Subsidies to other public authorities	\$0
Grants and donations	\$26,149,000
Other nonoperating expenses	\$500,000
Total Nonoperating Expenses	\$26,649,000
Income (Loss) Before Contributions	(\$1,770,000)
Capital Contributions	\$0
Change in net assets	(\$1,770,000)
Net assets (deficit) beginning of year	\$36,724,000
Other net assets changes	\$0
Net assets (deficit) at end of year	\$34,954,000

Current Debt

Question	Response
1. Did the Authority have any outstanding debt, including conduit debt, at any point during the reporting period?	No
2. If yes, has the Authority issued any debt during the reporting period?	

New Debt Issuances List by Type of Debt and Program

No Data has been entered by the Authority for this section in PARIS

Schedule of Authority Debt

Type of Debt	Statutory Authorization (\$)	Outstanding Start of Fiscal Year (\$)	New Debt Issuances (\$)	Debt Retired (\$)	Outstanding End of Fiscal Year (\$)
State Obligation State Guaranteed State Supported State Contingent Obligation State Moral Obligation Other State Funded					
Authority Obligation General Obligation Revenue Other Non-State Funded					
Conduit Conduit Debt Conduit Debt - Pilot Increment Financing					

Real Property Acquisition/Disposal List

This Authority has indicated that it had no real property acquisitions or disposals during the reporting period.

Personal Property

This Authority has indicated that it had no personal property disposals during the reporting period.

Property Documents

Question	Response	URL (if applicable)
1. In accordance with Section 2896(3) of PAL, the Authority is required to prepare a report at least annually of all real property of the Authority. Has this report been prepared?	Yes	http://www.nyshcr.org/AboutUs/Governance/GovernanceInformationfornyhomes.htm
2. Has the Authority prepared policies, procedures, or guidelines regarding the use, awarding, monitoring, and reporting of contracts for the acquisition and disposal of property?	Yes	http://www.nyshcr.org/AboutUs/Governance/GovernanceInformationfornyhomes.htm
3. In accordance with Section 2896(1) of PAL, has the Authority named a contracting officer who shall be responsible for the Authority's compliance with and enforcement of such guidelines?	Yes	

Additional Comments: