

# Consolidated Plan

2009 Executive Summary



**NYC**  
Planning



Department of City Planning / City of New York

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2009  
Executive  
Summary



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# 2009 CONSOLIDATED PLAN

August 25, 2009

## Executive Summary

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## *Executive Summary*

### *2009 Consolidated Plan*

#### Introduction

The *2009 Consolidated Plan* is the City of New York's annual application to the United States Department of Housing and Urban Development (HUD) for the four Office of Community Planning and Development entitlement programs: Community Development Block Grant (CDBG), HOME Investment Partnership (HOME), Emergency Shelter Grant (ESG), and Housing Opportunities for Persons with AIDS (HOPWA).

The 2009 Plan represents the fifth and final year of a five-year strategy for New York City's Consolidated Plan years 2005 through 2009. The five-year strategy was articulated in Volume 2 of the 2005 Consolidated Plan.

New York City's Consolidated Plan Program Year 2009 begins January 1, 2009 and ends December 31, 2009. According to federal Consolidated Plan regulations, localities are required to submit their Proposed Plan no later than 45 days prior to the start of the Program Year (November 15, 2008).

For the 2009 Program Year, the City received approximately \$449,101,200 from the four HUD formula grant programs; \$263,788,000 for CDBG, \$124,733,307 for HOME, \$52,654,359 for HOPWA, and \$7,925,555 for ESG. At the start of the 2009 Consolidated Plan Program Year, the City expected to receive \$544,149 in American Dream Downpayment Initiative (ADDI) funds similar to last year's Consolidated Plan grant awards. However, Congress did not appropriate funds for this program as part of HUD's final FFY09 budget. As a result, the City did not receive any ADDI funds for 2009, and the program has been removed from the Action Plan. Homeownership downpayment assistance activities undertaken in 2009, if any, are funded with prior ADDI monies.

These funds are primarily targeted to address the following eligible activities: housing rehabilitation and community development to maximize the preservation of the City's housing stock; the City's continuum of care for homeless single adults and homeless families; and housing opportunities and housing support services for persons with HIV/AIDS.

The New York City Consolidated Plan serves not only as the City's application for federal funds for four HUD Office of Community Planning and Development formula programs (CDBG, HOME, ESG and HOPWA), but also as the HOPWA grant application for three (3) surrounding counties within the New York Eligible Metropolitan Statistical Area (EMSA): Putnam; Rockland and Westchester. The County of Westchester administers the HOPWA funds for the cities of Mount Vernon, New Rochelle, and Yonkers which are incorporated within its boundaries.

The New York City Department of City Planning is the lead agency in the City's Consolidated Plan application process and is responsible for the formulation, preparation and development of each year's proposed Consolidated Plan. City Planning coordinates Plan-related activities between the Consolidated Plan Committee member agencies and the federal government.

The four federal entitlement programs, CDBG, HOME, HOPWA and ESG, are administered by the following City agencies respectively, Office of Management and Budget (OMB), the Department of Housing Preservation and Development (HPD), the Department of Health and Mental Hygiene – Bureau of HIV/AIDS Prevention and Control (DOHMH-BHAPC), and the Department of Homeless Services (DHS).

In addition, the New York City Housing Authority (NYCHA), using primarily Public Housing Capital funds, administers public housing new construction, rehabilitation and modernization activities, and home ownership opportunity programs, along with a Section 8 rental certificate and voucher program for its tenant population.

Furthermore, the City of New York's Continuum of Care for the Homeless and Other Special Needs Populations is administered by various City Agencies, each according to their respective area of expertise. The supportive housing programs and services are funded primarily with City (capital and/or expense) and/or State funds.

The Department of Homeless Services (DHS) coordinates social and physical services for homeless families and individuals. Programs for runaway and homeless youth and children aging out of foster care are administered by the Department of Youth and Community Development (DYCD), and Administration for Children's Services (ACS), respectively.

The Human Resources Administration (HRA) provides a range of public benefits and social services which assist in homeless prevention and/or diversion. These are often delivered in conjunction with government sponsored housing efforts. Through HRA's HIV/AIDS Administration (HASA), HRA provides emergency and supported housing assistance and services for families, single adults and children with HIV-related illness or AIDS. The City's Department of Health and Mental Hygiene - Division of Mental Hygiene, along with the State's Offices of Mental Health (OMH), Office of Mental Retardation/Developmental Disabilities (OMRDD), and Office of Alcoholism and Substance Abuse Services (OASAS); plans, contracts for and monitors services for these disability areas and provides planning support to OASAS in the field of substance abuse services. Several other City Agencies address the concerns of targeted groups of citizens by providing housing information and supportive housing services assistance, such as the Department of the Aging (DFTA) (the elderly and frail elderly), the Mayor's Office for People with Disabilities (MOPD) (persons with a disability), and the Mayor's Office to Combat Domestic Violence (MOCDV) (victims of domestic violence).

### Summary of Annual Objectives

For the 2009 Consolidated Plan program year the City of New York is required to use HUD's Performance Outcome Measurement System. The Performance Outcome Measurement System was developed to enable the U.S. Department of Housing and Urban Development to collect and aggregate standardized performance data on entitlement-funded activities from all entitlement grantees nationwide for use in reporting to Congress on the effectiveness of its formula entitlement programs in meeting the Department's strategic objectives.

The outcome performance measurement system includes objectives, outcome measures and performance indicators that describe the intended outputs of the various entitlement funded activities. There are three (3) objectives: creating Suitable Living Environment; providing Decent Affordable Housing; and Creating Economic Opportunities which, combined with the three (3) performance outcome categories, Accessibility/Availability; Affordability; and Sustainability, create nine (9) performance measurement statements. The nine performance outcome measurement statements are:

- Accessibility for the purpose of providing Decent Affordable Housing
- Affordability for the purpose of providing Decent Affordable Housing
- Sustainability for the purpose of providing Decent Affordable Housing
- Accessibility for the purpose of creating Suitable Living Environments
- Affordability for the purpose of creating Suitable Living Environments
- Sustainability for the purpose of creating Suitable Living Environments
- Accessibility for the purpose of creating Economic Opportunities
- Affordability for the purpose of creating Economic Opportunities

- Sustainability for the purpose of creating Economic Opportunities

In addition to determining the performance outcome measurement, the System requires entitlement grantees to collect and enter into the HUD Integrated Disbursement and Information System (IDIS) accomplishment data according to eighteen (18) federally-defined Performance Indicator categories. Performance Indicator categories encompass housing construction and rehabilitation, public services and facilities, business/economic development, and homelessness prevention-related activities.

It is important to note that while the eighteen Performance Indicator Categories are designed to capture a majority of the eligible entitlement-funded activities a grantee may undertake, they do not capture every eligible activity. Therefore, due to the limitations of the Performance Indicators there are entitlement-funded activities which the City of New York intends to undertake in the 2009 Consolidated Plan Program Year which will not be captured by the Performance Outcome Measurement System. Consequently, the number of households and persons positively impacted by the City's overall efforts are expected to be much higher than can be identified under the Performance Indicator criteria. As a result of the Performance Outcome Measurement System's inability to categorize all eligible entitlement-funded activities, the amount of entitlement funds the City of New York expects to expend according to the nine performance outcome objective statements will be less than the total amount of entitlement funds the City of New York expects to receive for the 2009 Consolidated Plan program year.

For eligible program activities for which there is no appropriate HUD Performance Indicator in the Performance Outcome Measurement System, the City will reflect the proposed accomplishments by identifying the specific activity undertaken by the program. For example, because there is no suitable HUD indicator to reflect the CDBG-funded Land Restoration Program's activities, the Accomplishment Chart in the One-Year Action Plan's Description of Program Variables Table (Section I.D.a) will state: *No Appropriate HUD Indicator (Number of Acres Treated: 300)*. For these programs, program progress in addressing the City of New York's priorities and objectives as described in its five-year Consolidated Plan Strategic Plan will continue to be measured and reported in the Consolidated Plan Annual Performance Report (APR) by comparing its Proposed Accomplishment as described in the Consolidated Plan Action Plan Accomplishment Chart against its Actual Accomplishment.

Lastly, it is important to recognize that some households may benefit multiple times from various public service activities. Unlike activities such as rental assistance or housing production, where it is reasonable to expect that beneficiaries will not be double-counted, many households may receive multiple forms of assistance through a combination of either entitlement-funded public service, public facility or targeted area revitalization activities. As a result, if the reader attempts to aggregate the number of low-/moderate-income households and persons benefiting from entitlement-funded programs categorized as public service, public facility or targeted area revitalization activities, the aggregated number of households and persons benefiting from these activities may actually be greater than the actual number of low-/moderate-income households and persons residing in New York City. Therefore, the reader is advised to interpret aggregated data with caution.

### Summary of Annual Use of Grant Funds

Housing costs in New York City are some of the highest in the country and its housing stock is some of the oldest. The City is committed to easing the financial hardships low- and moderate-income families face in finding affordable decent housing by creating new and preserving existing housing units. As a response to the segment of New York City's housing stock that is older and in substandard condition, the City has devised programs which strive to remediate the City's deteriorating housing stock. To that end, the City of New York allocates a portion of its HUD entitlement grants to increasing accessibility, affordability, and to sustaining

decent affordable housing in city neighborhoods. The City proposes to allocate a total of **\$97,801,408** during the 2009 calendar year to activities whose mission is to provide accessibility to decent affordable housing units. In 2009, the City will also spend approximately **\$136,545,550** to provide affordability of decent, affordable dwelling units and **\$32,171,000** to fund activities that work to sustain the City's housing stock.

Although safe affordable housing is a crucial component to improving the lives of New Yorkers, the City allocates a large share of HUD entitlement funds to community redevelopment programs as part of a holistic approach to enhancing the living environment found within the City. The programs are broad in scope but serve to generate vital, healthy, safe city neighborhoods. During the 2009 calendar year, **\$37,992,555** in total will be allocated to activities that provide access to a suitable living environment. A total of **\$3,292,000** will be used to promote affordable suitable living environments and **\$9,937,000** will be used for activities targeting sustainable living environments.

HUD entitlement grant dollars will also be apportioned to activities designed to foster a robust economy and enrich job prospects for city residents through business enhancement grants, education and worker training programs, and targeted commercial revitalization. In 2009, the City will spend **\$7,182,000** on activities that provide access to economic opportunity and **\$645,000** on activities to sustain economic opportunities for low- and moderate-income New Yorkers, respectively.

The City of New York expects to receive approximately \$263,788,000 for CDBG programs, \$124,733,300 for HOME programs, \$7,925,600 for ESG programs, and \$52,654,400 for HOPWA programs. Housing and Urban Development entitlement grants provided to the City of New York are expected to achieve the following objectives and outcomes:

#### Community Development Block Grant

- Four programs expect to receive an accumulative total of \$1,035,000 for the purpose of providing accessibility to decent affordable housing.
- Ten programs expect to receive an accumulative total of \$72,565,000 for the purpose of providing affordability for decent affordable housing.
- Four programs expect to receive an accumulative total of \$32,171,000 for the purpose of providing sustainability of decent affordable housing.
- Fourteen programs expect to receive an accumulative total of \$30,067,000 for the purpose of creating/improving accessibility to suitable living environments.
- One program expects to receive a total of \$3,292,000 for the purpose of creating/improving affordability for suitable living environments.
- Six programs expect to receive an accumulative total of \$9,937,000 for the purpose of creating/improving sustainability of suitable living environments.
- Four programs expect to receive an accumulative total of \$7,182,000 for the purpose of creating/improving accessibility to economic opportunity.
- One program expects to receive a total of \$645,000 for the purpose of creating/improving sustainability of economic opportunity.
- Three programs for which there is no appropriate HUD Performance Indicator and, therefore, no applicable HUD defined outcome/objective statement, expect to receive an accumulative total of \$62,475,000 to undertake CDBG-eligible activities.
- The remainder of CDBG funds, \$44,419,000, will be used for program administration and planning and, therefore, is not applicable to HUD defined outcome/objective statements.

### HOME Investment Partnership

- Ten programs expect to receive an accumulative total of \$96,766,406 for the purpose of providing accessibility to decent affordable housing.
- Three programs expect to receive an accumulative total of \$15,493,570 for the purpose of providing affordability of decent affordable housing.
- The remainder of HOME funds, approximately \$12,473,300, will be used for program administration and planning and, therefore, is not applicable to HUD defined outcome/objective statements.

### American Dream Downpayment Initiative

- *At the start of the 2009 Consolidated Plan Program Year, the City expected to receive approximately \$544,100 in American Dream Downpayment Initiative (ADDI) monies to fund one program for the purpose of providing affordability of decent affordable housing. However, Congress did not appropriate funds for this program as part of HUD's final FFY09 budget. As a result, the City did not receive any ADDI funds for 2009. The program (and its related performance outcome measure) has been removed from the Action Plan.*

### Emergency Shelter Grant

- Three programs expect to receive an accumulative total of approximately \$7,925,500 for the purpose of creating accessibility to suitable living environments.

### Housing Opportunities for Persons with AIDS

- Four programs expect to receive an accumulative total of approximately \$48,487,000 for the purpose of providing affordability of decent affordable housing.
- The remainder of HOPWA funds, approximately \$1,499,600, will be used for program administration and planning and, therefore, is not applicable to HUD defined outcome/objective statements.

## Summary of Funding

In total, over **\$2.014 billion** in combined funds is expected to be received in 2009. The four formula grants previously discussed account for approximately **\$449.101 million** of this figure.

Other Federal Funds include New York City Housing Authority (NYCHA) public housing authority funds, and HUD Competitive Grant program monies.

### Summary Table of Funding Sources

	Amount City Expects to Receive in 2009	Amount City Expects to be Received by Other Entities in 2009
Total Federal		
CDBG	\$ 263,788,000	\$ 0
HOME	\$ 124,733,307	\$ 0
ESG	\$ 7,925,555	\$ 0
HOPWA	\$ 52,654,359	\$ 0
NYCHA Funds	\$ 0	\$ 333,454,021
HUD Competitive	\$ TBD	\$ TBD
Total State	\$ 17,000,000	\$ 26,290,865
Total City	\$ 999,040,496	\$ 0
Total Private	\$ 0	\$ 189,767,324
<b>Total All Sources</b>	<b>\$1,465,141,717</b>	<b>\$ 549,512,210</b>



## Citizen Participation

New Yorkers are provided several opportunities to participate in the formulation and development of the Consolidated Plan. Over 2,200 notification letters are sent to New York City residents, organizations and public officials inviting participation in the public review process and public hearings. Public comments are solicited during the public review period before formal submission of the proposed Consolidated Plan to HUD and throughout the year. In addition, notices of each of the previously mentioned activities are published in three local newspapers, one English-language, a Spanish-language, and a Chinese-language daily, each with city-wide circulation. Furthermore, a notice was placed as a public service message on the New York City-operated local cable television access channel. The respective notices included relevant Plan-related information so that informed comments are facilitated. Lastly, copies of the *Proposed 2009 Consolidated Plan* are mailed to both the Chairperson and District Manager of each of the City's 59 Community Boards.

To provide public access to the document, copies of the Proposed Consolidated Plan were made available for reference in the City's Municipal Reference & Research Center (the "Muni Library") and the main public library in each of the five boroughs. The locations of the respective libraries are provided at the end of the Summary.

Furthermore, the Department of City Planning posted the *Proposed 2009 Consolidated Plan* on the Department's website in Adobe Acrobat format for review by the public. The Internet-based version may be accessed at:

**<http://www.nyc.gov/planning>**

Copies of the *2009 Consolidated Plan* can be obtained at the **City Planning Bookstore**, 22 Reade Street, New York, New York 10007, Phone: 212-720-3667 (*Please call for new store hours*) or any of the New York City Department of City Planning borough offices. The locations of the borough offices are provided at the end of the Summary.

## Summary of Citizens' Comments/Agencies' Responses

In accordance with federal regulations 24 CFR 91.105(e)(1), regarding Consolidated Plan citizen participation requirements, the City of New York conducted a public hearing to solicit comments on the formulation of the Proposed 2009 Consolidated Plan, on April 17, 2008.

Several members of the various New York City Housing Authority Resident Advisory Boards (RABs) were in attendance. However, no member gave testimony. The hearing was concluded after the Consolidated Plan Committee member agencies' representatives waited a sufficient period of time to permit persons who may have been en route to the hearing the opportunity arrive and provide their testimony.

The decrease in participation in the Proposed 2009 Consolidated Plan Citizen Participation process in comparison to previous Consolidated Plan formulation public hearings may be attributed to several factors. First, the steady decrease in federal formula entitlement funds appropriated by Congress for municipalities over the past several years has left the New York City little or no opportunity to fund new initiatives or activities proposed or advocated by the public due to the fact that the entitlement grant monies received are used to maintain the activities of the City's existing programs at or near their previous levels.

Second, the formula entitlement funds are used in combination with other funding sources, such as city capital and tax levy funds, and are therefore guided by the City Council's budget formulation process. The city's Charter-mandated budget process provides numerous opportunities for citizens to provide input. The public and not-for-profit organizations use the budget formulation process to advocate for and make recommendations regarding the City's use of HUD entitlement funds as part of a range of potential city, state and federal funding sources to address their needs and the Consolidated Plan is a reflection of the decisions made in that process. The budget formulation schedule is fully described in Volume 2 of the Proposed Consolidated Plan, Part II.A., Citizen Participation Plan. In addition, the New York City Independent Budget Office (IBO) has a pamphlet: *The Road to Adopting New York City's Budget*, which provides a brief overview of the process and contact information regarding the various local government entities which contribute to or provide input regarding the City's proposed budget. The pamphlet is available on the web at: <http://www.ibo.nyc.ny.us/IBORoadmap.pdf>. Lastly, as a result in the overall decrease in amount of federal formula entitlement funds the City has received, the public and not-for-profit organizations have used the City's budget formulation process to petition the Council to increase the City's allocation of its own funds to various programs in order to offset the reductions in the amount of federal entitlement monies allocated/budgeted to the respective programs.

### Additional Information

Copies of the 2009 *Consolidated Plan* can be obtained at the following Department of City Planning offices:

<b>Bronx Office</b> 1 Fordham Plaza, 5th floor Bronx, New York 10458 Contact: Kim Canty (718) 220-8500	<b>Queens Office</b> 120-55 Queens Boulevard, Room 201 Queens, New York 11424 Contact: Brunilda Rivera (718) 286-3169
<b>Brooklyn Office</b> 16 Court Street, 7th floor Brooklyn, New York 11241 Contact: Gleno Holder (718) 643-7550	<b>Staten Island Office</b> 130 Stuyvesant Place, 6th floor Staten Island, New York 10301 Contact: Patti Thode-Nolan (718) 556-7240

Copies of the 2009 *Consolidated Plan* are available for reference at the following public libraries:

<b>NYC Municipal Reference &amp; Research Center</b> 31 Chambers Street, Suite 110 New York, NY 10007 (212) 788-8590	<b>Science, Industry and Business Library</b> 188 Madison Avenue at 34 <sup>th</sup> Street New York, N.Y. 10016 (212) 592-7000
<b>Mid-Manhattan Library</b> 455 Fifth Avenue (at 40 <sup>th</sup> Street) New York, N.Y. 10016 (212) 340-0863	<b>Bronx Reference Center</b> 2556 Bainbridge Avenue Bronx, N.Y. 10458 (718) 579-4257
<b>(Brooklyn) Central Library</b> Grand Army Plaza Brooklyn, N.Y. 11238 (718) 230-2100	<b>Queens Central Library</b> 89-11 Merrick Boulevard Jamaica, N.Y. 11432 (718) 990-0778/0779/0781
<b>St. George Library Center</b> 5 Central Avenue Staten Island, N.Y. 10301 (718) 442-8560	

Any questions or comments concerning the City's Consolidated Plan may be directed to:

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