

Consolidated Plan

2013 Executive Summary



NYCTM PLANNING
DEPARTMENT OF CITY PLANNING CITY OF NEW YORK

Effective as of September 13, 2013

Consolidated Plan

2013

Executive Summary



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NYCPLANNING
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2013 CONSOLIDATED PLAN

September 13, 2013

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Executive Summary 2013 Consolidated Plan

Introduction

The *2013 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 Solutions Grant (ESG) (*formerly the Emergency Shelter Grant*), and Housing Opportunities for Persons with AIDS (HOPWA).

The change in the Emergency Shelter Grant program's name reflects the change in the program's federally-mandated focus from addressing the needs of homeless people in emergency or transitional shelters to assisting families and individuals to quickly regain stability in permanent housing after experiencing a housing crisis and/or homelessness.

The 2012 Plan represents the fourth year of a five-year strategy for New York City's Consolidated Plan years 2010 through 2014. The five-year strategy was articulated in Volume 2 of the 2010 Consolidated Plan.

New York City's Consolidated Plan Program Year 2013 begins January 1, 2013 and ends December 31, 2013. 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, 2012). The City of New York submitted its Proposed Plan to HUD as required on November 15, 2012. The Proposed Plan was subsequently approved on December 28, 2012.

In July 2013 the City of New York amended its Consolidated Plan to reflect the programmatic changes as the result of the City Charter mandated budget process for City Fiscal Year 2014 (CFY14), which began on July 1, 2013; and, the formula entitlement grant monies actually received.

For the 2013 Program Year, the City will receive approximately \$277,975,100 from the four HUD formula grant programs; \$155,708,800 for CDBG, \$57,811,900 for HOME, \$53,533,000 for HOPWA, and \$10,921,300 for ESG. This represents an approximate \$0.4 million overall decrease in entitlement grant funds requested from the City's Proposed 2013 Consolidated Plan Program Year grant request. The following table summarizes the grant amounts awarded:

Year: 2013				
Program	Amount to be Received	Amount Originally Requested	Difference (\$)	Difference (%)
CDBG	\$155,708,779	\$149,703,245	\$6,005,534	4.01
HOME	\$57,811,908	\$60,248,438	(\$2,436,530)	(4.04)
ESG	\$10,921,293	\$14,146,420	(\$3,225,127)	(22.80)
HOPWA	\$53,533,071	\$54,245,344	(\$712,273)	(1.31)
<i>Total</i>	<i>\$277,975,051</i>	<i>\$278,343,447</i>	<i>(\$368,396)</i>	<i>(0.13)</i>

The increase in the amount awarded to New York City's CDBG program was offset by the decreases to the City's three other formula entitlement grant programs' allocation, particularly the decrease in the amount awarded to the ESG program (a 22% reduction from the program funds originally requested).

In August 2013 HUD announced that the City of New York was eligible to receive \$1,344,640 in recaptured FY2011 CDBG Entitlement funds. These funds will be used by the City to offset a reduction in its CDBG program income. Therefore, the addition of the reallocated funds is considered a minor (non-substantial) amendment to both the 2013 CDBG Program and 2013 Consolidated Plan.

The entitlement grants 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), the Office for People With Developmental Disabilities (OPWDD) (formerly the Office of Mental Retardation and 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 2013 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 2013 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 2013 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.C.a) will state: *No Appropriate HUD Indicator (Number of Acres Treated: 280)*. 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 **\$41,236,900** during the 2013 calendar year to activities whose mission is to provide accessibility to decent affordable housing units. In 2013, the City will also spend approximately **\$99,699,800** to provide affordability of decent, affordable dwelling units and **\$55,192,350** 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 2013 calendar year, **\$30,315,329** in total will be allocated to activities that provide access to a suitable living environment. A total of **\$2,963,000** will be used to promote affordable suitable living environments and **\$9,980,000** will be used for activities targeting sustainable living environments.

HUD entitlement grant dollars will also be apportioned to activities designed to foster economic recovery and enrich job prospects for city residents through business enhancement grants, education and worker training programs, and targeted commercial revitalization. In 2013, the City will spend **\$4,279,000** on activities that provide access to economic opportunity for low- and moderate-income New Yorkers.

The City of New York expects to use approximately \$223,690,000 for CDBG programs¹, \$57,812,000 for HOME programs, \$10,921,300 for ESG programs, and \$53,533,000 for HOPWA programs. Housing and Urban

¹ Includes additional program revenue expected to be available through prior year accruals and program income.

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 a cumulative total of \$1,026,000 for the purpose of providing accessibility to decent affordable housing.
- Eight programs expect to receive a cumulative total of \$39,989,000 for the purpose of providing affordability for decent affordable housing.
- Three programs expect to receive a cumulative total of \$50,724,000 for the purpose of providing sustainability of decent affordable housing.
- Twelve programs expect to receive a cumulative total of \$22,684,000 for the purpose of creating/improving accessibility to suitable living environments.
- One program expects to receive a total of \$2,963,000 for the purpose of creating/improving affordability for suitable living environments.
- Six programs expect to receive a cumulative total of \$9,980,000 for the purpose of creating/improving sustainability of suitable living environments.
- Three programs expect to receive a cumulative total of \$4,279,000 for the purpose of creating/improving accessibility to economic opportunity.
- Four programs for which there is no appropriate HUD Performance Indicator and, therefore, no applicable HUD defined outcome/objective statement, expect to receive a cumulative total of \$53,602,000 to undertake CDBG-eligible activities.
- The remainder of CDBG funds, \$38,443,000 will be used for program administration and planning and, therefore, is not applicable to HUD defined outcome/objective statements.

HOME Investment Partnership

- Four programs expect to receive a cumulative total of \$39,453,806 for the purpose of providing accessibility to decent affordable housing.
- Four programs expect to receive a cumulative total of \$10,102,753 for the purpose of providing affordability of decent affordable housing.
- Two programs expect to receive approximately \$2,474,158 for the purpose of providing sustainable decent affordable housing.
- The remainder of HOME funds, approximately \$5,781,200, will be used for program administration and planning and, therefore, is not applicable to HUD defined outcome/objective statements.

Emergency Solutions Grant

- One program expects to receive a cumulative total of \$757,105 for the purpose of providing accessibility to decent affordable housing.
- One program expects to receive a cumulative total of \$1,994,192 for the purpose of providing sustainability for decent affordable housing.
- Two programs expect to receive a cumulative total of \$7,631,329 for the purpose of providing accessibility for suitable living environments.

Housing Opportunities for Persons with AIDS

- Three programs expect to receive a cumulative total of approximately \$49,608,000 for the purpose of providing affordability for decent affordable housing.
- The remainder of HOPWA funds, approximately \$1,534,300, 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 **\$1.6 billion** in combined funds is expected to be received in 2013. The four formula grants previously discussed account for approximately **\$345.956 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 2013	Amount City Expects to be Received by Other Entities in 2013
Total Federal		
CDBG	\$ 223,690,000 *	\$ 0
HOME	\$ 57,811,908	\$ 0
ESG	\$ 10,921,293	\$ 0
HOPWA	\$ 53,533,071	\$ 0
NYCHA Funds	\$ 0	\$ 270,369,594
HUD Competitive	\$ TBD	\$ TBD
Total State	\$ TBD	\$ TBD
Total City	\$ 965,218,113	\$ 0
Total Private	\$ 0	\$ 23,372,779
Total All Sources	\$ 1,311,174,385	\$ 293,742,373

* Includes the additional \$1,344,640 in recaptured FFY2011 CDBG funds, and program revenue expected to be available through prior year accruals and program income.

Citizen Participation

In the Consolidated Plan Formulation Process

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 2013 Consolidated Plan*, on April 17, 2012.

New Yorkers were invited to attend and participate in the formulation and development of the Consolidated Plan in several ways. Over 1,800 notification letters were sent to New York City residents, organizations and public officials inviting participation in the public hearing. In addition, notices of the previously mentioned activity were published in three local newspapers, one English-language, a Spanish-language, and a Chinese-language daily, each with citywide 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.

In the Public Comment Review Period and Public Hearing

In order to notify the public of the release of the Proposed Consolidated Plan for public review and of the federally-required public hearing on the contents of the document, the City utilized the same notification methods as it did to announce the public hearing for the formulation of the Proposed Plan. Furthermore, the respective notices included relevant Plan-related information so that informed comments are facilitated. Lastly, copies of the *Proposed 2013 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 2012 Consolidated Plan* could be obtained at the **City Planning Bookstore**, 22 Reade Street, New York, New York 10007, Phone: 212-720-3667, (**Monday**

12:00 pm to 4:00 pm, Tuesday through Friday 10:00 am to 1:00 pm) or any of the New York City Department of City Planning borough offices. (See end of summary for the locations of the Department of City Planning borough offices.)

In addition, copies of the Proposed Consolidated Plan were made available for reference in the City's Municipal Reference & Research Center (the City Hall 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 2013 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>

The public comment period began October 10, 2012 and extended for 30 days ending November 8, 2012.

The public hearing on Proposed 2013 Consolidated Plan was conducted as scheduled on November 8, 2012, 2:30 p.m., in Spector Hall, at the Department of City Planning, 22 Reade Street, Manhattan. The announced question and answer session with City agency representatives in attendance followed.

The public was instructed to submit their written comments on the *2013 Proposed Consolidated Plan* by close of business, November 8, 2012 to: Charles V. Sorrentino, New York City Consolidated Plan Coordinator, Department of City Planning, 22 Reade Street 4N, New York, New York 10007, FAX: (212) 720-3495, email: Proposed2013ConPlan@planning.nyc.gov.

A summary of public comments from the public comment period, the public hearing and agencies' responses was to be incorporated into the version of the *Proposed 2013 Consolidated Plan* submitted to HUD. However, no public comments were received from either the public hearing or the public comment period.

In the Amended Public Comment Review Period

The 2013 Consolidated Plan was amended to contain substantial changes made to ESG, and HOME entitlement program activities, respectively. The substantial amendment to the City's ESG Program is necessitated by the previously mentioned significant decrease in the City's ESG entitlement grant award from the grant amount originally requested (-22%). The amendment also includes incorporation of the existing Shelter Operations and Street Outreach programs' activities into the Emergency Shelter program. The amendment revised the proposed accomplishments for the existing ESG-funded programs, reflective of the decrease and reallocation of funds.

The amendment to New York City's HOME-funded activities entails the deletion two (2) programs that will not be allocated federal entitlement funds: the Neighborhood Entrepreneurs Program (NEP); and the Multifamily Homeownership Program (formerly the Cornerstone Program). The amendment also entails the reallocation of the FFY13 HOME Program grant funds received among the remaining programs previously approved for the 2013 One-Year Action Plan.

In order to notify the public of the release of the amended 2013 Consolidated Plan for public review, the City utilized the same notification methods as it did to announce the public review for the Proposed Plan.

The public comment period began August 9, 2013 and extended for 30 days ending September 9, 2013.

The public is instructed to submit their written comments on the amended 2013 Consolidated Plan by close of business, September 9, 2013 to: Charles V. Sorrentino, New York City Consolidated Plan Coordinator, Department of City Planning, 22 Reade Street 4N, New York, New York 10007, FAX: (212) 720-3495, email: amended2013ConPlan@planning.nyc.gov.

A summary of public comments received and agencies' responses will be incorporated into the version of the amended 2012 Consolidated Plan submitted to HUD.

Summary of Citizens' Comments/Agencies' Responses

Comments from the Public Hearing on the Formulation of the Proposed Consolidated Plan

The hearing began with opening remarks and the floor was then opened to testimony to those in attendance. However, no member of the public 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.

Comments from the Public Comment Review Period for the Proposed Consolidated Plan

No comments regarding the Proposed 2013 Consolidated Plan were received during the Public Comment Period.

Comments Received During Public Comment Period on the Substantial Amendment to the Emergency Solutions Grant (ESG); and, the HOME Investment Partnership (HOME) Program

No comments regarding the substantial amendments to either the City's ESG or the HOME Program were received during the Public Comment Period.

Additional Information

Copies of the 2013 Consolidated Plan are available for reference at the following public libraries:

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