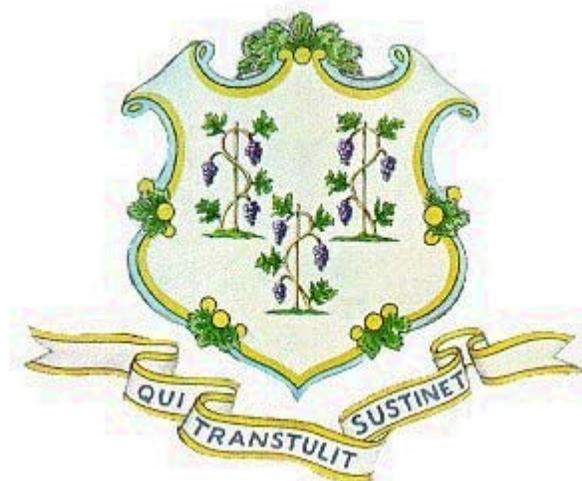




State of Connecticut
2009-10 Action Plan
For
Housing and Community Development



submitted to the
U.S. Department of Housing and Urban Development

by the
State of Connecticut

May 28, 2009

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**State of Connecticut
2009-10 Action Plan for Housing and Community Development
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I. Executive Summary

A. Overview

The annual Action Plan updates the State of Connecticut's 2005-09 Consolidated Plan for Housing and Community Development (ConPlan), a five-year plan addressing Connecticut's housing and community development needs. The state submits the ConPlan to the U.S. Department of Housing and Urban Development (HUD) in order to be eligible to apply for funds under the HOME Investment Partnerships (HOME), Small Cities Community Development Block Grant (SC/CDBG), Emergency Shelter Grant (ESG), and Housing Opportunities for Persons with AIDS (HOPWA) Programs. The program year for the annual Action Plan is based on the state fiscal year, which is July 1 - June 30. The 2009-10 Action Plan is for the state fiscal year of July 1, 2009, to June 30, 2010.

For the purpose of clarity in this document, all future references to Fiscal Year (FY) will mean the State Fiscal Year/Program Year as well as the Federal Fiscal Year.

This Action Plan provides a plan for expending FY 2009-10¹ funds for the following programs:

HOME Investment Partnerships (HOME)	\$ 13,358,763
Small Cities Community Development Block Grant (SC/CDBG)	\$ 13,532,318
Emergency Shelter Grants (ESG)	\$ 1,159,765
Housing Opportunities for Persons with AIDS (HOPWA)	\$ 268,902

This document provides information on:

- Resources: Funding sources available to address the state's needs and objectives;
- Activities: Method for distributing funds for activities that address needs and objectives;
- Geographic Distribution: Geographic areas to which the state will direct assistance;

¹ Please note that the funding amounts represented for each program are subject to congressional/federal action, which could affect an increase, reduction or elimination of the funding amounts noted.

- Homeless and Special Needs Activities: Plans to address homelessness and assist persons with special needs;
- Other Actions: Strategies to address underserved populations, foster and maintain affordable housing, remove barriers, and assist families in poverty;
- Summary of Public Comments: Comments made on the Action Plan and Department of Economic and Community Development (DECD) and/or Department of Social Services (DSS) responses;
- Applications for Assistance: HUD Form SF-424 for the HOME, SC/CDBG, ESG, and HOPWA programs; and
- Certifications: General and program specific certifications as required by HUD.

B. Performance

The ConPlan is a five-year strategic plan that describes the housing needs of low- and moderate-income residents, examines the housing market, outlines strategies to meet the needs and lists all resources available to implement those strategies, and outlines goals, objectives and measures. The ConPlan sets a unified vision, long-term strategies and short-term action steps to meet priority needs. The annual Action Plan is the annual implementation plan for the goals, objectives and strategies outlined in the state's ConPlan. The Action Plan describes how the state will use allocated funds for the four federal programs governed by the ConPlan for a given FY.

The Performance Evaluation Report (PER) is the annual report to HUD that details the progress the DECD has made in carrying out the ConPlan and the annual Action Plan. The PER describes resources made available, the investment of those resources, the amount and source of leveraged funds, the source and use of program income, geographic distribution and location of investments, and the number of families and persons assisted and actions taken to affirmatively further fair housing. The PER is due within 90 days after the end of the state's FY (July 1 - June 30). Therefore, performance data for the FY 2008-09 will not be available until the submission of the State's 2008 PER in September 2009. Once submitted to HUD, the 2008 PER will be posted to the DECD web site.

Summary of funding for FY 2008-09:

HOME Investment Partnerships (HOME)	\$	12,045,404
Small Cities Community Development Block Grant (SC/CDBG)	\$	13,330,342
Emergency Shelter Grants (ESG)	\$	1,155,155
Housing Opportunities for Persons with AIDS (HOPWA)	\$	263,000

C. Objectives and Outcomes

In this report, we have outlined the state’s proposed accomplishments for FY 2009-10 based on the performance measurement system presented in the 2005-09 ConPlan and the new HUD Outcome Performance Measurement System for Community Planning and Development Formula Grant Programs. The information is contained in the Goals and Objectives Matrix. The actual outcomes for proposed accomplishments appearing in this Action Plan will be reported on in the 2009 PER.

D. Citizen Participation

DECD held two public hearings during the month of September 2008 in order to gather input for the development of the 2009-10 Action Plan. Three public hearings are scheduled for the month of December 2008 to receive comments on the draft 2009-2010 Action Plan. A 30-day public comment period, from November 21, 2008, to December 22, 2008, was also provided. The legal notices for the public hearings and comment period were published in seven area newspapers. The public hearings were spread out geographically so that persons from any area of the state could attend to provide their views on either the development of or the written draft of this plan.

In addition to the above efforts outlined, the legal notices and a copy of the draft Action Plan were posted on the DECD web site. Copies of past Action Plans and the ConPlans are also available on the DECD web site.

DECD notified all municipal chief elected officials and the state’s Regional Planning Organizations of the dates, times and locations of the Action Plan public hearings and of the timing of the commentary period. All parties were directed to the DECD web site for a copy of the draft Action Plan and the 2005-09 ConPlan. DECD also submitted the draft

Action Plan and public hearing/public commentary schedules to members of the state legislature who sit on committees of cognizance over matters related to housing, economic and community development, and state finances.

Below is a summary of activity regarding the Public Hearing and Public Comment Period.

Process for Public Hearings and Public Comment Period:

DECD held two public hearings to elicit input into the development of the state's 2009-10 Action Plan for Housing and Community Development: in Rocky Hill on September 5, 2008, and in Hamden on September 8, 2008. Notice for these hearings appeared in seven newspapers around the state. See Attachment B for a copy of the notice and public hearing transcripts.

On November 21, 2008, DECD began the 30-day public comment period on the draft Action Plan. The public comment period concluded on December 22, 2008. DECD held three additional public hearings: in Hamden on December 8, 2008, in Coventry on December 10, 2008; and in Rocky Hill on December 11, 2008. Notice for the public comment period as well as the three aforementioned public hearings appeared in seven newspapers around the state. See Attachment B for a copy of the notice and public hearing transcripts.

In addition to the public hearings and comment period, DECD posted the draft Action Plan on the agency's web site and this was noted in the legal notices. DECD also submitted, via e-mail, a copy of the legal notice for the public comment period and public hearings as well as a copy of the draft Action Plan to members of the State Legislature's Appropriations Committee, Commerce Committee, Planning and Development Committee, and the Chairs of the Housing Sub-Committee.

The municipal chief elected officials of all 169 municipalities in the state received a Department Notice informing them of the public comment period as well as the public hearings. See Attachment B for a copy of the notice. The draft Action Plan was also

made available at the Regional Planning Organizations during the 30-day comment period.

Outline of Activity for Public Hearings/Public Comment Period:

September 5, 2008, Public Hearing: No one attended this hearing. A copy of the transcript is included in Attachment B.3.a.

September 8, 2008, Public Hearing: No one attended this hearing. A copy of the transcript is included in Attachment B.3.b.

Two written comments were received during the drafting of the 2009-10 Action Plan. A summary of the comments and DECD's response is included in Attachment A.3. A copy of the written comments, and DECD's written response is included in Attachments B.4 through B.5.

December 8, 2008, Public Hearing: Two people attended this hearing; one provided comment. A summary of the comments and DECD's response is included in Attachment A.3. A copy of the transcript is included in Attachment B.3.c.

December 10, 2008, Public Hearing: Three people attended this hearing; two provided comment. A summary of the comments and DECD/DSS's response is included in Attachment A.3. A copy of the transcript is included in Attachment B.3.d.

December 11, 2008, Public Hearing: No one attended this hearing. A copy of the transcript is included in Attachment B.3.e.

November 21, 2008, through December 22, 2008, Public Comment Period: Seven written comments were received during the public comment period. A summary of the comments and DECD/DSS's responses is included in Attachment A.3. A copy of the written comments and DECD/DSS written responses are included in Attachments B.4 through B.5.

E. Other Outreach

There are other ways in which DECD gathers information and input on what Connecticut needs to consider in developing the Action Plan. There are meetings of at least 60 state boards and commissions that the Commissioner and various staff (on behalf of the Commissioner) attend. These groups focus on economic development, mental health, other social service issues, and transportation, etc., and DECD is invited to attend because of the link to housing and community development. The exchange of ideas and feedback on the state's efforts around affordable housing (for example, supportive housing), as well as innovative thinking and programming, are often a result of the connections with these focus groups.

DECD's SC/CDBG Program staff provided outreach during FY 2007-08 by conducting multiple workshops for program applicants including: Competitive Application, Labor Standards, Fair Housing/Civil Rights, and Analysis of Impediments to Fair Housing/Fair Housing Action Plan. In addition, significant technical assistance was made available to grantees regarding the department's SC/CDBG Program competitive application funding process. SC/CDBG Program staff facilitate another training workshop on the competitive application process during FY 2008-09.

DECD's HOME Program staff provided outreach during FY 2007-08 through the following workshops: Community Housing Development Organization (CHDO) Recertification, and Fair Housing. HOME Program staff also began specific outreach to communities in Eastern Connecticut to promote increased utilization of the HOME Program. HOME Program staff, conducted training workshops on the new "Consolidated Application" for DECD and CHFA funds during FY 2008-09.

II. Introduction

The Annual Action Plan updates the State of Connecticut's 2005-09 Consolidated Plan for Housing and Community Development (ConPlan), a five-year plan addressing Connecticut's housing and community development needs. The state submits the ConPlan to the U.S. Department of Housing and Urban Development (HUD) in order to be eligible to apply for

federal funds under the HOME Investment Partnerships (HOME), Small Cities Community Development Block Grant (SC/CDBG), Emergency Shelter Grant (ESG), and Housing Opportunities for Persons with AIDS (HOPWA) programs. This annual Action Plan covers FY 2009-10 from July 1, 2009, to June 30, 2010.

References to sections of the ConPlan are made throughout this document. Not all of these sections are duplicated here. Copies of the ConPlan are available from the Connecticut Department of Economic and Community Development (DECD), Office of Strategy and Policy. A copy of both the 2005-09 ConPlan and this Action Plan can be viewed or downloaded by visiting DECD's web site at www.decd.org.

The activities, programs and resources discussed in this Action Plan will be administered by various agencies including the Departments of Economic and Community Development (DECD), Social Services (DSS), Mental Health and Addiction Services (DMHAS), and the Connecticut Housing Finance Authority (CHFA).

The Action Plan includes the following sections in accordance with federal regulations:

- Resources: Funding sources available to address the state's needs and objectives;
- Activities: Method for distributing funds for activities that address needs and objectives;
- Geographic Distribution: Geographic areas to which the state will direct assistance;
- Homeless and Special Needs Activities: Plans to address homelessness and assist persons with special needs;
- Other Actions: Strategies to address underserved populations, foster and maintain affordable housing, remove barriers, and assist families in poverty;
- Summary of Public Comments: Comments made on the Action Plan and DECD and/or DSS responses;
- Applications for Assistance: HUD Form SF-424 for the HOME, SC/CDBG, ESG, and HOPWA Programs; and
- Certifications: General and program specific certifications as required by HUD.

III. Citizen Participation

In accordance with Connecticut's 2005-09 ConPlan, DECD solicited public input in developing the 2009-10 Action Plan. Two public hearings to gather public input and concerns on housing and community development needs throughout the state were held by DECD in Rocky Hill on September 5, 2008, and in Hamden on September 7, 2008.

DECD also solicited input on the draft 2009-10 Action Plan through a 30-day public comment period from November 21, 2008, to December 22, 2008. DECD held three public hearings in December 2008: December 8 in Hamden, December 10 in Coventry, and December 11 in Rocky Hill. The legal notices and a copy of the draft plan were posted on the DECD web site.

DECD notified all municipal chief elected officials and the state's Regional Planning Organizations about the dates, times and locations of the Action Plan public hearings and of the timing of the commentary period. All parties were directed to the DECD web site for a copy of the draft Action Plan and the 2005-09 ConPlan. DECD also submitted the draft Action Plan and public hearing/public commentary schedules to members of the state legislature who sit on committees of cognizance over matters related to housing, economic and community development and state finances.

Comments received during the public hearings and public commentary period, and DECD and/or DSS response to said comments, are included in Attachments A and B of this document.

A. Other Outreach

There are other ways in which DECD gathers information and input on what Connecticut needs to consider when developing affordable housing. There are meetings of at least 60 state boards and commissions that the Commissioner and various staff (on behalf of the Commissioner) attend. These groups focus on economic development, mental health, other social service issues, and transportation; DECD is invited to attend

because of the link to housing and community development. The exchange of ideas and feedback on the state's efforts around affordable housing (for example, supportive housing), as well as innovative thinking and programming, are often a result of the connections with these groups.

DECD's SC/CDBG Program staff provided outreach during FY 2007-08 by conducting multiple workshops for program applicants including: Competitive Application, Labor Standards, Fair Housing/Civil Rights and Analysis of Impediments to Fair Housing/Fair Housing Action Plan. In addition significant technical assistance was made available to grantees regarding the department's SC/CDBG Program competitive funding application process. SC/CDBG Program staff, will facilitate another training workshop on the competitive application process during FY 2008-09.

DECD's HOME Program staff provided outreach during FY 2007-08 through the following workshops: Community Housing Development Organization (CHDO) Recertification, and Fair Housing. HOME Program staff also began specific outreach to communities in Eastern Connecticut to promote increased utilization of the HOME Program. HOME Program staff conducted training workshops on the new "Consolidated Application" for DECD and CHFA funds during FY 2008-09.

IV. Federal Requirements

A. Resources

Federal and state resources, which will be used during this Action Plan's FY to address the needs and strategies identified in the ConPlan, are found in the program-specific sections of this report. This Action Plan provides a plan for expending FY 2009-10² funds for the following programs:

² Please note that the funding amounts represented for each program are subject to congressional/federal action, which could affect an increase, reduction or elimination of the funding amounts noted.

HOME Investment Partnerships (HOME)	\$ 13,358,763
Small Cities Community Development Block Grant (SC/CDBG)	\$ 13,532,318
Emergency Shelter Grants (ESG)	\$ 1,159,765
Housing Opportunities for Persons with AIDS (HOPWA)	\$ 268,902

Refer to Table 1 for a listing of the state and federal resources that are available to support the state’s housing and community development activities. While the State cannot anticipate what other public or private funds may become available to support the programs, activities and strategies discussed here, the State will maximize the use of any such resources as they become available. The State is committed to making the most efficient and effective use of all resources. Connecticut’s 2005-09 ConPlan outlines how the State plans to leverage HOME, SC/CDBG, ESG, and HOPWA funds against other sources of funding.

B. Activities

The state’s methods of distributing funds and carrying out activities funded by HUD are described in the program-specific sections that follow. HOME funds are available on a year-round basis through an “open” enrollment application process. SC/CDBG funds will be administered through a competitive application funding process. Please refer to the HOME and SC/CDBG Program sections of this document for more detail on these activities.

C. Geographic Distribution

All communities of the state are eligible for funding in accordance with program requirements. Funds under both the SC/CDBG and HOME Programs will be available to all eligible communities. Communities with greater needs may be given higher priority.

D. Homelessness and Other Special Needs Populations

The homeless and other special need populations are described in detail in the “Needs Assessment and the Homelessness” sections of the ConPlan. Strategies to address these needs are listed in the “Strategies” section of the ConPlan. A general description of state and federal resources can be found in the “Institutional Structure” section of the ConPlan.

E. Other Actions

The strategies to address underserved populations, to foster and maintain affordable housing, to remove barriers, and to assist families at or below the poverty level are discussed in the "Strategies" section of the ConPlan. A general description of state and federal resources can be found in the "Institutional Structure" section of the ConPlan.

1. The Connecticut Housing Finance Authority (CHFA) annually reviews the Federal Low Income Housing Tax Credit Qualified Allocation Plan to assure consistency with state policies described in this Action Plan.
2. CHFA also considers the preservation and redevelopment of state-assisted housing stock in the awarding of Federal Low Income Housing Tax Credits.
3. The State of Connecticut will continue to address the reduction of lead-based paint hazards in a manner consistent with current activities at the DECD. These include but are not limited to the following:
 - a. DECD will continue its efforts to reduce the hazards of lead-based paint through a coordinated outreach effort to provide lead-based paint hazard reduction information to rehabilitation and construction contractors. In addition, SC/CDBG funds used to support homeownership rehabilitation loans will be increased to absorb the costs associated with the lead-based paint hazard reduction methods requirements; and
 - b. DECD will continue its association with selected contractors to administer a comprehensive rehabilitation effort through a one-stop process for housing rehabilitation activities including, but not limited to, addressing lead-based paint hazard reduction, code violations, and energy conservation improvements. Funding continues to be available from the state funded Energy Conservation Loan Program, as well as the Removal of Hazardous Materials from Residential Structures Program.

DECD abides by HUD's requirements for notification, evaluation, and reduction of lead-based paint hazards in federally-owned residential properties and housing receiving

federal assistance (Lead Safe Housing Regulation at 24 CFR Part 35).

The State of Connecticut will continue to support HUD's Healthy Homes Initiative by encouraging recipients of federal funds administered by DECD to incorporate these features in their projects.

V. Program Activities

A. HOME Investment Partnerships (HOME) Program

The State of Connecticut will continue its effort to strengthen the abilities of state and local governments to expand and preserve the supply of decent, safe, sanitary, and affordable housing with the use of FY 2009-10 HOME funds. All HOME Program assisted rental and home ownership units will meet all program guidelines for income eligibility.

DECD will invest in the production of affordable housing through new construction or rehabilitation only when it determines that the units produced will remain affordable for the minimum required time period (15 years) under the HOME Program. DECD, at its discretion, may extend the affordability period beyond the minimum required by the HOME Program. If HOME funds are used for homebuyers, the state will abide by the guidelines for resale and recapture as required in Section 92.254 of the HOME Investment Partnerships Program Consolidated Final Rule.

Pursuant to Sec. 92.218-92.222 of the HOME Final Rule, the Participating Jurisdiction (PJ) incurs a 25% matching obligation for the HOME funds it expends. The State of Connecticut (PJ) will continue to use state funds as its match.

The state is also seeking to expand access to affordable housing through the utilization of partnerships with stakeholders and other funding organizations that leverage non-state resources for development or preservation of affordable housing. Geographically, HOME funds will be available to all 169 communities. DECD will accept applications for all HOME Program eligible activities with the exception of Tenant Based Rental Assistance (TBRA).

However, DECD will allow for a small statewide demonstration project using TBRA which is targeted towards family homelessness prevention and rapid re-housing; provided it is done in a coordinated manner with other state agencies linking families to all needed services, including but not limited to credit counseling and job training; and with an evaluation tool to show the cost effectiveness of the demonstration. The length of the demonstration would not exceed 24 months.

1. FY 2009-10 Resource Allocation Plan for the HOME Program

The FY 2009-10 HUD allocation to DECD for the HOME Program is anticipated to be \$13,358,763. HOME funds are subject to availability from the federal government. If changes to this distribution become necessary, procedures outlined below will be observed in making those changes. DECD will use 10% of its annual HOME allocation for program administration. A minimum of 15% of the annual allocation will be set-aside for Community Housing Development Organizations (CHDO) as required by federal law.

FY 2009-10 Allocation	\$	13,358,763
State Administration (10%)	\$	1,335,876
CHDO Set-aside (15%)	\$	2,003,814
Subtotal	\$	3,339,690
Allocation available for other eligible activities	\$	10,019,073

2. Reprogramming of Funds

During the FY, DECD may recapture funds from previous fiscal years from:

- Non-performing grantees;
- Grantee’s underutilized funds; and
- Program income generated by grantees.

Funds may be reallocated during the FY based on demand and/or emergency situations. In the event that additional funds are allocated that affect Connecticut’s initial allocation and/or are recaptured from other states and reallocated to Connecticut during the FY, these funds will be distributed in accordance with the Action Plan guidelines in effect as of the date of reallocation.

3. Debt Refinancing

For non-profit developers, DECD may also utilize HOME funds to refinance existing debt or to retire bridge financing provided the following conditions are met:

a. Refinancing of Existing Permanent Debt (applies only to nonprofit developers):

DECD may permit the use of HOME funds toward the cost of fully or partially refinancing an existing permanent mortgage loan on rental property provided, in the opinion of the Commissioner, the following conditions are met:

- The rehabilitation of the housing must be the primary eligible activity. Therefore, the cost of the rehabilitation of the housing must equal or exceed \$25,000 per HOME-assisted unit;
- The housing has not been previously financed with HOME funds;
- A review of the management practices of the applicant must demonstrate that the proposed rehabilitation is not the result of dis-investment in the property by any entity involved in the application for HOME funds;
- A review of the proposed operating budget for the project must demonstrate that both the cost of the refinancing and the needed rehabilitation of the project can be met and still result in the affordability of the units to HOME-eligible tenants for a period of 15 years or the term of the refinancing, whichever is longer;
- When compared to the refinancing terms being proposed, the loan being refinanced must have:
 - An interest rate higher than the proposed refinancing; or
 - A repayment term that is longer than the proposed refinancing; or
 - A lump-sum repayment requirement (a balloon payment);
- Priority may be given to projects located in a neighborhood identified in a neighborhood revitalization strategy under 24 CFR 91.215(e)(2), a federally-designated Empowerment Zone or Enterprise Community, a state-designated Neighborhood Revitalization Zone, or Neighborhood Stabilization Program; and
- The activity does not involve the refinancing of a multifamily loan made or insured by any state or federal program, including the SC/CDBG Program.

b. Grants or Loans to Pay Off a Bridge Loan (applies only to nonprofit developers):

DECD may permit the use of HOME funds for the repayment of all or part of any reasonable bridge loans secured by a nonprofit developer to pay for project costs necessarily incurred prior to the availability of HOME or other financing. Such expenses may include the cost of acquisition of real property, real estate options and feasibility studies which, in the opinion of the Commissioner, were necessary to the development of the project. Any services paid for with such a bridge loan that will be repaid with HOME funds must be for HOME-eligible expenses. The applicant must have secured all services in accordance with a DECD approved procurement plan.

4. Resale and Recapture Guidelines

In compliance with 24 CFR Part 92.254 (a)(5), Qualification as Affordable Housing/Homeownership, DECD will require that a deed restriction or restrictive covenant be placed on each property assisted with HOME funds to enforce the affordability requirements. For homeowner rehabilitation projects DECD will look to recapture all or a portion of the subsidy during the period of affordability. For homebuyer projects, DECD may utilize HOME and/or ADDI funds to assist homebuyers provided the following resale and recapture requirements are met:

- **Affordability Period:** The minimum affordability period is established by HUD based on the amount of HOME financial assistance in each unit; however, the applicant may request, or DECD may require, a longer affordability period in neighborhoods that are experiencing rapidly appreciating housing costs. A neighborhood with “rapidly appreciating housing cost” is one where, at the time of application, housing costs are increasing at a rate beyond the rate for housing costs contained in the Consumer Price Index;
- **Direct Subsidy (also referred to as):** Buyer’s subsidy consists of any financial assistance that reduces the purchase price from fair market to an affordable price, or otherwise subsidizes the purchase (e.g., downpayment or closing cost assistance, subordinate financing);

- Development Subsidy (also referred to as): Developer's subsidy is provided to the developer and is the difference between the cost to create or rehabilitate housing and the market price. While the subsidy does not go directly to the homeowner, it helps make development of an affordable home feasible;
- Affordability Enforcement: In compliance with 24 CFR Part 92.254(b), DECD will require recapture provisions for all homeowner rehabilitation projects to be applied to HOME Program assisted properties in the form of a mortgage to ensure recapture and a restrictive covenant to ensure affordability. For HOME Program assisted homebuyer projects, HOME Program rules require that a resale and/or subsidy recapture restriction be applied to the units. If the sole HOME Program financial assistance to a unit is a developer's subsidy (not combined with a buyer's subsidy), then the only type of restriction permitted is a resale restriction;
- Resale Restrictions: A resale restriction requires the resale of the unit to HOME Program qualified homebuyers throughout its affordability period. Successful use of this restriction requires imposition of a deed restriction or a restrictive covenant at the initial sale and diligent oversight and assistance at the time of resale. Because of this obligation, DECD normally will not permit resale restrictions unless the sponsor has a long-standing history in owning and/or managing affordable housing. A "long-standing history" means at least 10 years;
- Subsidy Recapture: A subsidy recapture requires that the resale of a HOME Program assisted ownership unit or a homeowner rehabilitation unit during the affordability period trigger a repayment of the HOME Program subsidy that the buyer received when they originally purchased the unit. Subsidy recapture may be structured so that it is reduced using the following formula:

$$\text{Yearly Reduction} = 1 / \#$$

where # equals the number of years of affordability required.

Thus, if the affordability period is 15 years, each year the amount of subsidy subject to recapture decreases by 1/15. However, in no event shall the subsidy recapture calculation result in a repayment greater than that which would have resulted in calculating the net sales proceeds with a pro-rata share to the owner

based on the original purchase; and

- Choice of Enforcement Method: DECD, working with the applicant for financial assistance, will determine which of the two enforcement mechanism will be used. However, the specific method must be selected prior to the start of the program. If, in the sole determination of DECD, the applicant for financial assistance does demonstrate adequate experience; then the subsidy recapture method of enforcement will be utilized.

5. HOME Final Rule, 24 CFR Part 92

DECD has made the following policies with regard to the requirements outlined in the HOME Final Rule.

- Income Determinations, § 92.203B - DECD has selected the Section 8 definition for annual income for its HOME program.
- Eligible Activities, § 92.209 - DECD will allow all HOME Program eligible activities with the exception of Tenant Based Rental Assistance (TBRA). However, DECD will allow for a small statewide demonstration project using TBRA which is targeted towards family homelessness prevention and rapid re-housing for up to two years.
- Match, § 92.218 et seq. - The State of Connecticut (PJ) will continue to use DECD's General Fund housing appropriations as its match.
- Maximum Per Unit Subsidy Limits, § 92.250 - DECD adheres to the HOME statute and the HOME regulation at 24 CFR 92.250(a) which limits the amount of HOME funds that a PJ may invest in a HOME-assisted unit. The maximum HOME per-unit subsidy limit is the basic Section 221(d)(3) mortgage limit for elevator-type projects, by bedroom size.
- Property Standards, § 92.251 - All assisted units (new and/or rehab) must be local or state building code, as well as Model Energy Code for new construction.

The housing must meet the housing quality standards in 24 CFR 982. 401.

- Maximum Mortgage Limits, § 92.254(a)(2)(iii) - DECD uses the Single Family Mortgage Limits under Section 203 (b) of the National Housing Act, as amended from time to time. The current limits were set by HUD and FHA Mortgagee Letter 08-02. However, applicants should be aware that HUD may change these limits and applicants are encouraged to verify the correct limits at the time of application submission.

State	County	Single Family Limit	Last Revised
CT	TOLLAND	\$ 333,735	2006
CT	WINDHAM	\$ 200,160	2006
CT	FAIRFIELD	\$ 362,790	2006
CT	NEW HAVEN	\$ 294,500	2008
CT	LITCHFIELD	\$ 285,000	2005
CT	MIDDLESEX	\$ 333,735	2006
CT	NEW LONDON	\$ 303,050	2007
CT	HARTFORD	\$ 333,735	2006

- Resale/Recapture, § 92.254 - If HOME funds are used for homebuyers, the state will abide by the guidelines for resale and recapture as required in Section 92.254 of the HOME Investment Partnerships Program Consolidated Final Rule.

If HOME funds are only used to assist an eligible low-income homebuyer to acquire one unit in single-family property containing more than one unit and the assisted unit will be the principal residence of the homebuyer, the affordability requirements of this section apply only to the assisted unit.

If HOME funds are also used to assist an eligible homebuyer to acquire one or more of the rental units in the single-family housing, the affordability requirements of § 92.252 apply to assisted rental units, except that DECD may impose resale or recapture restrictions on all assisted units (owner-occupied and rental units) in the single family housing. If resale restrictions are used, the

affordability requirements on all assisted units continue for the period of affordability. If recapture restrictions are used, the affordability requirements on the assisted rental units may be terminated, at the discretion of DECD, upon recapture of the HOME investment.

If HOME funds are used to assist only the rental units in such a property then the requirements of § 92.252 would apply and the owner-occupied unit would not be subject to the income targeting or affordability provisions of § 92.254.

- Relocation, Sec. 92.253 pursuant to 49 CFR 24 - Applicants considering activities that will trigger displacement or conversion must submit a completed Relocation Plan that conforms to federal Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA) requirements at 42 USC 4201-4655 and 49 CFR Part 24. Federal law governing relocation will apply to projects utilizing HOME and SC/CDBG funds, except where Connecticut law imposes more stringent requirements. Furthermore, Connecticut General Statutes (CGS) § 8-37z reads in part that “... the Commissioner of Economic and Community Development shall ensure that the involuntary displacement of persons and families residing in any single-family or multifamily dwelling, which displacement occurs in connection with any housing or community development project or economic development project receiving state financial assistance under any program administered by the commissioner under the general statutes, is reduced to the minimum level consistent with achieving the objectives of such program....”
- Program Income, Sec. 92.503 - All program income shall be remitted to DECD who shall be solely responsible for its reallocation in accordance with applicable program rules.
- 30% Rule - HOME rents are set assuming the target income group can pay at 30% of their income. For homeownership, a homebuyer’s payment of principal, interest, taxes, insurance and association fees (if applicable) cannot exceed 30% of the household’s anticipated gross annual income, unless they are receiving a

mortgage from an approved government program that has a higher ratio such as VA, FHA, USDA or CHFA.

- Income Limits, Sec. 92.252 - DECD adheres to the basic or “capped” HOME Program Income Limits as calculated and published by HUD annually.
- Rent Limits, Sec. 92.252 - DECD adheres to the basic HOME Program Rent Limits as calculated and published by HUD annually.

6. Application Process for the HOME Program

DECD will continue to accept applications for the HOME Program under the "open" enrollment application process: applications may be accepted on a continuing basis year-round, for as long as funds continue to be available. DECD reserves the right to cease accepting applications at any time that all available funds have been committed; applications will be rejected at that time and applicants will be warned to proceed at their own risk.

- All requests for funding must be submitted directly to the DECD’s Office of Housing Development and Finance.
- Prospective applicants may be invited to complete the new Consolidated Application in accordance with the DECD’s administration of the HOME Program.
- Staff will review the new Consolidated Application and any attached materials to determine if the project/activity meets minimum program eligibility and threshold requirements. Minimum program eligibility and threshold requirements include applicant’s experience with the HOME Program and/or other public financing, and current status of existing contracts with DECD and CHFA. Applications that do not meet basic eligibility and threshold requirements will be rejected for funding.
- Depending on the nature of the proposed activity, site inspections may be conducted by DECD staff. An evaluation of the site’s feasibility will be completed and considered as part of the review process.
- All applications, and any attached materials throughout the application process, may be reviewed and evaluated by senior staff under the direction of the

Community Development Administrator for the Office of Housing Development and Finance.

- Applications will be considered against financial and qualitative issues, including but not limited to:
 - Financial feasibility;
 - Reasonableness to proceed to construction;
 - Financial leveraging and firm financial commitments;
 - Social and economic impact on the neighborhood, community, region and state as defined in the strategies and priorities outlined in the ConPlan;
 - Responsible and transit-oriented development principles;
 - Fair Housing and Equal Opportunity Compliance;
 - Number of current open contracts;
 - Current projects' expenditure rates; and
 - Prior audit or monitoring performance.
- Final recommendations to the Commissioner will be based on the overall quality of the application as well as fund availability.
- Approved applicants will receive notification from the Commissioner's office.
- If the application is not approved, the Community Development Administrator will advise the applicant of the rejection in writing and identify the reasons for the rejection.

7. Program Eligibility and Threshold Requirements

- Eligible applicants: As defined by HUD program regulations;
- Applicant capacity: Previous experience with the HOME program and/or other public financing, quality of work product, efficiency and effectiveness in project management;
- Number of open contracts with the DECD: Applicants with three or more open contracts (not pending closeout within six months of application), regardless of funding source, will be rejected;
- Eligible activity: Only those activities eligible under the appropriate federal acts will be funded;
- Statement of compliance with all program requirements: Applicants must be in

compliance with all existing DECD assistance agreements and cannot be in default under any CHFA or HUD-administered program (Waiver provision available in extraordinary circumstances);

- Consistency with ConPlan: Applicant must identify how the project is consistent with the goals and strategies of the ConPlan; and
- Fair Housing and Equal Opportunity Compliance: Applicant must provide a certification/demonstration of compliance with all fair housing and equal employment opportunities obligations/guidelines.

For information regarding evaluation criteria considered in the application approval process, please refer to “C. Evaluation Criteria for HOME and SC/CDBG Programs” on page 33 of this document.

B. Small Cities Community Block Grant (SC/CDBG) Program

1. FY 2009-10 Resource Allocation Plan for SC/CDBG Program

The FY 2009-10 allocation to DECD for the SC/CDBG Program is anticipated to be \$13,532,318. SC/CDBG funds are subject to availability from the federal government. If changes to this distribution become necessary, procedures outlined below will be observed in making those changes. DECD will use \$100,000 plus 2% of the award for its administration of the SC/CDBG Program. DECD will also use up to 1% of the award for technical assistance activities including technical assistance training sessions for grantees and handbooks for use by local governments.

FY 2009-10 Allocation	\$	13,532,318
State Administration (2%)	\$	270,646
Additional \$100,000 State Administration	\$	100,000
Technical Assistance (1%)	\$	135,323
Subtotal	\$	505,969
Urgent Need (up to \$500,000)	\$	500,000
Allocation available for all other eligible activities	\$	13,026,349

2. Reprogramming of Funds

During the FY, DECD may recapture funds from previous fiscal years. Any

reprogrammed funds obtained during the FY will be reallocated as noted above.

Recaptured funds may come from:

- Non-performing grantees;
- Grantee's underutilized funds; and
- Program income generated by grantees.

Funds may be reallocated during the FY based on demand and or emergency situations. In the event that additional funds are allocated that affect Connecticut's initial allocation and/or are recaptured from other states and reallocated to Connecticut during the FY, these funds will be distributed in accordance with the Action Plan guidelines in effect as of the date of reallocation.

3. Activities

Communities funded under the SC/CDBG Program can undertake a wide range of activities in the areas of housing, economic development, community facilities, and public services; provided each activity meets one of the three national program objectives, see #4 below. This section contains a listing of the specific eligible activities as defined by HUD and also contains a review of expressly ineligible activities that SC/CDBG Program grantees are in no circumstances allowed to carry out.

Eligible activities include:

- Acquisition of real property;
- Clearance (including assessment and remediation of known or suspected environmentally contaminated sites), rehabilitation, reconstruction, and construction of buildings;
- Code Enforcement;
- Disposition of real property;
- Economic development assistance to for-profit business;
- Energy efficiency/conservation;
- Housing services;
- Loss of rental income;

- Micro-enterprise assistance;
- Planning and capacity building;
- Program administrative costs;
- Public facilities and improvements;
- Public services;
- Relocation assistance;
- Removal of Architectural Barriers (commonly called ADA Improvements); and
- Technical assistance.

Any activity not specifically authorized in the list of eligible activities will be considered to be ineligible for assistance under the SC/CDBG Program.

Ineligible activities include:

- Buildings for the general conduct of government (except ADA improvements);
- Faith-based assistance used for primarily religious activities;
- Income payments;
- New construction of permanent residential structures; and
- Political activities.

4. The Housing and Community Development Act of 1974 (as amended)

The primary objective of the Act, as amended, is the development of viable urban communities by providing decent housing, a suitable living environment and expanding economic opportunities, principally for families and persons of low- and moderate-income. In order to meet these objectives, the federal government has established three National Objectives for the SC/CDBG Program. Every activity must meet one of the three national objectives listed below:

- To benefit low- and moderate-income families;
- To aid in the prevention or elimination of slums or blight; and
- To alleviate existing conditions that pose a serious and immediate threat to the health or welfare of the community (Urgent Need).

Communities can meet a national objective through one of the following:

- Low- and Moderate-Income Benefit:

- Area benefit (e.g., streets and sidewalks), where at least 51% of the population in the defined area is of low- and moderate-income; or
- Limited clientele (e.g., seniors or handicapped persons); or
- Direct benefit (e.g., housing rehabilitation and job creation).
- Slum and Blight:
 - Prevention or elimination on an area basis; or
 - Prevention or elimination on a spot slum and blight basis.
- Urgent Need:
 - Sudden and unexpected need;
 - Threat to the health and welfare of the community;
 - Occurred within 18 months; and
 - No other funds available.

5. Community Revitalization Strategies (CRS)

In 1996, HUD established criteria, which allowed states to approve a locally determined strategy for revitalizing an area that is among the community's most distressed. In order to provide some incentive for communities to undertake such revitalization, the SC/CDBG Program regulations provide certain benefits for the use of SC/CDBG funds in such an area. DECD will apply the same criteria to communities eligible for the SC/CDBG Program.

A community that is interested in undertaking of a Community Revitalization Strategy (CRS) must submit a request to DECD prior to applying for SC/CDBG funds. A community's revitalization strategy must be designed to provide for the economic empowerment of low- and moderate-income residents of a particular area that is among the community's most distressed. It must also provide for other long-term improvements within a reasonable period of time. Therefore, the CRS must clearly describe how it meets the following criteria:

- **Boundaries:** A community must identify the neighborhood's boundaries for which the CRS applies. All areas within the boundaries must be contiguous;
- **Demographic Criteria:** The designated area must be a primarily residential area

that contains at least 51% Low- and Moderate-Income (LMI) residents. However, a community may not utilize the area benefit presumption authorized by 24 CFR 570.483(e)(5)(i) or the aggregation of housing units authorized by 24CFR 570.483 (e)(5)(ii) unless it meets the additional demographic criteria outlined in 24 CFR 570.483(b)(1)(v). Communities that intend to utilize the area benefit presumption or the aggregation of housing units must provide DECD with the census data needed to support the LMI percentage and poverty rate in the designated area;

- Consultation: The community must describe how the CRS was developed in consultation with the area's stakeholders, including residents, owners/operators of businesses and financial institutions, nonprofits, and community groups that are in or serve the neighborhood;
- Assessment: The CRS must include an assessment of the economic conditions of the area and an examination of the opportunities for economic development improvement and the problems likely to be encountered;
- Economic Empowerment: There must be a realistic development strategy and implementation plan to promote the area's economic progress focusing on activities to create meaningful jobs for the unemployed low- and moderate-income residents of the area as well as activities to promote the substantial revitalization of the area; and
- Performance Measures: The CRS must identify the results to be achieved, expressing them in terms that are readily measurable, in the form of benchmarks.

In order to avoid an unnecessary burden for the community in describing its CRS, the community may refer to specific portions of other documents that the community must provide to DECD. Additional data may be required if the referenced documents do not contain sufficient data to determine that each of the criteria has been met.

A community with an approved Neighborhood Revitalization Zone (NRZ) pursuant to Connecticut General Statutes Chapter 118, Sec. 7-600 may use the strategic plan developed for the NRZ as the CRS as long as any additional information required by DECD is also provided.

Once a CRS is approved, the community is eligible for the following incentives:

- Job Creation/Retention as a Low and Moderate Income Area Benefit: Job creation/retention activities undertaken pursuant to the CRS may be qualified as meeting area benefit requirements, thus eliminating the need for a business to track the income of the persons that take or are considered for such jobs;
- Aggregation of Housing Units: Units assisted pursuant to the CRS may be considered to be part of a single structure for purposes of applying the low- and moderate-income national objective criteria, thus providing greater flexibility to carry out housing programs that revitalize neighborhoods;
- Aggregate Public Benefit Standard Exemption: Economic development activities carried out under the strategy may be exempt from the aggregate public benefit standards, thus increasing a community's flexibility for program design as well as reducing its record-keeping requirements; and
- Public Service Cap Exemption: Public services carried out pursuant to the CRS by a Community Based Development Organization (CBDO) will be exempt from the Public Services federal funding cap.

6. Section 108 Loans

The Section 108 Loan Guarantees are an extension of the SC/CDBG Program and provides a source of financing for community development projects in accordance with Section 108 of the Housing and Community Development Act of 1974, as amended. The program is designed to finance large-scale projects that address public needs or stimulate economic development.

Guaranteed by HUD and backed by the full faith and credit of the United States, Section 108 Notes are issued to investors through private underwriters. Section 108 funds are offered to communities in the form of loans that must be repaid in full. The state pledge of future SC/CDBG funds serves as one source of security. All projects will be required to provide additional security and demonstrate that the Section 108 borrowing can be paid back. All Section 108 projects must fulfill at least one of the SC/CDBG Program national objectives.

Proposals for Section 108 loans may be accepted by DECD throughout the year and will be evaluated on project merits by a review team. Communities will be requested to complete a pre-application, which will enable DECD to determine that the proposal meets federal eligibility and feasibility criteria. Proposals will be accepted for large-scale housing rehabilitation, housing development, site preparation, infrastructure and economic development. The amount of funds committed to a particular project will be based on financial need and public benefit relative to risk.

Key program elements for the Section 108 Loan Guarantee Program:

- Statewide assistance is limited to \$14 million or no more than \$1,500,000 principal and interest payments annually;
- Minimum amount per project is \$500,000;
- Maximum loan guarantee per community or per project will not exceed \$4 million;
- Maximum loan term will be 20 years;
- Loans will be capped at 75% to 80%, Section 108 loan to collateral value pledged;
- Repayment feasibility must be reasonably assured;
- Each project must demonstrate at least 10% equity participation;
- Section 108 loan funds cannot constitute more than 90% of total project costs;
- For economic development projects, the cost per Full Time Equivalent (FTE) job cannot exceed \$35,000 in Section 108 funds (all permanent jobs); a maximum of \$350 per low- and moderate-income resident served; and the interest rates charged will be pegged to cost of funds, which track treasury rates; and
- For housing rehabilitation projects, maximum assistance will be capped according to HOME Program guidelines.

7. Application Process for SC/CDBG Program

Funding for the SC/CDBG Program will be available for all activities except "Urgent Need" through competitive application funding rounds (not less than one and not more than three) for FY 2009-10. DECD will provide adequate advance notice of fund availability and reserves the right to cease accepting applications at any time that all available funds have been committed. Based on funding availability and other

considerations, DECD may limit the number of applications that can be submitted by a municipality in each funding round. Notification of such limitation will be included in DECD's notice of fund availability should DECD elect to set such a limitation. In the case of Urgent Need, DECD will accept applications on a first-come first-serve basis.

a. Program Eligibility and Threshold Requirements:

DECD has established the following standards for applicant eligibility:

- Eligible applicants: As defined by HUD program regulations;
- Eligible activity: Only activities, as defined in this plan are eligible;
- National Objective: Each proposed activity must meet at least one national objective and must be fully supported within the application;
- Citizen Participation: Applicant must provide certification of compliance with citizen participation criteria;
- Consistency with the ConPlan: Applicant must identify how the project is consistent with the goals and strategies of the ConPlan;
- Fair Housing and Equal Opportunity Compliance: Applicant must demonstrate compliance with all fair housing and equal employment opportunities obligations/guidelines;
- Statement of Compliance: Applicant must be in compliance with all existing department assistance agreements and cannot be in default under any CHFA or HUD administered program; and
- Expenditure Rates: Assistance Agreements for 2007 grants will need to be 50% expended by April 30, 2009, and the 2006 and earlier grants will need to be 100% expended. Grants older than 2006 must be closed out with a certificate by the time the application is submitted. DECD has the right to waive the certificate for those grants older than 2006 should the certificate not be issued based on DECD's own close out schedule.

b. Application Evaluation Process:

DECD will conduct due diligence and evaluate all eligible applications using the evaluation criteria described herein. Depending on the nature of the proposed activity, site inspections may be conducted by DECD staff. An evaluation of the site's feasibility will be completed and considered as part of the final review. Staff

review will include but not be limited to the following:

- Applicant capacity;
- Outstanding obligations (i.e. findings & concerns);
- Number of open contracts;
- Expenditure rates on open contracts;
- Other unique facts or circumstances;
- Need and marketability;
- Need for the activity;
- Local financial conditions;
- Project feasibility;
- Readiness to proceed;
- Site feasibility;
- Firm financial commitments, if applicable;
- Site control, etc.;
- Community impact;
- Extent to which the proposed activity supports the goals of neighborhood, local, regional, and state plans for housing and community development;
- Amount of leveraging included in the application; and
- Fair housing and equal opportunity.

For more information regarding evaluation criteria considered in the application approval process, please refer to Section C. "Evaluation Criteria for HOME and SC/CDBG Programs" on page 33 of this document.

c. Planning Only Grants:

Requests for funding are part of the competitive application process outlined above. Federal and state policy requires that all "Planning Only" grants develop plans that, if implemented, would meet the low- and moderate-income or slum and blight national objectives. To meet this requirement, Planning Only grants must be for a specific eligible activity. Communities are limited to one Planning Only grant request per program year in an amount not to exceed \$25,000. Total awards for Planning Only grants will not exceed 2% of the state's annual allocation.

d. Economic Development:

Requests for funding are part of the competitive application process outlined above. Eligible communities or multi-jurisdictional applicants can assist businesses in meeting the national objective for low- and moderate-income benefit through job creation or retention. In addition to the criteria stated above, economic development activities must demonstrate the appropriateness of SC/CDBG funding; that the type and level of SC/CDBG Program financial assistance is reasonable in relation to the achieved public benefit; and that the level of financial assistance would not unduly enrich the business.

e. Public and State-Assisted Housing Modernization:

Requests for funding are part of the competitive application process outlined above. All applications for the rehabilitation of Public and State-Assisted Housing must meet the “readiness to proceed” criteria. To meet this criterion, owners must, at a minimum, have their preliminary architectural plans and drawings completed, including all necessary approvals, prior to application submission. This process will guarantee that the application is meeting all of the criteria of architectural review and will ensure the owners readiness to move forward at the time of award.

f. Funding Priorities:

- Housing and economic development projects are considered funding priorities by the “State of Connecticut”. Applications for housing and economic development activities will receive 25 additional points when rated and ranked.
- In July 2008, Congress passed Public Law 110-289, the Housing and Economic Recovery Act of 2008 (HERA), which created the Neighborhood Stabilization Program (NSP) and provided \$3.92 billion to states, counties and cities in order to acquire, rehabilitate, demolish and redevelop foreclosed and abandoned residential properties. As required by HERA, HUD devised a formula to allocate funds based on the number of foreclosures, sub-prime and delinquent loans in each jurisdiction. HUD then calculated each state's allocation.

The State of Connecticut is to receive \$25,043,385 in NSP funding. The State completed and submitted an Action Plan substantial amendment (herein after referred to as the NSP Action Plan) to HUD on December 1, 2008. The areas hardest hit by the subprime market and foreclosure crisis have been urban centers, where our top urban cities account for 25% of the state's foreclosures. As drafted, this will leave our smaller towns and cities with no NSP funding to assist with the foreclosure crisis.

Therefore, the purchase and rehabilitation homes and residential properties that have been abandoned or foreclosed upon, in order to sell, rent or redevelop such homes and properties is another funding priority. Those housing applications that include the purchase and rehabilitation of residential properties that have been abandoned or foreclosed upon will receive an additional 25 points when rated and ranked.

g. Project Standards:

A town can request to exceed the amounts noted below if they submit a letter and provide detail.

Residential Rehab	\$	300,000
Public Housing	\$	700,000
Public Facilities	\$	750,000
Streets & Sidewalks	\$	500,000
Planning Only	\$	25,000
Economic Development	\$	500,000
Urgent Need	\$	500,000

h. Final Recommendations:

Based on the overall quality of the application and compliance with the threshold and evaluation requirements, staff will make recommendations to the Commissioner. For competitive application funding rounds, the criteria above will be used to rate and rank all applications for major activities; and recommendations to the Commissioner's office will be based on this rating and

ranking system. Applicants will receive written notification after final decisions have been made.

C. Evaluation Criteria for HOME and SC/CDBG Programs

The following are categories of evaluation criteria and descriptions of factors that will be considered within each category.

1. Need and Marketability

The project must meet one or more of the priorities as outlined in the ConPlan. This category will consider: the overall housing and community development needs of the site; the neighborhood, the community, the municipality and the region in which the activity is proposed; the documented need for the specific activity proposed; the extent to which low- and moderate-income households will be served or will benefit; the extent to which health and safety issues apply; the extent to which the proposal addresses the community's special needs housing and a market analysis of the proposed activity and waiting lists (if appropriate).

2. Project Feasibility

DECD must expend federal funds in a timely manner; therefore, priority shall be given to all projects that have a "ready to go" status. "Ready to go" means that necessary approvals are in place, such as permits, funding, certifications, etc. This category will consider distinct areas: site, development, and operational feasibility. Site feasibility will consider the environmental condition of the proposed activity, site control, current zoning and approvals, infrastructure condition and needs, the presence of hazardous materials, and historic preservation requirements. Development feasibility will consider project cost including total development cost, per unit cost and program cost ("soft cost"), proposed development budget, appraisals, funding commitments from other sources, amount of funding leveraged by HOME or SC/CDBG funds, the extent to which the HOME or SC/CDBG funds are used as gap financing or funding of last resort, relocation, project time line, and project readiness to proceed. Operational feasibility will consider proposed operating

budget, proposed rents and/or purchase prices, the reasonableness of operating expenses including fees, and cash flow projections for the project.

3. Applicant/Sponsor Capacity

All applicants must meet all thresholds and be in full compliance with any and all assistance agreements with DECD and cannot be in default under any DECD, CHFA or HUD-administered program. This category will consider the applicant's success with previous DECD funded projects, development experience, experience of the development team and staff, management experience, performance in administering previous grants and/or loans from DECD, and performance in promoting fair housing and equal opportunities.

4. Community Impact

DECD will consider whether the project is part of a comprehensive planning process for the community, such as a Community Revitalization Strategy, Plan of Development or similar planning effort. The applicant must provide evidence of the planning effort supporting the project. This category will consider: the relationship between the proposed activity and the other housing, economic and community development activities that are planned or underway in the impacted neighborhood; the relationship of the proposed activity to priorities identified in the municipality's or region's plan of development; the economic impact of the proposed activity; local government support for the proposed activity; neighborhood support for the proposed activity and if the proposed activity is located in a targeted investment area, such as a Neighborhood Revitalization Zone or Enterprise Zone.

5. Fair Housing and Equal Opportunity

DECD will consider the demonstration of a previously approved and active Fair Housing Plan, and the applicant's performance in achieving the goals of the plan. Applicants must submit a Fair Housing Plan that has been updated within the last two years and milestones/achievements as a result of the plan. The extent to which the proposed activity addresses elements in the state's Analysis of Impediments

Action Plan will be considered. In addition, the department will also take into account whether the applicant adheres to an Equal Opportunity Plan, including a Section 3 Plan. This category will also consider the extent to which a proposal promotes racial and economic integration, the extent to which the proposal offers housing choice and opportunities to extremely low-/very low-/low- and moderate-income households and to persons with special needs, and the extent to which the proposed project reduces racial segregation. The Fair Housing category will only apply to housing proposals, while Equal Opportunity will be applied to all proposals.

D. Compliance and Monitoring for HOME and SC/CDBG Programs

DECD will monitor applicants' compliance to program requirements in accordance with 24 CFR 92.508 and 24 CFR 570.492 for the HOME and SC/CDBG Programs respectively. Applicants will be notified in advance of any project monitoring. Applicants should be aware of the long-term compliance requirements associated with their respective projects in advance of accepting a contract for funding with DECD.

E. State and Federal Resources for DECD FY 2009-10

This table lists the levels of state and federal funding anticipated to be available in FY 2009-10. Please note that Connecticut's 2005-09 ConPlan outlines how the state plans to leverage SC/CDBG and HOME funds against other sources of funding. For more detail concerning how Connecticut leverages federal and state funds against each other and against non-governmental funding sources, please refer to the Connecticut 2005-09 ConPlan and the Connecticut 2005-09 State Long-Range Housing Plan. Both of these documents are available on the DECD web site.

Table 1: DECD Anticipated State and Federal Funding			
ECONOMIC & COMMUNITY DEVELOPMENT (DECD)	STATE FY 2009-10	HUD FY 2009-10	TOTAL
HOME (includes ADDI \$)	\$ 0	\$ 13,358,763	\$ 13,358,763
SC/CDBG	\$ 0	\$ 13,532,318	\$ 13,532,318
Affordable Housing (Flex)	\$ 10,000,000	\$ 0	\$ 10,000,000
Remediation and abatement of Lead in Public Housing	\$ 0	\$ 0	\$ 0
Energy Conservation Loan Program	\$ 5,000,000	\$ 0	\$ 5,000,000
Energy Improvement Loans	\$ 0	\$ 0	\$ 0
Subsidized Assist Living Demonstration	\$ 2,068,000	\$ 0	\$ 2,068,000

Elderly Rental Registry & Counselor	\$ 629,654	\$ 0	\$ 629,654
Residential Service Coordinators	\$ 1,000,000	\$ 0	\$ 1,000,000
Fair Housing	\$ 350,000	\$ 0	\$ 350,000
Housing Assistance and Counseling	\$ 588,903	\$ 0	\$ 588,903
Elderly/Congregate Rental Assistance	\$ 1,823,004	\$ 0	\$ 1,823,004
Congregate Operating Subsidy	\$ 6,884,547	\$ 0	\$ 6,884,547
Payment in Lieu of Taxes (PILOT)	\$ 0	\$ 0	\$ 0
Tax Abatement	\$ 0	\$ 0	\$ 0
Housing Trust Fund	\$ 30,000,000	\$ 0	\$ 30,000,000
HOME – CT	\$ 0	\$ 0	\$ 0
Deferred Maintenance of Public Housing	\$ 0	\$ 0	\$ 0
TOTAL FOR DECD:	\$ 58,344,108	\$ 26,891,081	\$ 85,235,189

Source: DECD, OFA, OPM

Table 2: CHFA Anticipated State and Federal Funding			
CONNECTICUT HOUSING FINANCE AUTHORITY (CHFA)	STATE FY 2009-10	FEDERAL FY 2009-10	TOTAL
Low Income Housing Tax Credit	\$ 0	\$ 7,700,000*	\$ 7,700,000
Housing Tax Credit Contribution	\$ 10,000,000	\$ 0	\$ 10,000,000
TOTAL FOR CHFA:	\$ 10,000,000	\$ 7,700,000	\$ 17,700,000

Source: CHFA * Amount is the estimated credit amount for calendar year 2009. Under Federal Statute state credit amounts are established annually by formula on a calendar year basis

F. Priority Objectives and Performance Goals

DECD intends to make available HOME and SC/CDBG funds to eligible recipients based on the priorities set forth in the state's 2005-09 ConPlan and this document.

1. The 2005-09 Consolidated Plan, Performance Outcome Measurement System:

The Performance Outcome Measurement System associated with the 2005-09 ConPlan includes objectives, outcome measures and indicators (outputs). It has three overarching program objectives under which all HOME, SC/CDBG, ESG, and HOPWA Program activities, outcome indicators, and measures will be grouped. They are as follows:

a. Overarching Program Objectives:

1. Encouraging Homeownership:
 - Improve the ability of low- and moderate-income residents to access homeownership opportunities.
2. Expanding the Supply of Quality Affordable Housing:
 - Preserve and increase the supply of quality affordable housing available

to all low- and moderate-income households, and help identify and develop available resources to assist in the development of housing;

- Improve the ability of low- and moderate-income residents to access rental housing opportunities; and
- Assist in addressing the shelter, housing, and service needs of the homeless poor and others with special needs.

3. Revitalizing Communities:

- Provide communities with assistance to undertake economic development initiatives; and
- Provide assistance to help communities undertake community infrastructure, facilities, and service projects affecting public health, safety and welfare.

These three objectives incorporate the statutory objectives for the HOME, SC/CDBG, ESG, and HOPWA Programs. Grouping the program activities in this way allows Connecticut to report on its progress toward meeting the overall objectives of the aforementioned programs in a simplified and comprehensive manner. In some cases, activities will fall under more than one program objective, depending upon the purpose/type of the program.

The measures used in the ConPlan's Performance Outcome Measurement System are designed to clearly gauge whether or not the activities being funded under the four federal programs, governed by the plan, are meeting its stated goals and objectives.

As stated in Section IX "Strategic Plan" of the ConPlan, there are 12 goals supporting the plan's three overarching goals. Each goal is supported by specific objectives. Each objective has specific measures associated with it.

Performance measurement methodology: The ultimate purpose of the performance outcome measurement system of the ConPlan is to clearly demonstrate whether or not Connecticut is achieving the statutory objectives of the HOME, SC/CDBG, ESG, and HOPWA Programs. The "Strategic Plan"

Section of the ConPlan has been designed to link the statutory goals of these four programs to the specific activities carried out by the state. Please refer to Section IX “Strategic Plan” of the ConPlan for detail on the plan’s overarching goals, goals and objectives.

Therefore:

- If the majority of a goal’s stated objectives are achieved, then that goal will be considered accomplished;
- If the majority of the goals that support one of the plan’s overarching goals are achieved, then that overarching goal will be considered accomplished; and
- As the three overarching goals of Connecticut’s ConPlan incorporate the statutory objectives for the HOME, SC/CDBG, ESG, and HOPWA Programs, the statutory objectives for these programs will be considered accomplished, if the overarching goals of this plan have been accomplished.

b. Performance Measures:

The metrics (outcome measures and indicators/outputs) used to gauge the success or failure of the ConPlan must be tangible and obtainable. They must be clearly understandable and easily flow through a hierarchical construct, which links actions to the ultimate goals of the federal programs governed by the plan.

Each specific objective has been assigned one or more measures designed to clearly identify whether or not that objective has been met. See Section XI “Performance Measurements Goals & Objectives Matrix” of the ConPlan for specific measures. As mentioned above, a goal will be considered successfully fulfilled if the majority of its associated specific objectives have been accomplished and, as such, the success or failure in meeting a goal’s specific objectives acts as the metric for measuring the state’s performance in meeting the plan’s goals.

The ConPlan’s overarching goals will be considered successfully fulfilled if the

majority of their associated goals have been accomplished and, as such, the success or failure in meeting the goals associated with each overarching goal acts as the metric for measuring the state's performance in meeting the plan's overarching goals.

The statutory goals of the four programs will be considered successfully fulfilled if the overarching goals of the ConPlan have been accomplished and, as such, the success or failure in meeting the overarching goals of the plan acts as the metric for measuring the state's performance in meeting the statutory goals of the four programs.

A graphic illustration of the objective and goal linkages, and outcome measures and indicators is located in Section XI "Performance Measurements Goals & Objectives Matrix" of the ConPlan.

c. Development of Specific Objectives and Proposed Accomplishments:

The specific objectives and proposed accomplishments described in Section IX "Strategic Plan" of the ConPlan were derived from a thorough review of the various needs within the state, a review of the resources available to address those needs, an assessment of the capacity of the state, local jurisdictions, housing authorities and private and not-for-profit organizations to meet those needs, and through a review of the state's historic achievements in meeting those needs in the past and the costs associated with those achievements.

d. Prioritization of Funding and Need:

The ConPlan recognizes that the housing and community development needs of the state are many while the resources to address these issues are limited. As such, this plan attempts to maximize all available state and federal resources by focusing the state's efforts.

Only those issues deemed to be a high priority to the state have been identified in this plan. All other issues are, by default, deemed to be a lower priority in terms of funding attention.

There are 12 goals outlined in the ConPlan document. These goals, listed below, are presented in numeric order for the purpose of identification. Their position within this list does not denote a specific ranking — as all are considered of equal priority. These goals are as follows:

- Goal 1: Supportive Housing – Develop and implement strategies and solutions to address the problem of homelessness through the utilization of supportive housing;
- Goal 2: Home Ownership – Improve the ability of low- and moderate-income residents to access home ownership opportunities;
- Goal 3: Rental Housing Supply – Preserve and increase the supply of quality affordable housing available to low- and moderate-income households;
- Goal 4: Rental Housing Opportunities – Improve the ability of low- and moderate-income residents to access rental housing opportunities;
- Goal 5: Affordable Housing Planning – Help identify and develop available resources to assist in the development of housing;
- Goal 6: Fair Housing – Empower upward mobility for low- and moderate-income residents through fair housing;
- Goal 7: Homelessness – Address the shelter, housing and service needs of the homeless poor and others with special needs;
- Goal 8: Special Needs – Address the housing and service needs of those populations defined as having special needs:
 - Elderly and frail elderly;
 - Persons with disabilities;
 - Persons with HIV/AIDS and their families;
 - Persons with substance abuse issues;
 - Persons recently de-incarcerated;
- Goal 9: Lead Paint and Hazardous Materials – Support the removal of lead-based paint and other hazardous materials in existing housing;
- Goal 10: Public Housing Residents – Facilitate homeownership opportunities for public housing residents;
- Goal 11: Non-Housing: Economic Development – Provide communities with

assistance to undertake economic development initiatives; and
Goal 12: Non-Housing: Infrastructure and Public Facilities – Provide assistance to undertake improvements to the community infrastructure, and construct or rehabilitate public facilities projects affecting public health, safety and welfare of low- and moderate-income residents.

Objectives, accomplishments and measures: Each goal is followed by specific objectives (objectives are either specific actions to be taken or specific milestones to be achieved). A corresponding proposed accomplishment follows each of these objectives. The accomplishments are designed to serve as the metric that will gauge the performance of the state in meeting the objectives and ultimately the goal to which they relate.

Basis for assigning priority: Each objective and accomplishment also has a proposed funding source (or sources), a population and geographic target, and a priority rating. Each objective is supported by a brief discussion of the need/basis for assigning the priority and of obstacles to meeting underserved needs summarized from the “needs assessment and housing market analysis” sections of the ConPlan.

Priority ratings were established after a thorough examination of Connecticut's housing and community development needs and the state's current and historical housing market. (See the “Needs Assessment and Housing Market Analysis” Sections of the ConPlan.) Based on the state's review of all relevant and available data, specific issues were selected and run through an internal screening at the DECD and DSS. Issues chosen to be assigned high priority funding status within this plan were selected based on three overarching factors: (1) the issue's relative demonstrated need (as identified in the needs assessment), (2) the availability of other funds to address the need and (3) the eligibility criteria of each of the four federal programs governed by this plan.

e. High Priority Needs and Funding:

As stated above, only those issues deemed to be a high priority to the state have been identified in the ConPlan. All other issues are, by default, deemed to be a lower priority in terms of federal funding attention.

This does not exclude the state from funding lower priority projects. The high priority designation serves to emphasize to the public, the areas in which the state will concentrate its efforts over the next five years, in terms of housing and community development. Further, it defines where the state will focus its usage of the federal funds accessed through the four state administered federal programs governed by this plan.

A proposed project that addresses a high priority need is not guaranteed funding based solely on the fact that it will address a high priority need. All projects funded by the state must be financially and logistically feasible as well as meet all of the eligibility criteria of the proposed funding source. When two or more projects are competing for funding dollars (all things being equal), the project addressing the high priority need will be given funding preference.

Note: for the purposes of this plan, "Other Funds" include all available state, federal or private funds other than those allocated to the state under the HOME, SC/CDBG, ESG, and HOPWA Programs.

The 2008-09 Action Plan outlined DECD's proposed accomplishments for FY 2008-09. These were based on the performance measurement system presented in the 2005-09 ConPlan and incorporated HUD's Outcome Performance Measurement System. The results for FY 2008-09 accomplishments will be contained in the 2008 Performance Evaluation Report (PER).

The "Goals and Objectives Matrix" starting on page 51 of this plan outlines DECD's proposed accomplishments for 2009-10, including those actions to be taken during the FY to overcome the effects of impediments identified in the five-

year ConPlan. The proposed accomplishments appearing in this section are based on the performance measurement system presented in the 2005-09 ConPlan as well as HUD's Outcome Performance Measurement System implemented with the 2006-07 Action Plan. Outlined below is further detail on HUD's Outcome Performance Measurement System.

2. HUD Outcome Performance Measurement System:

Below is the key based on the HUD Outcome Performance Measurement System for Community Planning and Development Formula Grant Programs as contained in the Federal Register dated March 7, 2006 (Volume 71, Number 44).

a. Objectives:

- I. **Suitable Living Environment:** In general, this objective relates to activities that are designed to benefit communities, families, or individuals by addressing issues in their living environment;
- II. **Decent Housing:** The activities that are typically found under this objective are designed to cover the wide range of housing possible under HOME, SC/CDBG, ESG, or HOPWA. This objective focuses on housing programs where the purpose of the program is to meet individual family or community needs and not programs where housing is an element of a larger effort, since such programs would be more appropriately reported under Suitable Living Environment; and
- III. **Creating Economic Opportunities:** This objective applies to the types of activities related to economic development, commercial revitalization, or job creation.

b. Outcomes:

- A. **Availability/Accessibility:** This outcome category applies to activities that make services, infrastructure, public services, public facilities, housing, or shelter available or accessible to low- and moderate-income people, including persons with disabilities. In this category, accessibility refers not only to physical barriers, but also to making the affordable basics of daily living

available and accessible to low- and moderate-income people where they live;

- B. **Affordability:** This outcome category applies to activities that provide affordability in a variety of ways in the lives of low- and moderate-income people. It can include the creation or maintenance of affordable housing, basic infrastructure hook-ups, or services such as transportation or day care; and
- C. **Sustainability/Promoting Livable or Viable Communities:** This outcome applies to projects where the activity or activities are aimed at improving communities or neighborhoods, helping to make them livable or viable by providing benefit to persons of low- and moderate-income or by removing or eliminating slums or blighted areas, through multiple activities or services that sustain communities or neighborhoods.

c. Output Indicators:

Common Indicators, as applicable:

1. Amount of money leveraged (from other federal, state, local, and private sources) per activity;
2. Number of persons, households, units, or beds assisted, as appropriate;
3. Income levels of persons or households by: 30%, 50%, 60%, or 80% of area median income, per applicable program requirements. However, if a SC/CDBG activity benefits a target area, that activity will show the total number of persons served and the percentage of low- and moderate-income persons served. Note that this requirement is not applicable for economic development activities awarding funding on a "made available basis"; and
4. Race, ethnicity, and disability (for activities in programs that currently report these data elements);

Specific Indicators, as applicable:

5. Public facility or infrastructure activities
 - Number of persons assisted:
 - With new access to a facility or infrastructure benefit;
 - With improved access to a facility or infrastructure benefit;

- Where activity was used to meet a quality standard or measurably improved quality, report the number that no longer only have access to a substandard facility or infrastructure;
6. Public service activities
- Number of persons assisted:
 - With new access to a service;
 - With improved access to a service;
 - Where activity was used to meet a quality standard or measurably improved quality, report the number that no longer only have access to substandard service;
7. Activities are part of a geographically targeted revitalization effort (Y/N).
Indicate type:
- Comprehensive;
 - Commercial;
 - Housing;
 - Other;

Choose all the indicators that apply, or at least three indicators if the effort is Comprehensive:

- Number of new businesses assisted;
 - Number of businesses retained;
 - Number of jobs created or retained in target area;
 - Amount of money leveraged (from other public or private sources);
 - Number of low- or moderate-income (LMI) persons served;
 - Slum/blight demolition;
 - Number of LMI households assisted;
 - Number of acres of remediated brownfields;
 - Number of households with new or improved access to public facilities/services;
 - Number of commercial façade treatment/business buildings rehabbed;
 - Optional indicators: Numbers on crime rates, property value change, housing code violations, business occupancy rates, employment rates, homeownership rates;
8. Number of commercial façade treatment/business building rehab (site, not target area based);
9. Number of acres of brownfields remediated (site, not target area based);

10. New rental units constructed per project or activity

Total number of units:

Of total:

- Number affordable;
- Number Section 504 accessible;
- Number qualified as Energy Star;

Of the affordable units:

- Number occupied by elderly;
- Number subsidized with project-based rental assistance (federal, state, or local program);
- Number of years of affordability;
- Number of housing units designated for persons with HIV/AIDS, including those units receiving assistance for operations;

Of those, number of units for the chronically homeless:

- Number of units of permanent housing designated for homeless persons and families, including those units receiving assistance for operations;

Of those:

- Number of units for the chronically homeless;

11. Rental units rehabilitated

Total number of units:

Of total:

- Number affordable;
- Number Section 504 accessible;
- Number of units created through conversion of non-residential buildings to residential buildings;
- Number brought from substandard to standard condition (HQS or local code);
- Number qualified as Energy Star;
- Number brought into compliance with lead safe housing rule (24 CFR part 35);

Of those affordable:

- Number occupied by elderly;
- Number subsidized with project-based rental assistance (federal, state or local program);
- Number of years of affordability;
- Number of housing units designated for persons with HIV/AIDS, including those units receiving assistance for operations;

Of those:

- Number of units for the chronically homeless;
- Number of units of permanent housing for homeless persons and families, including those units receiving assistance for operations;

Of those:

- Number of units for the chronically homeless;

12. Homeownership units constructed, acquired, and/or acquired with rehabilitation (per project or activity)

Total number of units:

Of those:

- Number of affordable units;
- Number of years of affordability;
- Number qualified as Energy Star;
- Number Section 504 accessible;
- Number of households previously living in subsidized housing;

Of those affordable:

- Number occupied by elderly;
- Number specifically designated for persons with HIV/AIDS;

Of those:

- Number specifically for chronically homeless;
- Number specifically designated for homeless;

Of those:

- Number specifically for chronically homeless;

13. Owner occupied units rehabilitated or improved

Total number of units:

- Number occupied by elderly;
- Number of units brought from substandard to standard condition (HQS or local code);
- Number qualified as Energy Star;
- Number of units brought into compliance with lead safe housing rule (24 CFR part 35);
- Number of units made accessible for persons with disabilities

14. Direct financial assistance to homebuyers

Number of first-time homebuyers:

Of those:

- Number receiving housing counseling;
- Number receiving down-payment assistance/closing costs;

15. Tenant- based rental assistance (TBRA)

Total number of households:

Of those:

- Number with short-term rental assistance (less than 12 months);
- Number of homeless households;

Of those:

- Number of chronically homeless households;

16. Number of homeless persons given overnight shelter;

17. Number of beds created in overnight shelter or other emergency housing;

18. Homelessness Prevention

- Number of households that received emergency financial assistance to prevent homelessness; and
- Number of households that received emergency legal assistance to prevent homelessness;

19. Jobs Created

Total number of jobs:

- Employer-sponsored health care (Y/N);
- Type of jobs created (use existing Economic Development Administration (EDA) classification);
- Employment status before taking job created:

Of those:

- Number of unemployed;

20. Jobs Retained

Total number of jobs:

- Employer-sponsored health care benefits;

21. Businesses Assisted

- New businesses assisted;
- Existing businesses assisted;

Of those:

- Business expansions;
- Business relocations;
- DUNS number(s) of businesses assisted (HUD will use the DUNS numbers to track number of new businesses that remain operational for three years after assistance); and

22. Does assisted business provide a good or service to meet needs of service area/neighborhood/community (to be determined by community)?

Examples: Each outcome category could be connected to each of the overarching objectives, resulting in a total of nine groups of outcome/objective statements under which grantees would report the activity or project data to document the results of their activities or projects. They are activities or projects that provide:

- Accessibility for the purpose of creating suitable living environments;
- Accessibility for the purpose of providing decent housing;
- Accessibility for the purpose of creating economic opportunities;
- Affordability for the purpose of creating suitable living environments;
- Affordability for the purpose of providing decent housing;
- Affordability for the purpose of creating economic opportunities;
- Sustainability for the purpose of creating suitable living environments;
- Sustainability for the purpose of providing decent housing; and
- Sustainability for the purpose of creating economic opportunity.

Each output should relate to the intended outcome/objective of the program activities and community objectives. A complete statement has these components:

Output + Outcome + Activity + Objective.
 (quantified) (from (description)
 categories above)

Combining these elements into a single sentence summarizes the community's activities, results, intended outcomes, and purpose in a way that can be related to resource inputs. Sometimes an adjective, such as new, improved, or corrective, may be appropriate to refine the outcome statement. Such as:

- 2,000 homeless persons have new access to a shelter for the purpose of creating decent housing;
- 7 households have new access to homeownership for the purpose of

creating decent housing;

- 24 households have sustained decent housing by emergency repair for the purpose of providing decent housing;
- 52 households have new access to public sewer for the purpose of creating a suitable living environment;
- 50 persons have access to new jobs through extension of a water line to a business for the purpose of creating economic opportunity;
- 50 households have housing through a down-payment assistance program for the purpose of creating decent housing; and
- 75 very low-income persons living with HIV/AIDS were assisted with on-going (monthly) housing subsidies for the purpose of providing decent housing.

3. 2009-10 Goals and Objectives Matrix:

The “Goals and Objectives Matrix” starting on page 51 outlines DECD’s proposed accomplishments for FY 2009-10. The proposed accomplishments appearing in this section are based on the performance measurement system presented in the 2005-09 ConPlan as well as HUD’s Outcome Performance Measurement System.

Table 3: 2009-10 Goals & Objectives Matrix

AFFORDABLE HOUSING										
Goal 1 SUPPORTIVE HOUSING – Develop and implement strategies and solutions to address the problem of homelessness through the utilization of supportive housing.										
PRODUCTION – SUPPORTIVE HOUSING										
Proposed Funding	Objective		Output		Performance Measure		Goal	HUD Objective	HUD Outcomes	HUD Outputs
ESG & State \$	1	Increase the number of permanent supportive housing opportunities available to homeless households or those at risk of becoming homeless, particularly those with special needs, by providing financing for renovation of existing buildings.	1	Create 350-500 new supportive housing units over the next 5 years.	1	Number of supportive housing units created.	70 - 100 units.	I	A,B	1,2,3,4,15
					2	Was the goal of 350-500 new supportive housing units achieved? Yes or No				
SERVICE DELIVERY – SUPPORTIVE HOUSING										
Proposed Funding	Objective		Output		Performance Measure		Goal	HUD Objective	HUD Outcomes	HUD Outputs
HOPWA & State \$	1	Evaluate the appropriate method or vehicle to introduce supportive services into existing housing units.	1	Evaluate the appropriate method or vehicle to introduce supportive services into existing housing units over the next 5 years.	1	Was evaluation completed? Yes or No.	5 th year.	I	C	N/A

Goal 2 HOME OWNERSHIP – Improve the ability of low- and moderate-income residents to access homeownership opportunities.										
PRODUCTION OF NEW UNITS – SINGLE FAMILY										
Proposed Funding	Objective		Output		Performance Measure		Goal	HUD Objective	HUD Outcomes	HUD Outputs
HOME/ ADDI	1	Under the HOME/ADDI program, support local efforts to develop appropriate homeownership housing to make better use of limited urban land.	1	Support 25 homeownership units of housing in urban areas each year.	1	Number of homeownership units created.	25 units annually.	II	A, B	1,2,3,4,12,14
HOME & Other	2	Promote and support mixed-income developments in areas that currently underserve low- and moderate-income households.	1	Give preference to 1 mixed-income project creating at least 10 units of housing each year in areas that currently underserve low- and moderate-income households.	1	Was preference given to at least 1 mixed-income project? Yes or No.	1 project and 10 units annually.	I	B	1,2,3,4,12,14
					2	Number of mixed-income infill units created.	5 th year.			
REHABILITATION OF EXISTING UNITS – SINGLE FAMILY										
Proposed Funding	Objective		Output		Performance Measure		Goal	HUD Objective	HUD Outcomes	HUD Outputs
SC/CDBG	1	Support the moderate rehabilitation of existing single-family homes (a single family home is defined as a 1- to 4-unit owner occupied residential structure).	1	Support 4 single-family moderate rehabilitation projects each year (with up to 100 units each) in SC/CDBG eligible communities.	1	Number of single-family moderate rehabilitation projects completed each year.	4 projects annually.	II	A, B	1,2,3,4,12
					2	Number of single-family units rehabilitated each year.	5 th year.			

(Continued) REHABILITATION OF EXISTING UNITS – SINGLE FAMILY)										
Proposed Funding	Objective		Output		Performance Measure		Goal	HUD Objective	HUD Outcomes	HUD Outputs
					3	Was the goal of 4 single-family moderate rehabilitation projects each year achieved? Yes or No.	5 th year.			
Goal 3 RENTAL HOUSING SUPPLY – Preserve and increase the supply of quality affordable housing available to low- and moderate-income households.										
PRODUCTION OF NEW UNITS – MULTIFAMILY RENTAL										
Proposed Funding	Objective		Output		Performance Measure		Goal	HUD Objective	HUD Outcomes	HUD Outputs
HOME	1	Promote and support mixed-income developments in areas that currently underserved low- and moderate-income households.	1	Produce 30 units of new multifamily housing in suburban towns each year.	1	Number of new multifamily housing units created in suburban towns each year.	30 units annually.	II	A, B	1,2,3,4,10
					2	Did the number of new multifamily housing units created in suburban towns each year fall within the targeted range? Yes or No.	5 th year.			
HOME, SC/CDBG & Other	2	Support adaptive re-use of historic structures for use as residential structures.	1	Through the adaptive re-use of historic structures, create and or preserve up to 50 residential units over the next 5 years.	1	Number of residential units created and/or preserved through the adaptive re-use of historic structures.	50 units by 5 th year.	II	A, B	1,2,3,4,10

Goal 3 RENTAL HOUSING SUPPLY – Preserve and increase the supply of quality affordable housing available to low- and moderate-income households.

(Continued) PRODUCTION OF NEW UNITS – MULTIFAMILY RENTAL

					2 Were 50 residential units created and/or preserved over the 5-year period, through the adaptive re-use of historic structures? Yes or No.				
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REHABILITATION OF EXISTING UNITS – MULTIFAMILY RENTAL

Proposed Funding	Objective		Output		Performance Measure		Goal	HUD Objective	HUD Outcomes	HUD Outputs
SC/CDBG	1	Invest in the maintenance and preservation of existing publicly assisted rental-housing stock to preserve it as a long-term resource.	1	Preserve 100 rental units statewide each year.	1	Number of existing publicly assisted rental units preserved.	100 units annually.	II	A, B	1,2,3,4,11
					2	Was the target of 100 units per year achieved? Yes or No.	5 th year.			
HOME & Other	2	Provide favorable loan terms for multifamily housing and mixed-use properties.	1	Fund up to 5 projects to create 20 units each year.	1	Average term and interest rate for loans for multifamily housing and mixed-use properties projects.	Up to 5 projects and 20 units annually.	I, II	A, B	1,2,3,4,11

(Continued) REHABILITATION OF EXISTING UNITS – MULTIFAMILY RENTAL

					2	Was the average term and interest rate for loans for multifamily housing and mixed-use properties projects below market? Yes or No.	5 th year.			
					3	Number of multifamily housing and mixed-use properties projects funded.	5 th year.			
					4	Number of multifamily housing and mixed-use properties units created each year.	5 th year.			
					5	Were five or more multifamily housing and mixed-use properties projects funded annually and was the goal of 100 units per year achieved? Yes or No.	5 th year.			

Goal 5 AFFORDABLE HOUSING PLANNING – Help identify and develop available resources to assist in the development of housing.										
Proposed Funding	Objective		Output		Performance Measure		Goal	HUD Objective	HUD Outcomes	HUD Outputs
SC/CDBG & Other	1	Encourage Regional Planning Organizations and municipalities to: (1) study regional housing cost patterns and zoning practices; (2) establish regional plans to address and promote affordable fair-share housing and inclusionary housing policies that provide choice across income levels and proximity to employment, and (3) promote greater opportunity to develop income-diverse neighborhoods in urban and suburban areas.	1	Complete 5 regional studies over the next 5 years.	1	Number of regional studies completed.	1 study annually.	I	C	N/A
					2	Were 5 regional studies completed? Yes or No.	5 th year.			
Goal 6 FAIR HOUSING – Empower upward mobility for low- and moderate-income residents through fair housing.										
Proposed Funding	Objective		Output		Performance Measure		Goal	HUD Objective	HUD Outcomes	HUD Outputs
HOME & Other	1	Support fair housing education and outreach activities and actions to address illegal discrimination.	1	Increase the collaboration on fair housing issues between the state, housing providers and fair housing advocacy groups.	1	Number of fair housing collaborations between the state, housing providers and fair housing advocacy groups	5 th year.	I	C	N/A

Goal 7 HOMELESSNESS – Address the shelter, housing and service needs of the homeless poor and others with special needs.										
COORDINATION AND PLANNING										
Proposed Funding	Objective		Output		Performance Measure		Goal	HUD Objective	HUD Outcomes	HUD Outputs
ESG & Other	1	Expand homeless prevention services, follow-up services, and increase transitional services throughout the system.	1	Utilize the Beyond Shelter program administered by the DSS to reduce the reoccurrence of homelessness by assisting families who are leaving homeless shelters and transitional living programs to achieve housing stability by providing support services.	1	Number of homelessness reoccurrences among DSS assisted families leaving shelters and transitional living programs.	5 th year.	I	A	1,2,3,4,16,17,18
					2	Was the number of reoccurrences reduced? Yes or No.	5 th year.			
Goal 8 SPECIAL NEEDS – Address the housing and service needs of those populations defined as having special needs.										
PERSONS WITH HIV/AIDS AND THEIR FAMILIES										
Proposed Funding	Objective		Output		Performance Measure		Goal	HUD Objective	HUD Outcomes	HUD Outputs
HOPWA & Other	1	Continue to fund existing HIV/AIDS programs.	1	Seek additional federal funding for existing HIV/AIDS programs.	1	Was additional funding sought? Yes or No.	5 th year.	I	C	1,2,3,4
					2	What additional federal funding was sought?	5 th year.			

Goal 8 SPECIAL NEEDS – Address the housing and service needs of those populations defined as having special needs.										
(Continued) PERSONS WITH HIV/AIDS AND THEIR FAMILIES										
			2	Increase access to supportive housing services for people living with HIV/AIDS and increase number of clients from 170 to 255 over five years.	1	Number of people accessing supportive housing services.	17 people each year.	I	C	1,2,3,4,6
					2	Year over year change in number of people accessing supportive housing services.	5 th year.			
					3	Did the number of people accessing supportive housing services increase? Yes or No.	5 th year.			
HOPWA & Other	2	Assess the effectiveness of supportive housing programs for people living with HIV/AIDS periodically through the use of performance measures and on-going mechanisms to track consumer preferences and needs.	1	Continue to evaluate AIDS/HIV supportive housing programs at least once a year.	1	Was the program annually evaluated? Yes or No.	5 th year.	I	C	N/A
HOPWA & Other	3	Develop new mental health and addiction service programs to meet the specific needs of persons with HIV/AIDS.	1	Review availability of new federal and state funding to meet specific needs of client population with a goal of increasing the number of clients provided appropriate services from 170 to 255 over five years.	1	Was the availability of funding reviewed annually? Yes or No.	17 people each year.	I	C	1,2,3,4,6

Goal 8 SPECIAL NEEDS – Address the housing and service needs of those populations defined as having special needs.										
(Continued) PERSONS WITH HIV/AIDS AND THEIR FAMILIES										
					2	Was additional funding secured? Yes or No.	5 th year.			
Goal 9 LEAD PAINT AND HAZARDOUS MATERIALS – Support the removal of lead-based paint and other hazardous materials in existing housing.										
Proposed Funding	Objective		Output		Performance Measure		Goal	HUD Objective	HUD Outcomes	HUD Outputs
SC/CDBG, HOME & Other	1	Support the removal of lead-based paint and other hazardous materials in existing housing through paint testing and risk assessments in accordance with the final lead safe housing rule - Title X of the Lead-based Paint Hazard Reduction Act of 1992 (24 CFR pt 35).	1	Support up to 3 housing rehabilitation projects per year with the goal of making 20 units per year lead safe.	1	Number of housing lead-safe rehab projects per year.	3 projects and 20 units annually	II	C	1,2,3,4,11,13
					2	Number of housing units made lead-safe per year.	5 th year.			
					3	Was the goal of up to 3 housing rehab projects per year and 20 units per year achieved? Yes or No.	5 th year.			
SC/CDBG & Other	2	Support the implementation of the Lead Action for Medicaid Primary Prevention (LAMPP) program.	1	Utilize the LAMPP program to eliminate lead-based paint hazards in priority housing. LAMPP will eliminate lead-based paint hazards in 155 units per year and conduct paint inspections/risk assessments in 160 units per year.	1	Number of units made lead-safe under the LAMPP program.	115 units annually	II	C	1,2,3,4,11,13

Goal 9 LEAD PAINT AND HAZARDOUS MATERIALS – Support the removal of lead-based paint and other hazardous materials in existing housing.								
Proposed Funding	Objective		Output	Performance Measure	Goal	HUD Objective	HUD Outcomes	HUD Outputs
				2 Number of paint inspections/risk assessments conducted per year.	160 units annually.			

Non-Housing

Goal 11 ECONOMIC DEVELOPMENT – Provide communities with assistance to undertake economic development initiatives.								
Proposed Funding	Objective		Output	Performance Measure	Goal	HUD Objective	HUD Outcomes	HUD Outputs
SC/CDBG & Other	1	Offer expanded economic opportunities including job creation and retention through the establishment, stabilization and expansion of small businesses (including micro-enterprises) and the provision of public services concerned with employment.	1 Support at least one Economic Development Project with the creation of up to 15 jobs per year (8 of which will be for low- and moderate-income persons).	1 Number of economic development projects funded under the SC/CDBG program annually.	1 project annually.	III	C	1,2,3,4, 19,21
				2 Number of jobs created by economic development projects funded under the SC/CDBG program annually.	Annually.			
				3 Percent of jobs created by economic development projects funded under the SC/CDBG program annually benefiting low- and moderate-income persons.	Annually.			

Goal 12 INFRASTRUCTURE & PUBLIC FACILITIES – Provide assistance to undertake improvements to the community infrastructure, and construct or rehabilitate public facilities projects affecting public health, safety, and the welfare of low- and moderate-income residents.								
Proposed Funding	Objective		Output	Performance Measure	Goal	HUD Objective	HUD Outcomes	HUD Outputs
SC/CDBG & Other	1	Support the upgrading of existing infrastructure within areas where the majority of residents are of low- and moderate-income.	1 Support up to 3 infrastructure projects per year to include the reconstruction of streets, sidewalks, water lines, and drainage problems in predominately low- and moderate-income areas.	1 Number of infrastructure projects constructed per year.	15 projects annually.	I	C	1,3,5
				2 Was the goal of 3 infrastructure projects per year achieved? Yes or No.	5 th year.			
SC/CDBG & Other	2	Support the construction and/or rehabilitation and/or expansion of existing public facilities that primarily serve low- and moderate-income persons, including but not limited to: senior centers, homeless shelters, battered women shelters, daycare centers, and efforts to meet the needs of the physically handicapped population by supporting projects designed to make current facilities accessible or to provide new-handicapped accessible facilities.	1 Support up to 10 public facilities projects per year.	1 Number of public facilities projects constructed per year.	10 projects annually.	I	A	1,3,5
				2 Was the goal of 10 public facilities projects per year achieved? Yes or No.	5 th year.			

Goal 12 INFRASTRUCTURE & PUBLIC FACILITIES – Provide assistance to undertake improvements to the community infrastructure, and construct or rehabilitate public facilities projects affecting public health, safety, and the welfare of low- and moderate-income residents.										
SC/CDBG & Other	4	Continue to support neighborhood and community-based programs and the establishment of Community Revitalization Strategies and Neighborhood Revitalization Zones.	1	Coordinate state agency activities to encourage and promote support of Community Revitalization Strategies and Neighborhood Revitalization Zones.	1	Number of Community Revitalization Strategies and Neighborhood Revitalization Zones promotion and support efforts involving two or more state agencies.	5 th year.	I	C	N/A
			4	Analyze census data to determine which towns are eligible to use Community Revitalization Strategies and encourage those eligible towns to pursue this designation.	1	Was census data analyzed to determine which towns are eligible to use Community Revitalization Strategies?	5 th year.	I	C	N/A
					2	Towns eligible to use Community Revitalization Strategies.	5 th year.			
					3	Number of eligible towns that pursued the designation.	5 th year.			
					4	Number of towns that received the designation.	5 th year.			

Source: State of Connecticut 2005-09 Consolidated Plan for Housing and Community Development

G. Emergency Shelter Grants (ESG) Program

Although DECD is the lead agency for the ConPlan and related Action Plans, the Department of Social Services (DSS) is the state recipient for Emergency Shelter Grant (ESG) funds because it is the lead state agency for emergency homeless shelters and a variety of programs that serve the state's low-income population. DSS is also the lead agency for Section 8 vouchers and the state-funded Rental Assistance Program. The DSS budget also includes other sources of funding for the homeless.

Connecticut anticipates \$1,159,765 in federal ESG funds for the Action Plan FY beginning July 1, 2009. Federal ESG funds will be pooled with \$4,215,698 in annual funding from Connecticut's general operating budget and \$6,926,490 from the U.S. Department of Health and Human Services (HHS) TANF and Social Services Block Grants.

The Connecticut DSS administers this money by funding 24 organizations that include faith-based organizations and a variety of non-profit agencies. In addition, DSS provides state and other funding to these providers who are experienced, well established in their communities, and provide quality services. The funding received from ESG enables the organizations to provide additional beds and case management services. DSS will be working on developing a more formal process for the allocation of all sources of funds to homeless shelters in the future.

The pool of federal and state dollars, allocated to local community and faith-based organizations and municipalities, is for the provision of temporary shelter for homeless individuals and families. The funds provide operational costs, essential services such as counseling, case management, health, education, employment and training, as well as help finding permanent housing and homeless prevention activities. Federal ESG funds will primarily be targeted for operational costs (61% of available funds) followed by essential services (28%), homeless prevention (10.5%), and administrative services (.5%).

Connecticut currently has 24 shelters: 9 shelters for single individuals, 10 shelters that support families, and 5 shelters for both families and individuals. These shelters were established over the years due to the documented need to support homeless individuals and families. As needs are identified in local communities, DSS examines its current financial capability to determine if there is financial and program support for new shelters. More than 14,000 individuals, including families with children, will receive emergency shelter services during the FY that began July 1, 2008.

The DSS consults with the Connecticut Coalition to End Homelessness for the provision of technical assistance, program development service model recommendations, and program evaluation.

1. Outcome Measures for Homeless Shelter:

The DSS has negotiated the following client-based outcomes and measures with directors of emergency shelters. Each shelter will select and negotiate individual numerical outcomes and measures with DSS staff and will submit a monthly statistical and quarterly demographics, and also an annual performance report. The projected numerical goals represent statewide outcomes that will be evaluated throughout the program year.

Outcome:

Consumer attains alternate housing and/or accesses social and/or treatment services.

Measures:

- Singles Housing Programs:

At least 30% of consumers will access another community housing setting such as transitional housing, residential treatment program, or permanent housing.

- Family Housing Programs:

At least 55% of consumers will access another community housing setting such as transitional housing, residential treatment program, or permanent housing.

- Singles Housing Programs:
At least 40% of consumers will access additional social services.

- Family Housing Programs:
At least 65% of consumers will access additional social services.

- Singles Housing Programs:
For consumers with the agreed-upon goal of accessing information in order to make informed decisions about their health, education, housing, etc., 95% of consumers will be provided with such information to enable them to make informed decisions.

- Family Housing Programs:
For consumers with the agreed upon goal of accessing information in order to make informed decisions about their health, children's education, housing, etc., 95% of consumers will be provided with such information to enable them to make informed decisions.

2. Homeless and Other Special Needs:

DSS provides funding for the transitional living program to 29 contractors throughout the state for the provision of multi-family or single room residency living arrangements. Transitional living programs serve as a bridge for individuals and/or families after a period of homelessness. A variety of support services are provided to these individuals during their stay in the program. Stays can range from a period of six months to two years. The goal is to have these individuals and/or families gain self-sufficiency and permanent housing.

The state legislature included an additional \$300,000 in the DSS 2008-09 budget for the provision of case management services for women. These funds will be provided to the homeless shelters in the City of New Haven where there has been an increase in the number of single homeless women. The shelters will hire staff to provide intensive case management and links to supportive services, particularly mental health, and substance abuse treatment.

DSS also provides funding for a program known as “Beyond Shelter”. This prevention program provides coordinated services to newly-housed families and their landlords in order to prevent another cycle of homelessness. Families eligible for services are those leaving shelters and transitional living facilities to move into their own housing. Homeless families work with a housing coordinator to identify and resolve problems that could result in the re-occurrence of homelessness. Services provided may include education on landlord/tenant rights and responsibilities, assistance with food, transportation, and parenting, as well as support in securing mental health and substance abuse treatment services.

Beyond Shelter Programs assist the landlord in matching renters to units and provide tenants with education on landlord/tenant rights and responsibilities including timely payment of rent. Landlords can request other assistance as needed from housing coordinators to resolve problems that threaten housing stability. There are currently twelve (12) Beyond Shelter Programs operating in Connecticut. The state legislature included an extra \$200,000 in the DSS 2008-09 budget to fund additional programs.

Additionally, \$900,000 was included in the DSS 2008-09 budget to provide counselors in shelters and to enhance counseling services in shelters through best practices or collaborative applications. The implementation of best practices and the collaboration of shelters emphasize coordination among and between a region’s shelter along with mainstream services and employment providers.

Supportive Housing is strongly supported in Connecticut. In January 2002, a Memorandum of Understanding (MOU) was entered into by several state agencies: the Office of Policy AND Management (OPM), the Department of Economic and Community Development (DECD), the Department of Mental Health and Addiction Services (DMHAS), the Department of Social Services (DSS), the Connecticut Housing Finance Authority (CHFA), and the Corporation for Supportive Housing (CSH). This MOU is in support of the statewide Payments In Lieu Of Taxes (PILOTS) Supportive Housing Initiative, for the purpose of increasing service-supported, affordable housing for people with mental illness or substance abuse problems who face homelessness. DSS has devoted 200 of its 5,400 Section 8

vouchers to project-based programs developed as part of this initiative. Sixteen (16) projects are currently in development throughout the state.

In April 2006, this initiative moved into its next planning phase. The “Next Steps Supportive Housing” MOU includes OPM, DECD, DMHAS, DSS and CHFA. Through this agreement, DSS will provide up to 250 Rental Assistance Program (RAP) subsidies for individuals and families who are homeless or at risk of becoming homeless, particularly people experiencing repeated or persistent homelessness. The purpose of the initiative is to enable homeless families and individuals to stabilize their lives and to regain a stake in the community.

3. Certification on Coordinated State Policy Regarding Discharge:

The State of Connecticut has been aware of issues related to the lack of coordination around discharge of persons from state institutions and facilities and problems related to resulting homelessness due to the lack of such coordination. State agency staff and community service providers identified this issue through the Consolidated Planning process for 2005-09. As a result, coordination on discharge has been a topic of discussion in the Governor’s Working Group on Affordable Housing and through a variety of commissions on which either the Commissioner or DECD staff sit, as well as through other state agency groups that include both public and private service providers, advocates, etc.

Although Connecticut does not yet have a coordinated policy for the discharge of persons from publicly funded institutions in order to prevent discharge resulting in homelessness, the following are examples of current efforts to address this issue:

- DSS and the Department of Corrections (DOC) have entered into a MOU in which DOC provides funding for two DSS eligibility workers to determine the eligibility of persons being released from Corrections for DSS programs. The DSS programs include Medicaid, Food Stamps, State Administered General Assistance (SAGA), Temporary Family Assistance (TFA) and the State Supplement Program. The theory is if the services are in place before the person is released, they may lessen the likelihood of homelessness.

- DOC also has both formal and informal agreements with some of the emergency homeless shelters. The shelters agree to provide beds for persons being released from prisons as well as for the provision of case management services. The case managers work with the clients to help them find employment, permanent housing, and any other services they may need in order to become self-sufficient.

H. Housing Opportunities for Persons with AIDS (HOPWA) Program

Connecticut anticipates \$268,902 in federal Housing Opportunities for Persons With AIDS (HOPWA) funds for the Action Plan FY beginning July 1, 2009. HOPWA funds will be pooled with \$4,187,130 in annual funding from Connecticut's general operating budget and \$861,554 from the US Department of Health and Human Services (HHS).

Additionally, \$750,000 was included in the DSS 2008-09 budget and was secured in the new state funding for each year of the two-year state budget which allowed for 54 new units of scattered site housing to be created.

The majority of HOPWA dollars allocated to Connecticut are funneled through the Eligible Metropolitan Statistical Areas (EMSA) of Bridgeport, Hartford, New Haven, and their surrounding areas. DSS receives a small amount of "Balance of State Dollars" and uses a request for qualifications process to fund two potential HOPWA providers in the eastern portion of our state. Since the EMSA dollars do not cover Eastern Connecticut, DSS currently funds two providers in that area. These providers were selected based on their qualifications, the results of "Standards of Care" monitoring by the Connecticut AIDS Resource Coalition (CARC) and their experience in providing services.

The goal for the two non-profit organizations is to assist between 30 to 40 households with funds for tenant-based rental assistance and permanent supportive housing facilities. In addition, these funds, in conjunction with state appropriations, will be used for community residence operational costs, supportive and case management services, and housing assistance. The two organizations will comply with HOPWA requirements which includes a breakdown of funding and a separate line item for HOPWA funds.

The types of housing to be funded include scattered site apartments, community residences with and without 24-hour staffing, and respite/hospice care. The housing programs are located in two different Connecticut communities and provide housing with supportive services to approximately 50 individuals at any one time. The supportive services include case management, cooking and cleaning assistance, transportation, education, and volunteer opportunities.

Each housing program serves an eligible person based on a verification of HIV/AIDS diagnosis that is a client with a positive diagnosis; income verification for a person who is a low-income individual and person's family and/or eligible to receive housing information services regardless of income. It is also based on a review of living situation that is related to those who are homeless and near homeless individuals.

The non-profit organizations that provide the described services have established excellent reputations within their communities. Each has developed networks that are informed of the available housing and supportive services provided. The staff works closely with discharge planners from hospitals, homeless shelters and correction facilities, as well as, with case managers and care coordinators from the regional AIDS consortia. As mentioned previously, Connecticut AIDS Resource Coalition (CARC) and its members, through its quality assurance program, continue to work closely with DSS to establish appropriate and measurable performance measures for the Coalition's activities. In addition, CARC mails a semi-annual newsletter to approximately 1,200 social service and housing contacts. The DSS consults with CARC for technical assistance in the development of service models and program evaluation. CARC is a membership organization for AIDS housing providers in the state.

1. Outcome Measures for AIDS Housing:

The DSS has negotiated the following outcomes and measures with the AIDS residence service providers. Each organization that receives HOPWA funds will establish numerical goals for the outcomes and measures selected, and also will submit semi-annual reports. The numerical goals identified below represent the goals for all individual AIDS residence programs.

Outcome:

Program will strive to maintain maximum capacity and residents with HIV/AIDS will receive services and support to improve their quality of life.

Measures:

- Programs will maintain an occupancy rate of 80%.
- For residents with an agreed upon goal of accessing financial and medical entitlement, at least 90% will be assisted in accessing such benefits.
- For residents with an agreed upon goal of improving daily living skills, at least 90% will demonstrate abilities in one or more functional area(s).
- For residents with an agreed upon goal of participation in support groups, counseling, therapy or substance abuse treatment, at least 90% will participate 70% of the time.
- For residents with an agreed upon goal of accessing legal services, at least 90% will have access to legal services.
- For residents with an agreed upon goal of accessing information about medical services, treatment and/or medications in order to make informed decisions about their health, 100% will access the above identified services to enable them to make informed decisions about their medical treatment.

I. State and Federal Resources for DSS FY 2009-10

This table lists the anticipated/estimated level of state and federal funding available in FY 2009-10. Please note that Connecticut's 2005-09 ConPlan outlines how the state plans to leverage ESG and HOPWA funds against other sources of funding. For more detail concerning how Connecticut leverages federal and state funds against each other and against non-government funding sources, please refer to the Connecticut 2005-09 ConPlan and the Connecticut 2005-09 State Long-Range Housing Plan. Both of these documents are available on the DECD website.

Table 4: DSS Anticipated State and Federal Funding				
SOCIAL SERVICES (DSS)	STATE FY 2009-10	HUD FY 2009-10	HHS	TOTAL
Emergency Shelters	\$ 4,215,698	\$ 1,159,765	\$ 6,926,490	\$ 12,301,953
Domestic Violence Programs	\$ 2,421,422	\$ 0	\$ 1,235,016	\$ 3,656,438
Housing Opportunities for Persons With AIDS	\$ 4,187,130	\$ 268,902	\$ 861,554	\$ 5,317,586
Section 8 Rental Assistance	\$ 0	\$ 66,569,573	\$ 0	\$ 66,569,573
Special Needs Housing benefits (incl. in TFA, AABD expenses)	\$ 600,000	\$ 0	\$ 100,000	\$ 700,000
Transitional Rental Assistance	\$ 1,186,680	\$ 0	\$ 0	\$ 1,186,680
Rental Assistance Program/Supportive Housing	\$ 29,093,625	\$ 0	\$ 0	\$ 29,093,625
Family Home Share Program	\$ 58,247	\$ 0	\$ 0	\$ 58,247
Elderly Home Share Program	\$ 101,619	\$ 0	\$ 0	\$ 101,619
Security Deposit Program	\$ 1,342,656	\$ 0	\$ 0	\$ 1,342,656
Eviction Prevention Program	\$ 269,011	\$ 0	\$ 1,049,882	\$ 1,318,893
Transitional Living Program	\$ 3,710,851	\$ 0	\$ 972,004	\$ 4,682,895
TOTAL FOR DSS	\$ 47,186,939	\$ 67,998,240	\$ 11,144,946	\$ 126,330,125

Source: DSS, OPM

J. Monitoring for ESG and HOPWA Programs

The following describes the standards and procedures that the DSS will use to monitor activities carried out in furtherance of Connecticut's ConPlan and will use to ensure long-term compliance with requirements of the ESG and HOPWA Programs:

- **ESG Monitoring:** The DSS "Grants" and "contract" staff monitor the ESG Programs using a tool developed by the staff which, in a comprehensive manner, reviews each program's administration, personnel policies and procedures, accounting, budgeting, reporting, program services, goals and objectives, outcomes and measures, contractor's self-evaluation process, and quality assurance/licensure compliance. After all phases of the program have been evaluated, the staff representative will write up any areas of concern with whatever follow-up is needed. DSS staff will provide follow-up if it is deemed necessary; and
- **HOPWA Monitoring:** HOPWA contracts are handled a little differently than ESG. In addition to the above review, there is a coordinated effort between DSS staff representatives and the staff of Connecticut AIDS Resource Coalition (CARC) to perform a Standards of Care" review.

The Standards of Care is a comprehensive tool first used in 1992, and carefully reviewed and updated twice since then. The philosophy behind this tool's development

and use is the belief that all people have a right to safe, affordable, accessible, and permanent housing that enhances their quality of life. The Standards of Care was developed by the Standards Committee of CARC to describe the best practices of operating supportive residential programs for people living with HIV/AIDS. The Standards of Care describes six levels of supportive housing from Level I, a completely independent housing program, to Level VI for those who need skilled nursing care.

The Standards of Care addresses resident eligibility, screening potential residents, staffing, and policies and procedures. These guidelines offer a detailed description of programs in establishing and running a residence.

The Standards of Care review assures the quality of programs by setting down guidelines for services, health and safety, and general management. A dual-committee of DSS staff representative along with CARC staff use this tool to identify programs' strengths and weaknesses, highlight their best practices, and develop a framework, time line and process for technical assistance to correct deficiencies.

Standards of Care review includes:

1. Program Policies and Procedures: Program and services, admissions and intake services, and supervision.
2. Life, Health, Safety: Facility and sanitation, safety, health care, and food service.
3. General Admission: Administration, fiscal management, human resources, staff development, record keeping, and information systems.
4. Citizen and Community Participation.
5. Grievance.
6. Structural and Design Considerations.
7. Confidentiality.
8. Tuberculosis Screening and Management.

VI. Attachments to the 2009-2010 Action Plan

Attachment A – Citizen Participation Process:

A. 1. Process for Public Hearings and Public Comment Period:

DECD held two public hearings to elicit input into the development of the state's 2009-10 Action Plan for Housing and Community Development: in Rocky Hill on September 5, 2008, and in Hamden on September 8, 2008. Notice for these hearings appeared in seven newspapers around the state. See Attachment B for a copy of the notice and public hearing transcripts.

On November 21, 2008, DECD began the 30-day public comment period on the draft Action Plan. The public comment period concluded on December 22, 2008. DECD held three additional public hearings: in Hamden on December 8; 2008, in Coventry on December 10, 2008; and in Rocky Hill on December 11, 2008. Notice for the public comment period as well as the three aforementioned public hearings appeared in seven newspapers around the state. See Attachment B for a copy of the notice and public hearing transcripts.

In addition to the public hearings and comment period, DECD posted the draft Action Plan on the agency's web site and this was noted in the legal notices. DECD also submitted, via e-mail, a copy of the legal notice for the public comment period and public hearings as well as a copy of the draft Action Plan to members of the State Legislature's Appropriations Committee, Commerce Committee, Planning and Development Committee, and the Chairs of the Housing Sub-Committee.

The municipal chief elected officials of all 169 municipalities in the state received a Department Notice informing them of the public comment period as well as the public hearings. See Attachment B for a copy of the notice. The draft Action Plan was also made available at the Regional Planning Organizations during the 30-day comment period.

A. 2. Outline of Activity for Public Hearings/Public Comment Period:

September 5, 2008, Public Hearing: No one attended this hearing. A copy of the transcript is included in Attachment B.3.a.

September 8, 2008, Public Hearing: No one attended this hearing. A copy of the transcript is included in Attachment B.3.b.

Two written comments were received during the drafting of the 2009-10 Action Plan. A summary of the comments and DECD's response is included in Attachment A.3. A copy of the written comments and DECD's written response is included in Attachments B.4 through B.5.

December 8, 2008, Public Hearing: Two people attended this hearing; one provided comment. A summary of the comments and DECD's response is included in Attachment A.3. A copy of the transcript is included in Attachment B.3.c.

December 10, 2008, Public Hearing: Three people attended this hearing; two provided comment. A summary of the comments and DECD/DSS's response is included in Attachment A.3. A copy of the transcript is included in Attachment B.3.d.

December 11, 2008, Public Hearing: No one attended this hearing. A copy of the transcript is included in Attachment B.3.e.

November 21, 2008, through December 22, 2008, Public Comment Period: Seven written comments were received during the public comment period. A summary of the comments and DECD/DSS's responses is included in Attachment A.3. A copy of the written comments and DECD/DSS written responses are included in Attachments B.4 through B.5.

A. 3. Summary of Public Comments Received and DECD/DSS Responses:

Summary of written comment from Town of Windham (9/3/08): Windham did not want the same threshold formulas that were applied in the 2007 funding year to

apply in 2009. The town's expenditure rate on previous grants would not put them in a position to be able to apply for new funding. Windham felt they have a lot of need in the town and is one of the poorer communities and wanted the threshold waived to allow the town to submit an application. A copy of the written comment, as submitted, from the Town of Windham is included in Attachment B.

Summary of DECD written response to Town of Windham comment (9/5/08): DECD responded to Windham's waiver request by explaining why the state has thresholds and the importance of having projects that are ready to proceed. As a point of clarification the formula used in 2007 was unique as two funding cycles occurred within six months of each other. Therefore, the same timeframes would not be applied to the 2009 funding cycle. DECD also pointed out that Windham has made very little progress on its 2006 grant, and that the town required budget extensions of between six months to eighteen months on past grants in order to complete them. In addition to needing more time to finish the projects, the town was also required to de-obligate funds as the town was unable to expend them even after extending the grant an additional eighteen months. DECD acknowledges that Windham has a great need for the SC/CDBG funds but the town must be able to demonstrate the capacity to carry out their projects in a timely manner, which means they are ready to go when submitted. A copy of the written response from DECD is included in Attachment B.

Summary of written comment from Connecticut Housing Finance Authority (CHFA) (9/8/08): CHFA was requesting that DECD modify the architectural/engineering (A/E) requirements and signoff that is required with the application. CHFA was concerned that the housing authorities could spend limited resources on completing plans and specifications on a project that may not rate and rank high enough to be funded. They requested two different methods to have the authorities be in compliance and considered for grant funding. A copy of the written comment, as submitted, from the CHFA is included in Attachment B.

Summary of DECD written response to CHFA comment (10/24/08): CHFA wanted architectural/engineering drawings done on all of their housing authority projects. DECD did not have this same requirement, so in an effort to ensure that CHFA got

the A/E info they needed, DECD made it mandatory that the drawings be submitted up front along with their application. Having the information upfront also meant that the awarded projects were ready to proceed and should then meet the DECD timeframe of two years to completion. DECD has made housing projects a priority but as stewards of the SC/CDBG program we must also spend the funds timely. Therefore, CHFA was asked to modify their A/E requirements for all projects funded by SC/CDBG. Since the original correspondence CHFA has now decided to no longer require the additional A/E oversight on projects that do not have any funding from their agency. DECD will therefore, accept preliminary drawings (when required) with applications, but the housing authorities must come up with the final drawings within 60 days of the award date. A copy of the written response from DECD is included in Attachment B.

Summary of written comment from Congressman Courtney (12/15/08): CT.

SC/CDBG funding should not be eligible to be distributed to entitlements which is beyond the normal regulations of the program that limits funding to non-entitlement areas. Address the process for which areas of greatest need are determined by collecting and analyzing foreclosure data statewide. A copy of the written comment, as submitted, from the Congressman Courtney is included in Attachment B.

DECD's response to Congressman Courtney comment: Based on comments received from Congressman Courtney changes were made to the Action Plan, Section IV.

Summary of written comment from Norwalk Redevelopment Agency

(NRA)(12/22/08):

NRA supports DECD's proposed request to HUD seeking approval of Stamford-Norwalk and Danbury MSA as high cost areas and allow the maximum HOME per-unit subsidy limit to be 240% of the Section 221(d) (3) basic mortgage limit (i.e. 100% plus 140%) . Additionally NRA requests the use of "uncapped" income limits in the administration of their HOME Program. A copy of the written comment, as submitted, from the Norwalk Redevelopment Agency is included in Attachment B.

DECD's response to NRA comment: DECD received one comment in support of seeking approval of the Stamford-Norwalk and Danbury MSA as high cost areas and allowing the maximum HOME per unit subsidy limit to be 240% of the Section 221 (d) (3) basic Mortgage limit (i.e. 100% plus 140%). It is our understanding that no other Connecticut Participating Jurisdiction under the HOME Program or Entitlement Community under the CDBG Program is using higher per unit subsidy limits. Because this proposed change is unprecedented and could effect municipalities other than Norwalk, DECD feels that it needs to do additional investigation as part of the drafting of the next Consolidated Plan (ConPlan) for 2010 - 2014. Additionally Norwalk's request to use uncapped income limits in the administration of their HOME funds will also be considered at that time. We anticipate the public input process for the 2010 - 2014 ConPlan to begin this spring.

Summary of written comment from Connecticut Conference of Municipalities (CCM)(12/22/08): Develop and strengthen programs that provide greater flexibility and funding for municipalities allowing the use of broad standards for town specific initiatives. Work closely with communities when devising rules and regulations for programs so municipal concerns are solicited to attain mutually workable policy. DECD should create an expedited permit-approval process for regional and local plans pending the availability of new funding for housing and community development purposes via the federal economic stimulus package. DECD should partnership with CCM in their efforts of lobbying our Congressional Delegation for increases in CDBG and other housing and community development related programs. A copy of the written comment, as submitted, from the Connecticut Conference of Municipalities is included in Attachment B.

DECD's response to CCM comment:

Need for investments in the development and maintenance of affordable housing. The SC/CDBG Program prioritizes housing and economic development projects by providing more points for these activities in the application rating and ranking system. Refer to Section V. B. of the Action Plan. A large number of housing projects supporting the development and rehabilitation of public and privately owned housing for low and moderate income households are funded each year. NOTE: the HOME and DSS programs also address affordable housing for different populations. DECD

works closely with communities on a regular basis. This includes one on one technical assistance, regular training sessions and e-mail alerts / bulletins. The senior center policy was an unusual circumstance in which both HUD and DECD found several issues that needed to be addressed. NOTE: DECD has explained this to CCM in a previous letter. DECD will continue to solicit comments from communities as policies are developed, whenever possible, as is being done through this action plan comment period.

Summary of written comment from Town of Windham (12/22/08): DECD should include Responsible Growth principles into it's program goals and ranking. A copy of the written comment, as submitted, from the Town of Windham is included in Attachment B.

DECD's response to Town of Windham comment: Responsible development has already been incorporated into the SC/CDBG Program application review process. Responsible development criteria will be reviewed with towns, along with other information, at the application training session in February.

Summary of written comment from Department of Health (1/6/09): Lead Hazard Control language is included in the Action Plan but Healthy Home strategies are not addressed. A copy of the written comment, as submitted, from the Department of Health is included in Attachment A.

DECD's response to Department of Health comment:

Based on comments received from Dept. of Health the following language was added to the Action Plan, Section IV. " The State of Connecticut will continue to support HUD's Healthy Homes Initiative by encouraging recipients of federal funds administered by DECD to incorporate these features into their projects".

Summary of oral comments from Town of Mansfield (12/10/08):

- Do SC/CDBG applications receive bonus points for focusing on a target neighborhood (i.e. addressing multiple projects in one neighborhood)?
- Does the SC/CDBG (and HOME) Program post application scoring criteria in advance?

- It is not clear in the Action Plan under the SC/CDBG application process whether you can apply for more than one activity/project per application.
 - Would DECD consider a consortium under the HOME Program to address the lack of capacity in Eastern CT?
 - It is not clear in the Action Plan under the SC/CDBG Program if there are thresholds/limits for the amount of program income a municipality can have on hand at any given point in time.
 - Has DECD considered an online application process (SC/CDBG & HOME).
 - It is not clear in the Action Plan under the SC/CDBG application process whether community partnering/regional grants are acceptable.
- A transcript of the oral comments, as submitted, from the Town of Mansfield is included in Attachment B.

DECD's response to Town of Mansfield comment:

- DECD does not have points for Target Neighborhoods in the SC/CDBG program. Towns decide where they want to do projects, so a town could present an application for an eligible targeted neighborhood to do rehabilitation for example.
- Application scoring for the SC/CDBG program was posted on the DECD website in 2008 and the changes for 2009 will be posted as well.
- The HOME program will be adding a self-scoring sheet to the application next year.
- DECD moved away from towns being able to apply for multiple activities/projects in the SC/CDBG program in the same year due to towns experiencing problems spending funds in a timely manner. We do allow a town to have more than one grant underway as long as they meet the spending requirements of the program. This can be re-evaluated in the future, if local spending rates improve.
- DECD has looked at consortiums for the HOME program in the past and determined that both capacity, timely use of funds and need of administrative funds have been reasons we have not done so in the past. Furthermore, the HOME program has open enrollment, so that new projects can be added at any time.
- There are thresholds in the SC/CDBG Program for the amount of program income a grantee may have on hand. DECD's policy regarding program income is based on HUD regulations. HUD is in the proposal stage for changes to the

program income regulations to make them more stringent. DECD will cover the HUD proposal at the SC/CDBG application workshop in February. NOTE: the HUD proposed rule is available on the federal regulation website. When the HUD regulations are finalized, DECD may be required to make changes to their present policy on program income.

- The SC/CDBG program application form for the 2008 funding round was on line as will be the 2009 funding round application, although applications still must be submitted in paper form. Submittal of applications on-line may be considered in the future.
- DECD and CHFA have a new consolidated application for housing development financing which can be down loaded from the DECD website. On-line capacity is not available at this time.
- Multi-jurisdictional grants are allowed under the SC/CDBG program. DECD has funded many successful multi-jurisdictional projects over the years.

A copy of the written response from DECD is included in Attachment B.

Summary of oral comments from Windham No Freeze Project (12/10/08):

Requesting funding for operating costs and the purchase and rehab of a building for use as a permanent site for existing Emergency Shelter. A transcript of the oral comments, as submitted, from the Windham No Freeze Project is included in Attachment B.

DECD's response to Windham No Freeze Project comment: DECD would need additional information on this project. The Town could apply for SC/CDBG funds for building construction, rehabilitation or even site acquisition for a homeless shelter. DSS would be the most appropriate source for operating cost funding. A copy of the written response from DECD is included in Attachment B.

DSS's response to Windham No Freeze Project comment (1/2/09): There are several emergency homeless shelters in your area that provide beds and services to the homeless. DSS is currently contracted for 153 beds and case management services for individuals and families residing at those shelters. Unfortunately,

there has not been any increased funding that would enable DSS to fund for the operation of a new facility. A copy of the written response from DSS is included in Attachment B.

Attachment B – Citizen Participation Documents

B. Legal Notices for Public Hearing and Public Comment Period, Public Hearing Transcripts, and Public Comment:

B.1.a. Legal Notices of 09/05/2008 and 09/08/2008:

NOTICE OF PUBLIC HEARINGS

THE STATE OF CONNECTICUT
DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT
IS SEEKING PUBLIC COMMENT ON THE DRAFT
2009-2010 ACTION PLAN FOR HOUSING AND
COMMUNITY DEVELOPMENT

Public Hearings on housing and community development needs in Connecticut's communities will be held to solicit input into the development of the state's 2009-2010 annual Action Plan for Housing and Community Development. The hearings will be held at the following times and locations:

Rocky Hill

2:00 p.m.
September 5, 2008
CERC
Meeting Room
805 Brook Street, Bldg. 4
Rocky Hill, Connecticut

Hamden

2:00 p.m.
September 8, 2008
Hamden Gov. Center
3rd Floor Conference Room
2750 Dixwell Avenue
Hamden, Connecticut

All state residents are urged to attend and provide oral or written comments on housing and community development needs in Connecticut's communities. This information will be used in the development of the state's 2009-2010 Action Plan. Copies of last year's Action Plan and the state's 5 year Consolidated Plan are available at the Department of Economic & Community Development's web site, www.DECD.org and at the State Library.

Written comments may be sent to W. Michael Regan, Community Development Assistant Administrator, Office of Strategy and Policy, Department of Economic & Community Development, 505 Hudson Street, Hartford, CT 06106-7106 or Michael.Regan@ct.gov. All comments received will be addressed in the Public Commentary Section of the 2009-10 Action Plan.

Department of Economic & Community Development programs are administered in a nondiscriminatory manner, consistent with equal employment opportunities, affirmative action, and fair housing requirements. Questions, concerns, complaints or requests for information in alternative formats must be directed to the ADA (504) Coordinator at 860-566-1755.

Distribution Date: August 20, 2008

B.1.b. Legal Notices of 12/21/2008 and 12/22/2008:

NOTICE OF PUBLIC COMMENT PERIOD

THE STATE OF CONNECTICUT
DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT
IS SEEKING PUBLIC COMMENT ON THE DRAFT
2009-2010 ACTION PLAN FOR HOUSING AND
COMMUNITY DEVELOPMENT

A thirty-day public examination and comment period will begin November 21, 2008, and end December 22, 2008. Public Hearings on the draft 2009-2010 annual Action Plan for Housing and Community Development will be held as listed below. The four programs included in the Action Plan are: HOME Investment Partnerships (HOME), Small Cities Community Development Block Grant (SC/CDBG), Emergency Shelter Grant (ESG), and Housing Opportunities for Persons with AIDS (HOPWA).

Hamden

10:00 a.m.
Dec. 8, 2008
Hamden Gov. Center
3rd Floor Conference Room
2750 Dixwell Avenue
Hamden, Connecticut

Coventry

10:00 a.m.
Dec. 10, 2008
Coventry Town Hall Annex
1712 Main Street (Route 31)
Coventry, Connecticut

Rocky Hill

2:00 p.m.
Dec. 11, 2008
CERC
Meeting Room
805 Brook Street, Bldg. 4
Rocky Hill, Connecticut

All state residents are urged to attend and provide oral or written comments on housing and community development needs in Connecticut's communities. This information will be used in the development of the state's 2009-2010 Action Plan. Copies of the draft 2009-10 Action Plan and the state's five-year Consolidated Plan are available at the Department of Economic & Community Development's web site, www.DECD.org

Written comments may be sent to W. Michael Regan, Community Development Assistant Administrator, Office of Strategy and Policy, Department of Economic & Community Development, 505 Hudson Street, Hartford, CT 06106-7106 or Michael.Regan@ct.gov . All comments received will be addressed in the Public Commentary Section of the 2009-10 Action Plan.

Department of Economic & Community Development programs are administered in a nondiscriminatory manner, consistent with equal employment opportunities, affirmative action, and fair housing requirements. Questions, concerns, complaints or requests for information in alternative formats must be directed to the ADA (504) Coordinator at 860-566-1755. Locations for Public Hearings are accessible to people with disabilities.

Publication Date: November 20, 2008

B.2. Legal Notice to Municipal Chief Elected Officials of Public Comment Period and Public Hearings:

Office of Strategy and Policy

Notice: Chief Elected Officials

Distribution Date: November 24, 2008 Effective: 11/21/2008 thru 12/22/2008

SUBJECT: PUBLIC COMMENTARY PERIOD/HEARINGS—DRAFT 2009-10 ANNUAL ACTION PLAN FOR HOUSING AND COMMUNITY DEVELOPMENT

The State of Connecticut is developing its 2009-10 Annual Action Plan for Housing and Community Development for submission to the U.S. Department of Housing & Urban Development. In accordance with federal requirements, we are conducting a 30-day public commentary period and public hearings to ascertain comments on the draft plan in regard to the proposed expenditure of federal program funds such as HOME Investment Partnerships, Small Cities Community Development Block Grant, Emergency Shelter Grant, and Housing Opportunities for Persons with AIDS Programs.

The Department of Economic and Community Development has scheduled public hearings in three locations throughout the state, as indicated in the attached notice. We hope that you will continue to participate in the process to develop the final Action Plan document and attend at least one of the public hearings.

Please feel free to extend this invitation to your local Community Development Director or Economic Development Director.

Attachment

B.3.a. Public Hearing Transcript of 09/05/2008:

STATE OF CONNECTICUT
DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT

IN RE: SEPTEMBER 5, 2008

ACTION PLAN FOR 2009 - 2010
2:00 P.M.
FOR HOUSING AND COMMUNITY DEVELOPMENT

BEFORE: MICHELLE MAYS, FACILITATOR

. . . Verbatim proceedings of a hearing before the Department of Economic and Community Development in the matter of State of Connecticut's Action Plan for 2009 - 2010 for Housing and Community Development, held on September 5, 2008, at 2:00 p.m. at the CERC Meeting Room, 805 Brook Street, Bldg. 4, Rocky Hill, Connecticut, at which time the parties were represented as hereinbefore set forth. . . .

FACILITATOR MICHELLE MAYS: Today is Friday, September 5, 2008, and it is 2:00 p.m. I'm Michelle Mays of the Department of Economic and Community Development, and I'm here to solicit input for the development of the State of Connecticut's 2009-2010 Action Plan for Housing and Community Development.

As no member of the public is currently present to provide input, we will recess until such time as someone appears to provide testimony on the plan.

(OFF THE RECORD)

to provide input on the development of Connecticut's 2009-2010 Action Plan, we will close this hearing at 2:35 p.m. Thank you.

(Whereupon, the hearing adjourned at 2:35 p.m.)

B.3.b. Public Hearing Transcript of 09/08/2008:

STATE OF CONNECTICUT
DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT

IN RE: SEPTEMBER 8, 2008

ACTION PLAN FOR 2009 - 2010
2:00 P.M.
FOR HOUSING AND COMMUNITY DEVELOPMENT

BEFORE: MICHELLE MAYS, FACILITATOR

. . .Verbatim proceedings of a hearing before the Department of Economic and Community Development in the matter of State of Connecticut's Action Plan for 2009 - 2010 for Housing and Community Development, held on September 8, 2008 at 2:00 p.m. at the Hamden Gov. Center, 3rd Floor Conference Room, 2750 Dixwell Avenue, Hamden, Connecticut, at which time the parties were represented as hereinbefore set forth. . . .

FACILITATOR MICHELLE MAYS: Today is Monday, September 8, 2008, and it is 2:00 p.m. I'm Michelle Mays of the Department of Economic and Community Development, and I'm here to solicit input for the development of the State of Connecticut's 2009-2010 Annual Action Plan for Community and Housing Development.

As no member of the public is currently present to provide input, we will recess until such time as someone appears to provide testimony on the plan.

(OFF THE RECORD)

FACILITATOR MAYS: Since no member of the public has appeared to provide input on the development of Connecticut's 2009-2010 Action Plan for Housing and Community Development, we will close this hearing at 2:35 p.m. Thank you.

B.3.c. Public Hearing Transcript of 12/08/2008:

HEARING RE: HOUSING AND COMMUNITY DEVELOPMENT
DECEMBER 8, 2008

STATE OF CONNECTICUT
DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT

IN RE: DECEMBER 8, 2008

ACTION PLAN FOR 2009 - 2010 10:01 A.M.
FOR HOUSING AND COMMUNITY
DEVELOPMENT

BEFORE: DEBRA LANDRY, FACILITATOR

. . . Verbatim Proceedings of a hearing before the Department of Economic and Community Development in the matter of the 2009-2010 Action Plan for Housing and Community Development held on December 8, 2008 at 10:01 a.m. at the Hamden Government Center, 2750 Dixwell Avenue, Hamden, Connecticut. . .

MS. DEBORAH LANDRY: Today is December 8, 2008 and it's 10:00 a.m. I am Deborah Landry of the Department of Economic and Community Development and I am here to solicit comments on the State of Connecticut's draft 2009-2010 Action Plan for Housing and Community Development. As no member of the public is currently present to provide comments, we will recess until such time as someone appears to provide testimony on the plan.

(Off the record)

MS. LANDRY: It's 10:25 and we do have a person here that has come to provide comment on the 2009-2010 Action Plan for Housing and Community

Development, the draft plan. And if you could just introduce yourself and who you represent, it would be helpful.

MR. CHRIS MARCHAND: Okay.

MS. LANDRY: And I'm not here to answer any questions necessarily today, but if you provide comment it will be in the action plan and there will be a response provided in the action plan.

MR. MARCHAND: Okay.

MS. LANDRY: Thank you.

MR. MARCHAND: Yes, Chris Marchand, Community Development Manager for the Town of Hamden. My comment today is just actually in support of the draft action plan by the DECD. The Town of Hamden felt that the DECD did a very good job of community outreach for public comment on the draft plan. I personally saw a local meeting postings as well as e-mails noting the opportunity to present comment.

Earlier in the year with similar outreach through their home program, we applied for funds and we're currently signing contracts for home funds to supplement our CDBG entitlement funding. So I think it's just, as noted, just a comment in support of the plan.

Thank you.

MS. LANDRY: Thank you very much. And we have no one else here at this time, so we'll close.

(Off the record)

MS. LANDRY: This Deborah Landry, DECD. It is now 11:30 December 8, 2008. There are no other members of the public here to provide comment on the draft 2009-2010 Action Plan for Housing and Community Development. So we will now close this public hearing.

(Whereupon, the hearing was adjourned at 11:30 a.m.)

POST REPORTING SERVICE
HAMDEN, CT (800) 262-4102

B.3.d. Public Hearing Transcript of 12/10/2008

HEARING RE: HOUSING AND COMMUNITY DEVELOPMENT
DECEMBER 10, 2008

STATE OF CONNECTICUT
DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT

IN RE: DECEMBER 10, 2008

ACTION PLAN FOR 2009 - 2010 10:00 A.M.
FOR HOUSING AND COMMUNITY
DEVELOPMENT

BEFORE: DEBRA LANDRY, FACILITATOR

. . . Verbatim Proceedings of a hearing before the State of Connecticut, Department of Economic and Community Development in the matter of the 2009-2010 Action Plan for Housing and Community Development held on December 10, 2008 at the Coventry Town Hall, 1712 Main Street, Coventry, Connecticut. . .

MS. DEBORAH LANDRY: Today is December 10, 2008. It's 10:00 a.m. and I am Deborah Landry of the Department of Economic and Community Development. I am here to solicit comments on the State of Connecticut's draft 2009-2010 Action Plan for Housing and Community Development.

We seem to have some people here today that want to provide some comments. So I'll ask that you identify yourself and who you represent, and you can go on record with comments. Would anybody like to start?

MS. MARIA CAPRIOLA: Hi, Maria Capriola, Town of Mansfield. And a few of the questions I have may be perhaps not specifically relevant to the action plan. So perhaps I have a comment, a question, maybe that's not relevant physically to the action plan feel free to stop me and I can certainly ask you the question at a different time.

MS. LANDRY: Okay.

MS. CAPRIOLA: One thing that wasn't entirely clear to me in the action plan -- I know something that HUD, especially with the entitlements, is the whole concept of target neighborhoods in your application process. And an example, I had worked for a non-entitlement community in Massachusetts and DHCD there was really pushing this concept of target neighborhoods and really focusing on a neighborhood and looking at ways to do multiple projects in a neighborhood that really could use a -- maybe a sidewalk, some housing rehab, maybe putting in some park improvements, maybe some storm water improvements all under basically the same project. And essentially if you're able to identify a target neighborhood and present your project as such, you were then able to get bonus points for the application.

And I just wasn't sure, again, it wasn't really particularly clear to me in the application if this concept of target neighborhoods is something that is really being embraced by DECD and, if so, if it's something that potentially will be used to add bonus points to the application.

MS. LANDRY: Again, I can't really answer for the program. I think it's a very good question, and it will get responded to in the plan.

MS. CAPRIOLA: Okay.

MS. LANDRY: No, I think it's a good question.

MS. CAPRIOLA: Thanks. Something else we had a question about. Again, this is just an experience I had in another community, but it was very helpful. But as part of this process they posted the scoring criteria for the grant applications in advance. So in addition to letting you know what the bonus points would be for the various grant components to the application, let's say for example, maybe a particular part of the application was going to be scored one to five, five being the highest. But you knew what the scoring points for the various components of the application were and that was very helpful in preparing it.

And, again, looking at the plan I saw a few spots where it was noticed, where some bonus points could be offered, but in terms of the scoring process for the meat and potatoes of the application I didn't see that. I wasn't sure if that was something that was going to be posted in advance or not.

MS. LANDRY: They do have application workshops and I believe they go through the application and I think you get a better understanding of the scoring and how it's scored. And actually I believe you get points for showing up at the application workshops or it may even be required that you attend an application workshop before you submit an application. I can't be sure. But I can make sure that you -- you get that information when the next workshop is set up.

MS. CAPRIOLA: Okay.

MS. LANDRY: For sure. And that's a good -- another good comment.

MS. CAPRIOLA: Something else about the application process, and again if this isn't maybe relevant enough to the action plan you can just stop me, the concept of applying for multiple projects in one year is a concern to me in that, you know, a community may have maybe two smaller projects that aren't relevant to one another, but could be important projects but of a fairly small dollar value. And with the application process of just basically one project a year it's somewhat challenging in that.

And I'm just concerned that smaller projects that are still important will be put on the back burner. Maybe, you know, for example maybe there is ADA improvements you may want to do at the senior center, maybe there are 50,000 dollars. But maybe you'd also like to really apply for a 200,000 dollars for single-family housing and rehab. So the grand total, if you're able to apply for multiple projects, you know would be 250,000, but if you're only able to really apply for one project perhaps those ADA improvements, say for example at a senior center, would be put on the back burner. Although that's obviously a very important project as well.

So that was just a concern and, again, that wasn't clear to me in the action plan in terms of how many projects you could apply for in one year and could you do multiple projects if they're relevant to one another? So for example, if you were doing a target neighborhood and maybe there were three or four things in that target neighborhood you wanted to do like sidewalk improvements, or other infrastructure improvements, and maybe some multi-family, or single-family housing rehab and things of that nature.

MS. LANDRY: Okay. So you're saying that you didn't feel that it was clear in the plan that you could apply for more than one.

MS. CAPRIOLA: Correct.

MS. LANDRY: Okay. Well, that's a concern for me. Okay. I don't know the answer to that. But it should be clear in our plan that you can or cannot apply for more than one. I think there has been a concern in the past that multiple activities or there has been a -- some documentation that multiple activities don't -- those projects don't tend to get completed in a more timely fashion. So I think they are looking at that, but if it's not clear in our plan it needs to be. So I'll make sure that gets addressed in the plan.

MS. CAPRIOLA: Okay. Something in regards to the home funding.

MS. LANDRY: Okay, all these other ones were CDBG, right?

MS. CAPRIOLA: Oh, yes.

MS. LANDRY: Related? Okay.

MS. CAPRIOLA: Yes. Those were CDBG.

MS. LANDRY: No, I just wanted to make sure, okay.

MS. CAPRIOLA: So I think it's somewhat difficult for non-entitlements to apply for the pot of Home funding that DECD is anticipating to receive from HUD. And in the sense that with Home there are even more, I think, guidelines and restrictions than CDBG in terms of capacity of an entitlement to really manage those Home funds under. And I think it's somewhat difficult and challenging and it appears, and please, if I'm wrong, please feel free to correct me, that a lot of the Home funding that is coming to DECD isn't actually being sent back to a lot of the entitlement communities.

And I don't know if this is possible or not, but if it could be encouraged for consortiums perhaps to be established in some of these areas perhaps like an eastern consortium for -- or if not entitlements in eastern Connecticut, and basically a consortium that has the capacity to handle and manage Home funds. Maybe something similar to like the north shore Home consortium in Massachusetts for the communities in the north shore that were not entitlements. Or perhaps maybe, like some of the -- has, the capacity to perhaps apply for Home funding on behalf of the non-entitlements in their area, and really kind of serve as a filter and pass through for those funds if they have the capacity to help us with that because I think certainly there are projects in non-entitlements that would benefit from Home funding, but I think it's a capacity issue for a lot of non-entitlement communities.

MS. LANDRY: Yes. The consortium --possibility of consortiums has come up before. I can't remember how many years ago. But -- and I also know that there has been some outreach to the eastern part, northeastern part of the state for Home programs and to try to get some -- we're just not getting applications. It's an open process.

MS. CAPRIOLA: Right.

MS. LANDRY: So they can -- the applications can come in at any time. We're just not getting them. So we have done some outreach to that area and some work with some of the non-profits there. So we're also aware of that.

MS. CAPRIOLA: Sure. And I think it's -- again, going back to the capacity issue for a lot -- intimidating, you know, all those guidelines and restrictions that come along with receiving the Home funding and making sure that, you know,

projects receiving the funding stay for some period of time, and that sort of thing. So I think it's a bit intimidating to non-entitlements in terms of their capacity to really make sure that they are, you know, mod trained in the use of those funds properly and it stays low to mod for a certain period of time, and that sort of thing.

So perhaps, you know, if there was an option for us to kind of join together either through a regional cog or some sort of consortium I think that would be really helpful. I don't know if that can be encouraged in some way or not.

MS. LANDRY: Okay.

MS. CAPRIOLA: And I have a question in regards to -- and this, I'm sorry, going back to CDBG.

MS. LANDRY: Yes.

MS. CAPRIOLA: I'm jumping a bit, but going back to CDBG with the program and the kind that's generated by the grantees. So as loans are being repaid back after say a single family home, a project has been completed is there going to be a threshold or a limit in terms of how much program -- a municipality can have at any given point in time?

MS. LANDRY: I know that there is new -- have you seen the new proposed regs out?

MS. CAPRIOLA: No.

MS. LANDRY: You may want to take a look at those. I have a copy here.

MS. JESSIE SHEA: Are they on line?

MS. LANDRY: Yes. They are -- see I'm not sure what -- Part 5-70 proposed rule was in the federal register on October 17, 2008.

MS. CAPRIOLA: Okay.

MS. LANDRY: And I have some more identifying numbers here if that will help you. But they are -- there is a few proposed rule changes to the CDBG program and one of them that they're focusing on is program income. So you may want to take a look at that.

MS. CAPRIOLA: Is there a comment period for --

MS. LANDRY: -- yes, I think there is. I'm not sure. Comment due date December 16, 2008.

MS. CAPRIOLA: So it's soon.

MS. LANDRY: Yes. So I think we are going to be, in our administration of the program, affected by these. I know that we've been looking at program income for the past several years and trying to get a handle on what's out there and trying to put some kind of administrative controls on that. And probably we're anticipating something like this coming out, so I think that we will be affected by that. I can't be sure what the staff, how they're going to handle that.

MS. CAPRIOLA: So those were proposed changes from HUD?

MS. LANDRY: Yes.

MS. CAPRIOLA: Oh, this was from HUD.

MS. LANDRY: Yes. This is from a federal -- from HUD. So they're putting in some -- and they're asking for comments.

MS. CAPRIOLA: Okay.

MS. LANDRY: At this point.

MS. CAPRIOLA: Okay.

MS. LANDRY: So I think that that -- the program income portion of our program may be affected by these new rules.

MS. CAPRIOLA: Okay. Thank you.

Is there any possibility of setting up a process where a grant application can be submitted on line? Has that been discussed?

MS. CAPRIOLA: Yes. We have been looking at that. I'm not sure how much progress has been made in that area, but we've worked on that. I'm not sure what the hold up is. But I don't know if you know that we recently -- the Home and CHFA funding has put --they've put together what they call a consolidated application process. It was always -- it became very complicated because you needed a lot of time, you need several sources of funding to do a Home program. A lot of times you need to order the tax credit program through the CHFA. So then you were filling out application documents for two different programs and just coordinating all those efforts.

So we have put together a consolidated application process for those funds. So we are moving in that direction of simplifying, trying to simplify things and make things a little bit easier. I'm not sure though that you can actually fill that out on line at this point in time. That's the direction we're moving in.

MS. CAPRIOLA: Okay. Great. Something that also was not necessarily clear to me in the action plan in terms of community partnering together for a regional grants, perhaps maybe three or four communities partnering together to say a housing rehab grant for the various communities. Maybe one community essentially

serves as the administrator of that for a number of communities. Are regional applications for projects encouraged between communities?

MS. LANDRY: We call those multi-jurisdictional and we have done those, yes. And that's exactly what we do. There has to be a lead -- yes.

MS. CAPRIOLA: Okay. I think the other questions I probably have may not be specific to the action plan. So I think that's it.

MS. LANDRY: Are you new? I don't recognize the name.

MS. CAPRIOLA: I've been in Mansfield now for about two years.

MS. LANDRY: Oh, okay.

MS. CAPRIOLA: And prior to that I had worked in Georgia and I was the budget analyst assigned to the community development fund.

MS. LANDRY: Okay.

MS. CAPRIOLA: Which was basically the CDBG, Home programs that sort of thing.

MS. LANDRY: Right.

MS. CAPRIOLA: And then in between I worked in Newburyport, Massachusetts.

MS. LANDRY: Okay.

MS. CAPRIOLA: We were a non-entitlement, but we did receive funding from DHCD and essentially we were serving as the administrator for the towns of Newburyport, Newbury, and Georgetown. So we were essentially under a regional application.

MS. LANDRY: Right.

MS. CAPRIOLA: Our program worked that way.

MS. LANDRY: Okay.

MS. CAPRIOLA: And then in Mansfield the town manager's office is --

MS. LANDRY: -- yes.

MS. CAPRIOLA: And the planning office provides assistance to us.

MS. LANDRY: Okay. You look familiar. Maybe I saw you at some training like in -- sometimes we hook up with the training in Massachusetts where --

MS. CAPRIOLA: -- oh, okay.

MS. LANDRY: Where for awhile the HUD training opportunities included part of Connecticut as in the region, so we were -- so maybe that's where I saw you.

MS. CAPRIOLA: That's possible.

MS. LANDRY: Yes.

MS. CAPRIOLA: And then Jessie was just at the National Community Development Association training at the --

MS. LANDRY: -- oh, okay.

MS. CAPRIOLA: In October.

MS. LANDRY: Oh, good. Training is good. So are you all set, do you think?

MS. CAPRIOLA: Yes, I mean the other questions, I guess, maybe if you have time after the public hearing. They're not specific to the action plan.

MS. LANDRY: Certainly. Certainly. Did you want to provide --

MR. DAVID FENN: My name is David Fenn. I'm the Executive Director of the Windham No Freeze project in Windham, Connecticut. My questions for you are -- they're not questions but comments, I guess, have to deal with the emergency shelter portion of the proposal.

And our -- we have been operating now for five years in Willimantic. We've probably serviced over two to 300 individual peoples dealing with issues of homelessness. We have appealed to the state for funds through DSS, through Mrs. Wojack. I forget what her first name is.

MS. LANDRY: Maryanne.

MR. FENN: Maryanne, right. And our essential problem is this, we don't have a regular space of operation. And so DSS, in order for us to receive any money through them we have to have a permanent site.

We've been working on acquiring a permanent site, and we actually have looked a specific space, the Pulaski Club. We have appealed to the Governor. Our legislators have appealed to the Governor on our behalf. We really have not received any kind of response back. We did meet with Chelsey and Jen Botaro, I think it was, quite awhile back and they asked us to put together a business plan and all this business, which we did do. But our problem is we can't get regular funding until we have a site. And raising the money for the site -- because we get no money all of our --

the money that we do raise tends to go directly into the operation of the program. And we've -- a capital campaign in order to obtain the funds.

So we've sat down with -- there is an Adhoc committee that we've met with through the Town of Windham. There is a location in town that we are all very much interested in and in agreement on, which is unusual to think that you have a bunch of selectman from both sides of the aisle who recognize that we really do have a significant homeless issue in our town, in our region, including Coventry, Lebanon, Hampton, Mansfield. But it's -- and it's a great building for us. But it needs some updating, not a tremendous amount, but we need \$250,000 for it. So I want to know how we can write this so I can get \$250,000 for this project.

And the other thing is -- and I don't know -- and I didn't understand this, this is not my background area really can we, although we don't have a permanent site, through this program request operational expenses? Because it is listed there, but I don't know how that would work.

MS. LANDRY: I believe it is allowable, but, again, I'm not a program manager for that program.

MR. FENN: Right.

MS. LANDRY: Windham does have grants for the small city community development program. Have you spoken with any of the staff there?

MR. FENN: Well, I mean they're fairly aware of our situation. I imagine that if they thought that we would fit their criteria that they would have let us know that by now. I sit on boards with a lot of them, but maybe that's not the case.

MS. LANDRY: You mentioned met with Chelsey and Jen Botaro. And where were they from?

MR. FENN: They were from the Governor's office.

MS. LANDRY: Oh.

MR. FENN: They're in her -- in her cadre, I don't know what you -- advisors or whatever.

MS. LANDRY: And you said you appealed to the Governor and the legislature? Did you do that in writing?

MR. FENN: Our legislators, Walter, Denise Merrill, Googliamo.

MS. LANDRY: Yes.

MR. FENN: Hurlburt, Prague, Williams all wrote letters of support specifically asking for this money, for this project.

MS. LANDRY: Okay.

MR. FENN: And we have never received a formal response for her office.

MS. LANDRY: Okay. So I just want to understand I think you have two questions. One is can the CDBG funds be used for operational funds? In other words supplement your existing ESG --

MR. FENN: -- right.

MS. LANDRY: Is it ESG grant from DSS? And you're also asking about a way to possibly finance the purchase and/or rehab of a building so you'd have a permanent site for your shelter.

MR. FENN: Right.

MS. LANDRY: Okay.

MR. FENN: We're not actually -- we do not get any money from the state right now except for out of OPM, Don Williams has granted us this year 25,000.

MS. LANDRY: So you're not actually receiving a grant from ESS, from the ESG program.

MR. FENN: No.

MS. LANDRY: So your contact with Maryanne Wojack --

MR. FENN: -- was through Don Williams' office.

MS. LANDRY: And that was just trying to, the same issue, trying to get a permanent site.

MR. FENN: Well with her it was -- initially it was to see if we could get funding.

MS. LANDRY: Yes.

MR. FENN: But, you know, it's like a chicken and egg situation that we're in right now.

MS. LANDRY: Yes.

MR. FENN: You can't get the funding unless you have the site. You can't get the site unless you have funding.

MS. LANDRY: Yes. Okay.

MR. FENN: And we have talked about starting a capital campaign within the project itself. However, every dime pretty much that we raise goes to the operational expenses of the program.

MS. LANDRY: Absolutely.

MR. FENN: So there is nothing left over.

MS. LANDRY: Okay.

MR. FENN: And there aren't a lot of towns, I would guess, that are clamoring for a shelter. It's a fairly unusual situation that we're in that there is actually the members of the Board of Selectmen really do recognize that we have an issue in town that we have to be responsible for.

MS. LANDRY: And you say they're supporting it?

MR. FENN: Yes.

MS. LANDRY: They recognize it and support it?

MR. FENN: Yes.

MS. LANDRY: Okay.

MR. FENN: So that's my speal.

MS. LANDRY: Thank you. I would like a contact number.

MR. FENN: Okay. My cell is 860-463-5021.

MS. LANDRY: My name is Deborah Landry. I could give you a card.

(Off the record)

MS. LANDRY: It is now 11:25 on December 10, 2008. And there are no other members of the public here to provide comment on the draft 2009-2010 Action Plan for Housing and Community Development. So we will now close this public hearing.

(Whereupon, the hearing was adjourned at 11:25 a.m.)

POST REPORTING SERVICE
HAMDEN, CT (800) 262-4102

B-3.e. Public Hearing Transcript of 12/11/2008:

HEARING RE: HOUSING AND COMMUNITY DEVELOPMENT
DECEMBER 11, 2008

STATE OF CONNECTICUT
DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT

IN RE: DECEMBER 11, 2008

ACTION PLAN FOR 2009 - 2010 2:01 P.M.
FOR HOUSING AND COMMUNITY
DEVELOPMENT

BEFORE: DEBRA LANDRY, FACILITATOR

. . . Verbatim Proceedings of a hearing before the Department of
Economic and Community Development in the matter of the Draft 2009-2010 Action
Plan for Housing and Community Development held on December 11, 2008 at 2:01
p.m. at CERC, 805 Brook Street, Rocky Hill, Connecticut. . .

MS. DEBORAH LANDRY: Today is December 11, 2008 and
it's 2:00 p.m. I am Deborah Landry of the Department of Economic and Community
Development and I am here to solicit comments on the State of Connecticut's Draft
2009-2010 Action Plan for Housing and Community Development. As no member of
the public is currently present to provide comments, we will recess until such time as
someone appears to provide testimony on the plan.

(Off the record)

MS. LANDRY: Since no member of the public has appeared to provide comments on the Draft 2009-2010 Action Plan for Housing and Community Development, we will close this hearing at 3:00 p.m. December 11, 2008.

(Whereupon, the hearing was adjourned at 3:00 p.m.)

POST REPORTING SERVICE
HAMDEN, CT (800) 262-4102

B.4. Written Comment Received During the Citizen Participation Process:

B.4.a. Town of Windham Letter (09/03/2008):

B.4.a. Town of Windham (09/03/2008), page 1 of 2:



TOWN OF WINDHAM

Theodore S. Montgomery
Economic Development Director

979 Main Street
Willimantic, Connecticut 06226-2200

860-465-3062
FAX 860-465-3051
tmonty@snet.net

September 3, 2008

Mr. Lawrence M. Lusardi
Executive Director
Office of Municipal Development
State of Connecticut DECD
505 Hudson Street
Hartford, CT 06106

Re: Town of Windham – Neighborhood Revitalization Area Improvements – Phase III

Dear Larry,

The Town of Windham submitted an application for funding to DECD in the amount of \$755,000 under the then "Open Funding" round for the above referenced project on May 29, 2007. Our Assistance Agreement for this project was fully executed with DECD as of September 11, 2007.

The project includes several individual components designed to improve the quality of life within the Town's Neighborhood Revitalization Zone including rehabilitation of housing, improvements to neighborhood infrastructure, and public services to support our "Weed and Seed" Program.

While this project will provide significant benefits to our lower income residents, we have also identified additional needs within our community that can be met with Small Cities CDBG funding in the future.

At the time we submitted this request DECD's requirements for project progress and the expenditure threshold for new funding requests were not as stringent as they are now.

The Application threshold for 2008 funding, due at DECD May 31st 2008, was as noted in the State's Annual Action Plan:

- "Expenditure Rates: Assistance Agreements for the 2007 program year must be Town executed by April 30, 2008. Assistance Agreements for the 2006 program year must be 50% expended on the date the SC/CDBG application is submitted. Assistance Agreements older than 2006 program year must be

Town of Windham (09/03/2008), Page 2 of 2:

100% expended and/or closed out with a Certificate of Completion on the date the SC/CDBG application is submitted."

While the Town did not apply for 2008 funding, we are concerned that if DECD adopts this same formula for its 2009 funding allocations the Town of Windham will be excluded from competition even though our current project is progressing satisfactorily and within our DECD approved budget period.

At the time of the application for our current grant, the Town's understanding was that once 50% of the Grant had been spent the Town would then be able to begin the process of another application. One of the projects in this application, for example, was the funding of a position managing the Town's very successful Weed and Seed Program. This program has already demonstrated a dramatic improvement in the neighborhoods and the community's youth. The funding is for two years of salary for the program's director at \$100,000.

Based on DECD's current (2008) criteria, Windham would not be able to apply for additional funding in 2009 even though we would be in full compliance with our existing funding Agreement with DECD.

As you are aware, the Town of Windham is one of the poorest communities in the State and we depend a great deal on improving the quality of life in our town by taking advantage of various grant programs like Small Cities. Had we been aware of this possible change in your requirement 15 months ago, then we may not have been able to include this very worthwhile project in our application. **We request that you waive the possible requirement of an 100% expenditure for the 2009 application because of the very high need in this distressed community and include our response as part of public comment in the 2009 Action Plan Process.**

If you have any questions, please contact our office.

Sincerely,



Theodore S. Montgomery
Director of Economic Development
Town of Windham

B.4.b. Connecticut Housing Finance Association Letter (09/08/2008):

CONNECTICUT HOUSING FINANCE AUTHORITY

September 8, 2008

W. Michael Regan, Community Development Assistant Administrator
Office of Strategy and Policy
Department of Economic and Community Development
505 Hudson Street
Hartford, CT 06107-7106

RE: Public Comment 2009-2010 Annual Action Plan

Dear Mr. Regan,

On behalf of the owners of the State Assisted Housing Portfolio transferred to the Connecticut Housing Finance Authority, we would like the Department of Economic and Community Development to consider a modification to its Small Cities CDBG Program requirements in the 2009-2010 Action Plan for Community and Housing Development.

The 2007-2008 Action Plan was modified to require all housing authority projects to have the CHFA architectural requirements and sign-offs completed up front. The CHFA would like the DECD to consider the following modification to that requirement;

1. Where RM&R reserves are below the CHFA required minimum (\$1,000/\$1,500 p/u elderly/family), allow a waiver of application drawings and specifications and permit architectural / engineering costs, where necessary, to be included as an approved line item in the grant budget
2. Where RM&R reserves are sufficient to cover the cost of architectural fees but insufficient to cover rehabilitation costs, require only preliminary plans and specifications with application. If grant is awarded, full plans and specifications would be expected to be paid through RM&R.

The state housing properties and owners are unique in their needs and their manner of operating. Where some owners can be ready to proceed upon application, others may have technical and financial restrictions which would be detrimental to that process. We feel that it may be fiducially irresponsible for owners of properties with limited resources to spend reserves for full plans and specifications on a project that may not proceed due to other more qualified applications.

Thank you for your consideration to our request.

Sincerely,



Lynn Koroser-Crane
Administrator

999 West Street / Rocky Hill, Connecticut 06067-4005 / 860-721-9501



B.4.c. U.S. Congressman Joe Courtney letter (12/15/2008):
B.4.c. U.S. Congressman Joe Courtney Letter (12/15/2008), Page 1 of 3:

COMMITTEES:
ARMED SERVICES
SUBCOMMITTEES:
READINESS
SEAPOWER AND EXPEDITIONARY FORCES
EDUCATION AND LABOR
SUBCOMMITTEES:
HIGHER EDUCATION
HEALTH, EMPLOYMENT, LABOR, AND PENSION



Joe Courtney
Congress of the United States
2nd District, Connecticut

WASHINGTON OFFICE:
215 CANNON HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
P (202) 225-2076
F (202) 225-4977

DISTRICT OFFICE:
101 WATER STREET, SUITE 301
NORWICH, CT 06360
P (860) 886-0139
F (860) 886-2974

77 HAZARD AVENUE, UNIT J
ENFIELD, CT 06082
P (860) 741-6011
F (860) 741-6036

December 15, 2008

W. Michael Regan
Community Development Assistant Administrator
Office of Strategy and Policy, Department of Economic & Community Development
505 Hudson Street, Hartford, CT 06106-7106

RE: Public Comment 2009-2010 Annual Action Plan

Dear Mr. Regan,

I am writing to you in response to the Department of Economic and Community Development's proposed 2009-10 Action Plan Draft. This plan in the upcoming year will be critical to Connecticut's economy. Our state's need for federal fiscal relief is as dire as anytime since the recession of the early 1980's and it is imperative that the proposed plan, "Get it right," so that all regions of the state benefit from the expected help being discussed by President-Elect Obama's transition team. Of course, the DECD knows as well as anyone the dismal economic forecast for Connecticut. The combination of declining tax revenue and increasing need of assistance from towns increases the scrutiny for which DECD operates under. I recognize the years of work leading up to each action plan, and the commitment needed to properly carry forth the plan in coordination with the Department of Housing and Urban Development (HUD). In such context, I appreciate the opportunity to comment on the 2009-10 Action Plan Draft and to share with you two suggestions regarding the Community Development Block Grant (CDBG) Small Cities program which would compliment Connecticut's compliance and coordination with HUD.

The Department of Economic and Community Development (DECD) knows as well as anyone the dismal economic forecast for Connecticut. The combination of declining tax revenue and increasing need of assistance from towns increases the scrutiny for which DECD operates under. I recognize the years of work leading up to each action plan, and the commitment needed to properly carry forth the plan in coordination with the Department of Housing and Urban Development (HUD). In such context, I appreciate the opportunity to comment on the 2009-10 Action Plan Draft and to share with you two suggestions regarding the Community Development Block Grant (CDBG) Small Cities program which would compliment Connecticut's compliance and coordination with HUD.

PRINTED ON RECYCLED PAPER

Following HUD's allocation of \$25 million to Connecticut as part of the Neighborhood Stabilization Program (NSP), Governor Jodi Rell sent a letter to Secretary Steve Preston requesting that future Small Cities funds be eligible to distribute to all communities in Connecticut, beyond the normal regulations which limit Small Cities funds to non-entitlement areas. The same preference was echoed in the NSP Action Plan submitted to HUD on December 1 and in DECD's 2009-10 Action Plan Draft.

The notion that all of Connecticut's towns should be eligible for Small Cities funds is flawed. If it were true that urban areas are being impacted more so during the current mortgage crisis, I could understand alternating the formula which currently allocates federal CDBG funds 70/30 between entitlement areas and non-entitlements areas, as has been the case since 1977. However, while the cities have the highest number of foreclosures, communities all across Connecticut are facing increased foreclosure rates. As I have previously stated, many of those small communities lie in the eastern part of my district.

42 USC 5306 states that 70 percent of each fiscal year's CDBG funds are to be allocated by the Secretary of HUD to metropolitan cities and urban counties, also known as entitlement areas. The law, which would take an act of Congress to change, properly balances Congress's priority to allocate funds in a fair comparative and transparent manner to cities most in need across America, while state governments with a better sensitivity for small communities, have the privilege to allocate the other 30 percent of CDBG funds at their discretion.

In each of the last five fiscal years (FY04-FY08) around 33 percent of Connecticut's CDBG (and Small Cities) funds have been allocated for the Small Cities programs, highlighting that when compared with the country as a whole, the non-entitlement areas of Connecticut are slightly more in need than the entitlement areas. To put that in better perspective, consider the more rural states of Vermont, New Hampshire and Maine whose non-entitlement areas receive between 65 and 90 percent of their entire funds with New Jersey and New York whose non-entitlement areas receive 7 and 14 percent respectfully. If DECD were to use the same discretion in allocating future Small Cities funds as was in the planning of NSP, it seems almost certain that zero non-entitlement communities will see funds, a large decrease from the 33 percent we have seen in years past.

My second suggestion addresses the process for which areas of greatest need are determined. DECD should begin collecting and analyzing foreclosure data statewide. The need for such data has been recognized and availability of such data is not an obstacle. To DECD's own admission as expressed in the NSP Action Plan, the 2009-10 Action Plan Draft, and in comments made to the Banks Committee on December 10, that ideal data could not be found for determining which communities across the state are "most in need" in regards to assistance for foreclosed homes. The NSP Action Plan stated, "the only available comprehensive federal or state government data sources used estimates for these factors; hard data down to the municipal level or lower is not available." The NSP Action Plan used substitute data, and I have publicly shared my disagreements with the decision to use sheer foreclosure numbers, and so offered alternative suggestions. However, I make the suggestion now to begin collecting foreclosure rate data for future decisions and planning. Data on

foreclosure rates is readily available via the Warren Group, a collector and publisher specializing in data pertaining to the housing market in southern New England. Rhode Island utilized such data in assessing those communities most in need as part of their NSP Action Plan.

Thank you for considering my suggestions. In no way am I suggesting that Connecticut's cities should receive fewer funds than in years past. However, my concerns stem from the decisions made during the NSP Action Plan process that would direct funds away from traditionally and purposefully targeted non-entitlement areas at a time when they are also more in need of assistance. I look forward to working with DECD in the future to ensure that everything is being considered during these challenging times. Should you have any questions please do not hesitate to contact me. I look forward to your reply and the final 2009-10 Action Plan.

Sincerely,



JOE COURTNEY
Member of Congress

CC: Governor M. Jodi Rell

B.4.d. N.R.A. Letter (12/22/2008):

[Norwalk Redevelopment Agency \(Page 1 of 2\)](#)



December 22, 2008

W. Michael Regan
Community Development Assistant Administrator
Office of Strategy and Policy
State of Connecticut
Department of Economic and Community Development (DECD)
5050 Hudson Street
Hartford, CT 06106

RE: Public Comment 2009 – 2010 Annual Action Plan

Dear Mr. Regan:

Thank you for the opportunity to submit comment in response to DECD's draft FY 2009 – 2010 Annual Action Plan for Housing and Community Development.

The Norwalk Redevelopment Agency (Agency) and the North Walke Housing Corporation (North Walke) acknowledge DECD's effort to alter the U.S. Department of Housing and Urban Development's (HUD) allowable per-unit subsidy limit for HOME Program financed projects. More specifically, the Agency and North Walke offer their support of DECD's request to HUD *seeking '... approval of the Stamford-Norwalk and Danbury MSA as "high cost" areas and allow the maximum HOME per-unit subsidy limit to be 240% of the Section 221(d)(3) basic mortgage limit (i.e., 100% plus 140%)*. If approved, this policy change will make financing, available through the HOME Program, to a broader array of new affordable residential development as well as residential rehabilitation projects.

In addition to the revision to the 'per-unit subsidy limit', the Agency requests the use of 'uncapped' income limits when administering HOME funded programs. In its role as the administrator of Norwalk's annual entitlement of Community Development Block Grant Program (CDBG) funding, the Agency requests permission from HUD to use uncapped income limits that are calculated as 80% of the Area Median Income for the Stamford-Norwalk Fair Market Rental Area (FMRA). The use of uncapped income limits is a key component of the local CDBG Program and allows for a greater number of households to qualify as low-moderate income and thus access services through local community development activities.

The Agency and North Walke seek the use of 'uncapped' income limits in administering local programs and projects, supported by HOME funds, such as the Norwalk Homeownership Assistance Program (Homeownership Program). This policy change will allow the Agency and North Walke (1) to align the requirements of its HOME supported projects with the requirements of the local CDBG Program and (2) will expand the pool of eligible first-time homebuyers who may access financial assistance from the Homeownership Program.

PO BOX 5125 · 125 EAST AVENUE, NORWALK, CT 06856-5125 · TELEPHONE 203-854-7810 · FAX 203-854-7734

B.4.d. (continued) Norwalk Redevelopment Agency (Page 2 of 2)

page 2

Thank you, again, for allowing the Agency and North Walke to submit comment regarding DECD's draft 2009-2010 Annual Action Plan. Both the Agency and North Walke look forward to their continued partnership with DECD; partnerships that are essential to addressing the housing and community development needs of Norwalk's families.

Sincerely,



Michael Moore
Senior Project Manager for Development

Cc: Timothy Sheehan – Executive Director, Norwalk Redevelopment Agency
Tim Carney – Housing Development Project Manager, Norwalk Redevelopment Agency

B.4.e. Connecticut Conference of Municipalities Letter (12/22/2008):

B.4.e. Connecticut Conference of Municipalities Letter (12/22/2008), page 1 of 2:

WRITTEN COMMENTS

of the

CONNECTICUT CONFERENCE OF MUNICIPALITIES

to the

DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT

2009-10 Action Plan for Housing and Community Development

December 22, 2008

The Connecticut Conference of Municipalities appreciates the opportunity to comment on your Action Plan.

The Action Plan updates the State's 2005-09 Consolidated Plan for Housing and Community Development (ConPlan), a five-year plan that describes "the housing needs of low and moderate-income residents, examines the housing market, outlines strategies to meet the needs and lists all resources available to implement those strategies, and outlines goals, objectives and measures".

Connecticut is experiencing a housing crisis that is expected to worsen as the state and country remain in an economic downturn.

Connecticut must make the necessary investments in the development and maintenance of affordable housing to meet the needs of our most vulnerable residents. To do this will require out-of-the-box thinking and leveraging federal financing with state funds, among other approaches.

We urge the State to develop and strengthen programs that provide greater flexibility and funding for municipalities – allowing towns and cities to use broad state standards for town-specific initiatives.

We further urge DECD to work closely with communities when devising rules and regulations. For example, several months ago, the Department had unilaterally issued -- without following the usual administrative procedures or inviting public input -- a policy regarding senior citizen centers funded through the Small Cities Program. The policy was highly problematic for municipalities. Ultimately, the policy was significantly altered to address municipal concerns. However, if there had been consultation with municipal

B.4.e. (continued)

Connecticut Conference of Municipalities Letter (12/22/2008), page 2 of 2:

officials prior to the announcement of the policy, a workable policy could have been presented initially.

The pending federal economic stimulus package may make funds available for housing and community development purposes. To ensure quick and smooth passage of funds, CCM suggests that DECD create an expedited permit-approval process for regional and local plans.

CCM federal lobbying

CCM is lobbying our Congressional Delegation for increases in the Community Development Block Grant (CDBG) and other housing and community development-related programs of importance to the State and towns and cities. We can work in partnership with DECD on such efforts.

CCM looks forward to working with DECD as you develop and implement programs to ensure that Connecticut's unique quality of life, which is so essential to our economic success as well, is preserved.

Thank you.

##

If you have any questions, please call Ron Thomas, CCM's Manager of State and Federal Relations, at (203) 498-3000.

F:\CCT_Susan\misc assignments\HUD Action Plan 2009-2010_first drafts\DRAFT3.2_HUD Action Plan 2009-2010_rebuilt from DRAFT2 for pagination.doc

B.4.f. Town of Windham Letter (12/22/2008):

TOWN OF WINDHAM

**JEAN de SMET
FIRST SELECTMAN**



**979 MAIN STREET
WILLIMANTIC, CT 06226-2200**

December 22, 2008

Michael Regan
Office of Strategy and Policy
Department of Economic and Community Development
505 Hudson Street
Hartford, CT 06106-7106

Dear Mr. Regan,

As the 2009-2010 draft Action Plan for Housing and Community Development approaches review, I would like to take this opportunity to urge the DECD to include the Responsible Growth principles endorsed by Governor Rell and Commissioner McDonald into its program goals and ranking.

Community development projects should seriously consider responsible growth criteria as these long term investments are being made in order to provide a brighter future for residents of this state. As the Action Plan attempts to address Connecticut's Housing and Development needs, it is crucial that developers take a fresh approach to expansion.

By reevaluating our traditional methods of development to include concepts such as encouragement of green building, housing density, proximity to transit, improvement of land use, creation of walk-able communities and transportation alternatives, we can unite our towns and cities through intergovernmental cooperation in a way that respects our history while achieving our plans for the future. The DECD has the opportunity to include these values in its CBDG program and plans for action

We are happy to report that the town of Windham is progressing well on our 2006 grant and we expect to complete and spend the grant before the 2009 CDBG funding round.

We look forward to working closely with DECD on our application for the 2009 funding round, and have already begun community outreach efforts.

I thank you for your time and consideration on these matters.

Sincerely,

Phone: (860) 465-3004 • Fax: (860) 465-3110 • E-mail: jdesmet@windhamct.com

Jean de Smet
First Selectwoman

An Equal Opportunity Employer
www.windhamct.com

cc. L. Wagner & Associates

**B.4.g. U.S. Department of Housing and Community Development Comment
(01/06/2009)**

From: Aschenbach, Mark

Sent: Tuesday, January 06, 2009 3:27 PM

To: Sheridan, Bruce

Subject: RE:CT 2009-2010 Draft Action Plan for Housing and Community Development

Bruce: I was asked to peruse through the above document to check if "Lead Hazard Control" and "Healthy Homes" concepts were addressed. Lead language is covered well but no mention of Healthy Homes strategies....may want to add HH since this will be coming down the 'pike....

B.5. DECD/DSS Written Responses:

B.5.a. DECD Response Letter to Town of Windham (09/05/2008)

B.5.a. DECD Response to Town of Windham (09/05/2008) page 1 of 2



State of Connecticut
Department of Economic and
Community Development

September 5, 2008

Mr. Theodore S. Montgomery
Director of Economic Development
Town of Windham
979 Main Street
Willimantic, CT 06226

Re: Request for Waiver of Possible Spending Threshold for the CDBG Program

Dear Mr. Montgomery:

With reference to your letter of September 3, 2008, we cannot consider a request for a waiver of a possible spending threshold in DECD's 2009-2010 Action Plan until that Plan has been developed and approved in accordance with the requirements of 24 CFR Part 91. We will forward a copy of your letter to our Office of Strategy and Policy for input on the development of the 2009-2010 Action Plan, however.

Additionally, if the 2009-2010 Action Plan contains a 100% spending threshold for pre-2007 grants, we would not be inclined to approve a waiver of that threshold for the 2009 CDBG funding round for the following reasons:

- 1) The Town has made very little progress on three (3) of the six (6) activities that are being funded by its 2006 grant. Nearly one (1) year after the Assistance Agreement for this grant was approved on September 11, 2007, the Town:
 1. has funded only one (1) sign under the Sign Program (\$20,000);
 2. has not executed a construction contract for the rehabilitation of the Union Street Limited Equity Cooperative (\$160,000);
 3. has not begun preparing a Community Revitalization Strategy (\$20,000).
- 2) The Town needed a six (6) month extension to complete its 2003 grant for ADA improvements to the Town Hall.
- 3) The Town needed a twelve (12) month extension to complete its 2002 grant for two (2) blight elimination activities in its Neighborhood Revitalization Zone (NRZ).
- 4) The Town needed an eighteen (18) month extension to complete its 2001 grant for housing rehabilitation. Further, DECD de-obligated \$22,296.77 of the \$300,000

B.5.a. (continued) DECD Response Letter to Town of Windham page 2 of 2

from this grant because the Town was unable to spend it within the eighteen (18) month extension.

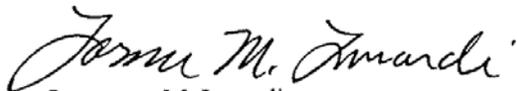
DECD's inability to ensure that its CDBG funds are spent on a timely basis could result in a reduction of the Department's future CDBG allocations from HUD. HUD's inability to ensure that its CDBG funds are spent on a timely basis could result in a reduction of its future funding for the CDBG Program from Congress. Given these possible reductions in funding, we must take action to ensure that our CDBG funds are spent on a timely basis (i.e., within each grant's two (2) year budget period). A 100% spending threshold for all pre-2007 grants in our proposed 2009-2010 Action Plan is one (1) possible action.

While we understand that the Town of Windham has a great need for additional CDBG funds, we cannot commit the funds that are needed to meet that need until the Town demonstrates that it has the capacity to spend them on a timely basis.

Again, the Town may submit a request for a waiver of a 100% spending threshold for pre-2007 grants if that threshold is contained in the 2009-2010 Action Plan after that Plan has been developed and approved in accordance with the requirements of 24 CFR Part 91, but it is extremely unlikely that we will approve the waiver for all of the above reasons.

Please feel free to contact John Fauxbel at (860) 270-8031 if you have any questions about this matter.

Sincerely,



Lawrence M. Lusardi
Executive Director
Office of Community Development

Larry Wagner, L. Wagner & Associates

B.5.b. DECD Response Letter to CHFA (10/24/2008)

B.5.b. DECD Response to Connecticut Housing Finance Authority (10/24/2008), page 1 of 2



October 24, 2008

Ms Lynn Koroser-Crane
Administrator
Connecticut Housing Finance Authority
999 West Street
Rocky Hill, Ct 06067-4005

RE: Public Comment 2009 Action Plan

Dear Ms Koroser-Crane:

This letter is in response to your letter dated September 8, 2008 to Michael Regan and the recent phone call with Veronica Hunter regarding the State of Connecticut 2009-2010 proposed Action Plan.

Thank you for your interest and comment concerning the 2009-2010 Small Cities Community Development Block Grant (CDBG) Action Plan. Connecticut Housing Finance Authority (CHFA) had 2 comments which centered around whether DECD should modify its architectural/engineering requirements to allow:

- 1) a waiver of drawings and specifications with the application to permit the architectural/engineering costs to be an approved line item included in the grant budget when the RM&R reserves are inadequate; and
- 2) when housing authority reserves are sufficient to cover the architectural fees that only preliminary plans and specifications be part of the application. If awarded the full plans/specifications would be paid thru the RM&R reserves.

The Department of Economic & Community Development (DECD) modified the 2007/2008 action plan to accommodate the Connecticut Housing Finance Authority's architectural/engineering requirements and to ensure that projects were ready to proceed. CHFA expects the housing authorities to have architectural drawings and specifications for all projects they engage in, which differs somewhat from the DECD architectural requirements. Therefore, this change was a way to ensure that both the CHFA and DECD requirements were met. As you know projects only have a 2 year budget period to have all the work completed, which is the reason projects must be ready to proceed when they are funded and not just beginning the architectural process after projects have been awarded.

Ms Lynn Koroser-Crane
Page 2

DECD is aware of the needs of the housing authorities and points out that housing is a priority in the state CDBG program. But as program stewards we are in the position of making sure that funds are spent in a timely manner. Therefore, if CHFA would like to modify their architectural/engineering requirements as they relate to the CDBG program, DECD would be happy to work with you to finalize the new standards. Having said that, if these changes were not to occur until next year the current standards would continue to apply because the next Action Plan would not be changed until the fall of 2009.

Again, thank you for you comments and If there is anything else we can do to assist you please contact me at 860-270-8037 or Veronica Hunter at 860-270-8236.

Sincerely,


Lawrence M. Lusardi
Executive Director
Office of Community Development

B.5.c. DECD Response Letter to The Windham No Freeze Project (01/02/2009):

January 2, 2009

Mr. David Fenn
Executive Director
The Windham No Freeze Project
1110 Main Street
Willimantic, CT 06226

Dear Mr. Fenn:

This is in response to your comments regarding the Emergency Shelter Grant (ESG) program provided by the Department of Economic and Community Development (DECD) at the December 10, 2008 Public Hearing held in Coventry.

We wish to thank you for the interest in having an emergency homeless shelter for your region of the state. The Department of Social Services currently provides funding for homeless shelters throughout the state. Unfortunately, there has not been any increased funding in this area that would enable the department to fund for the operation of a new facility.

Please be advised there are several emergency homeless shelters in Willimantic, New London and Norwich that provide beds and services to homeless in your area. The shelters are operated by the Holy Family and Shelter (HFS), the Covenant Shelter (CS), the New London Homeless Hospitality (NLHH) and the Thames Valley Council for Community Action (TVCCA). We currently contract with them for 153 beds and case management services for the individuals and families residing at the shelters. Should you wish more information regarding these shelters, you may contact them at (860) 423-7719/HFS, (860) 443-0537/CS, (860) 439-1573/NLHH and (860) 889-1365/TVCCA.

If you need any additional information please contact Irene Tuttle at (860) 424-5895.

Sincerely,

Pamela A. Giannini
Director
Bureau of Aging, Community and Social Work Services

PAG;IST;hcn

B.5.d. DECD Response Letter to The Windham No Freeze Project (01/16/2009)

January 16, 2009

David Fenn
Executive Director
The Windham No Freeze Project
P.O. Box 46
Willimantic, CT. 06226

Mr Fenn:

This letter is in response to your comments made at the Department of Economic and Community Development's (DECD) Action Plan hearing which focused on the development of a homeless project.

Rehabilitation of a building for the purpose of creating a homeless shelter is an eligible activity under the small Cities program. However, the program can only accept applications from an eligible municipality and not individuals or agencies.

To that end, cities and towns are required to hold public hearings to get public input into the project that is submitted by each community. Therefore, you would need to present this project at the needs hearing which the town of Windham will hold should they submit an application. If the towns of Mansfield, Coventry, Lebanon and Hampton want to participate with this endeavor as a regional effort they would also need to hold public hearings and sign on with the town of Windham.

I refer you to your Town and ask that you submit this request through your community during the hearing process, and if they have any questions please have them call John Fauxbel the program representative for Windham. Thank you for your interest in the Small Cities program.

Sincerely,

Veronica Hunter
CD Specialist
Office of Community Development

B.5.e. DECD Response Letter to Town of Mansfield (1/16/2009)

January 16, 2009

Maria Capriola
Assistant to Town Manager
4 South Eagleville Road
Mansfield, CT 06268-2599

Ms Capriola:

This letter is in response to your comments made at the Department of Economic and Community Development's (DECD) Action Plan hearing which focused on the application process.

You indicated a concern about DECD not allowing more than one application per year. Currently DECD allows only one project submission per year because the Department has had issues with communities not expending their funds in a timely manner, and having multiple grant applications was problematic at best. Therefore, the application process was changed to address this slow spending problem, and to also provide technical assistance to help towns develop better applications. DECD will re-evaluate the position of not allowing multiple applications once the older projects have been closed out and the state spending level improves.

In addition, you had a question regarding the posting of the rating and ranking criteria. The rating and ranking information is posted on the DECD website under the Small Cities program in the Community Development section. The application documents and the small cities handbook are also posted in the same location.

If you have any other questions that we can assist you with please don't hesitate to contact your program representative Bruce Sheridan at 860-270-8114 or me at 860-270-8236.

Sincerely,

Veronica Hunter
CD Specialist
Office of Community Development

Attachment C – Neighborhood Stabilization Program:

C. 1. – Governor M. Jodi Rell Letter



M. Jodi Rell
GOVERNOR
STATE OF CONNECTICUT

November 6, 2008

Honorable Steve Preston, Secretary
U.S. Dept. of Housing and Urban Development
451 7th Street S.W.,
Washington, DC 20410

Re: Neighborhood Stabilization Program

Dear Secretary Preston:

I wanted to take a moment and thank you for the recent award of \$25,043,385 to the State of Connecticut under the Neighborhood Stabilization Program (NSP). This money will be invaluable in restoring and revitalizing neighborhoods hardest hit by the foreclosure crisis in our State.

As you know, across the country, the urban centers have been most severely impacted by the subprime market and foreclosure crisis. Connecticut is no different. Our 7 largest urban cities account for more than 25% of the state's foreclosures and pre-foreclosures. Because of this, we will use the full amount of our grant to assist these cities. Unfortunately, this will leave 162 smaller towns and cities with no funding to assist with the foreclosure crisis.

I would respectfully request, therefore, that you allow the NSP's rules and guidelines to be extended to the normal CDBG (Small Cities) block grant annual funding round for the next two federal fiscal years. This will allow states to spend money in entitlement and non-entitlement areas that have been affected by this mortgage crisis.

In closing, thank you again for the NSP allocation and we look forward to a continued partnership that will not only expand affordable housing opportunities, but will also build a strong tax base, encourage safe streets, and empower neighborhoods and communities to flourish.

Sincerely,

A handwritten signature in cursive script that reads "M. Jodi Rell".

M. Jodi Rell
Governor
State of Connecticut

CC: Connecticut Congressional Delegation
Julie Fagan, HUD, Field Office Director
Gary Reisine, HUD, CPD Director
Joan McDonald, DECD Commissioner

EXECUTIVE CHAMBERS • STATE CAPITOL
210 CAPITOL AVENUE, HARTFORD, CONNECTICUT 06106
TEL (860) 566-4840 • FAX (860) 524-7396 • WWW.CT.GOV
GOVERNOR.RELL@CT.GOV

C. 2. Susan D. Pepler Letter:

DEC-18-2008 15:45

STATE OF CT.

860 524 7395 P.01/01



U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, DC 20410-7000

ASSISTANT SECRETARY FOR
COMMUNITY PLANNING AND DEVELOPMENT

DEC 12 2008

The Honorable M. Jodi Rell
Governor of Connecticut
Executive Chambers, State Capitol
210 Capitol Avenue
Hartford, CT 06106

Dear Governor Rell:

On behalf of Secretary Preston, thank you for your letter of November 6, 2008, regarding the Neighborhood Stabilization Program (NSP). In your letter, you requested that the State of Connecticut be allowed to extend NSP rules and guidelines to the State Community Development Block Grant (CDBG) program for the next two Federal fiscal years to allow money to be spent in both entitlement and nonentitlement areas that have been affected by the mortgage crisis.

The statutory intent of the Neighborhood Stabilization Program is different from that of the State CDBG program. There are no provisions in the Housing and Economic Recovery Act of 2008, which established the NSP, that permit the suspension of State CDBG statutory requirements to allow State CDBG funds to be expended in entitlement jurisdictions. Likewise, the Housing and Community Development Act (HCDA) of 1974 as amended, permits the suspension of CDBG statutory requirements only for presidentially-declared disasters. Section 106(d)(1) of the HCDA of 1974, requires that 30% of CDBG funds be allocated to states for use in nonentitlement areas. There is no statutory authority for the State of Connecticut to allocate State CDBG funds for use in entitlement jurisdictions. The State may design its CDBG program to help nonentitled units of general local government deal with the problems engendered by the mortgage crisis.

Thank you for your interest in the Department's programs. Please let me know if I can be of further assistance.

Sincerely,

A handwritten signature in cursive script that reads "Susan Pepler".

Susan D. Pepler
Assistant Secretary

Attachment D – Application Documents:

D.1. Applications for Assistance (HUD form SF-424):

D.1.a. HOME Program (05/19/2009) page 1 of 4

OMB Number: 4040-0004
Expiration Date: 01/31/2009

Application for Federal Assistance SF-424		Version 02
*1. Type of Submission:		*2. Type of Application * If Revision, select appropriate letter(s)
<input type="checkbox"/> Preapplication		<input checked="" type="checkbox"/> New
<input checked="" type="checkbox"/> Application		<input type="checkbox"/> Continuation *Other (Specify)
<input type="checkbox"/> Changed/Corrected Application		<input type="checkbox"/> Revision _____
3. Date Received:		4. Applicant Identifier:
5a. Federal Entity Identifier:		*5b. Federal Award Identifier:
State Use Only:		
6. Date Received by State:		7. State Application Identifier:
8. APPLICANT INFORMATION:		
*a. Legal Name: State of Connecticut, Department of Economic and Community Development		
*b. Employer/Taxpayer Identification Number (EIN/TIN): 06-1267643		*c. Organizational DUNS: 807851043
d. Address:		
*Street 1:	505 Hudson Street _____	
Street 2:	_____	
*City:	Hartford _____	
County:	_____	
*State:	Connecticut _____	
Province:	_____	
*Country:	USA _____	
*Zip / Postal Code	06106-7106 _____	
e. Organizational Unit:		
Department Name: Department of Economic and Community Development		Division Name: Office of Strategy and Policy
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: _____	*First Name: W. Michael _____	
Middle Name: _____		
*Last Name: Regan _____		
Suffix: _____		
Title:	Community Development Assistant Administrator	
Organizational Affiliation:		
*Telephone Number: 860-270-8039		Fax Number: 860-270-8070
*Email: michael.regan@ct.gov		

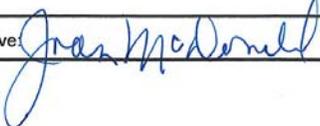
Application for Federal Assistance SF-424	Version 02
<p>*9. Type of Applicant 1: Select Applicant Type: A.State Government</p> <p>Type of Applicant 2: Select Applicant Type:</p> <p>Type of Applicant 3: Select Applicant Type:</p> <p>*Other (Specify)</p>	
<p>*10 Name of Federal Agency: U.S.Department of Housing and Urban Development</p>	
<p>11. Catalog of Federal Domestic Assistance Number: 14-239</p> <p>CFDA Title: HOME Investment Partnerships Program</p>	
<p>*12 Funding Opportunity Number: _____</p> <p>*Title: _____</p>	
<p>13. Competition Identification Number: _____</p> <p>Title: _____</p>	
<p>14. Areas Affected by Project (Cities, Counties, States, etc.): state wide -Connecticut</p>	
<p>*15. Descriptive Title of Applicant's Project: HOME Investment Partnerships Program and American Dream Downpayment Initiative Program</p>	

Application for Federal Assistance SF-424		Version 02
16. Congressional Districts Of:		
*a. Applicant: 1 st , 2 nd , 3 rd , 4 th , 5 th		*b. Program/Project: 1 st , 2 nd , 3 rd , 4 th , 5 th
17. Proposed Project:		
*a. Start Date: 7/1/2009		*b. End Date: 6/30/2010
18. Estimated Funding (\$):		
*a. Federal	\$13,358,763	
*b. Applicant	_____	
*c. State	_____	
*d. Local	_____	
*e. Other	_____	
*f. Program Income	_____	
*g. TOTAL	HOME & ADDI \$13,358,763	
*19. Is Application Subject to Review By State Under Executive Order 12372 Process?		
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on _____ <input checked="" type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input type="checkbox"/> c. Program is not covered by E. O. 12372		
*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)		
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001) <input checked="" type="checkbox"/> ** I AGREE ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions		
Authorized Representative:		
Prefix: _____	*First Name: <u>Joan</u> _____	
Middle Name: _____		
*Last Name: <u>McDonald</u> _____		
Suffix: _____		
*Title: Commissioner		
*Telephone Number: 860-270-8010	Fax Number: _____	
* Email: joan.mcdonald@ct.gov		
*Signature of Authorized Representative: 	*Date Signed: <u>5/19/09</u>	

Application for Federal Assistance SF-424	Version 02
<p>*Applicant Federal Debt Delinquency Explanation The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.</p>	

Application for Federal Assistance SF-424		Version 02
*1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		*2. Type of Application * If Revision, select appropriate letter(s) <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision *Other (Specify) _____
3. Date Received:		4. Applicant Identifier:
5a. Federal Entity Identifier:		*5b. Federal Award Identifier:
State Use Only:		
6. Date Received by State:		7. State Application Identifier:
8. APPLICANT INFORMATION:		
*a. Legal Name: State of Connecticut, Department of Economic and Community Development		
*b. Employer/Taxpayer Identification Number (EIN/TIN): 06-1267643		*c. Organizational DUNS: 807851043
d. Address:		
*Street 1: <u>505 Hudson Street</u>		
Street 2: _____		
*City: <u>Hartford</u>		
County: _____		
*State: <u>Connecticut</u>		
Province: _____		
*Country: <u>USA</u>		
*Zip / Postal Code <u>06106-7106</u>		
e. Organizational Unit:		
Department Name: Department of Economic and Community Development		Division Name: Office of Strategy and Policy
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: _____		*First Name: <u>W. Michael</u>
Middle Name: _____		
*Last Name: <u>Regan</u>		
Suffix: _____		
Title: <u>Community Development Assistant Administrator</u>		
Organizational Affiliation: _____		
*Telephone Number: 860-270-8039		Fax Number: 860-270-8070
*Email: <u>michael.regan@ct.gov</u>		

Application for Federal Assistance SF-424	Version 02
<p>*9. Type of Applicant 1: Select Applicant Type: A.State Government</p> <p>Type of Applicant 2: Select Applicant Type:</p> <p>Type of Applicant 3: Select Applicant Type:</p> <p>*Other (Specify)</p>	
<p>*10 Name of Federal Agency: U.S.Department of Housing and Urban Development</p>	
<p>11. Catalog of Federal Domestic Assistance Number: 14-228</p> <p>CFDA Title: Small Cities Community Development Block Grant Program</p>	
<p>*12 Funding Opportunity Number: _____</p> <p>*Title: _____</p>	
<p>13. Competition Identification Number: _____</p> <p>Title: _____</p>	
<p>14. Areas Affected by Project (Cities, Counties, States, etc.): state wide -Connecticut</p>	
<p>*15. Descriptive Title of Applicant's Project: Community Development Block Grant for Small Cities</p>	

Application for Federal Assistance SF-424		Version 02
16. Congressional Districts Of:		
*a. Applicant: 1 st ,2 nd ,3 rd ,4 th ,5 th		*b. Program/Project: 1 st ,2 nd ,3 rd ,4 th ,5 th
17. Proposed Project:		
*a. Start Date: 7/1/2009		*b. End Date: 6/30/2010
18. Estimated Funding (\$):		
*a. Federal	\$13,532,318	
*b. Applicant	_____	
*c. State	_____	
*d. Local	_____	
*e. Other	_____	
*f. Program Income	_____	
*g. TOTAL	\$13,532,318	
*19. Is Application Subject to Review By State Under Executive Order 12372 Process?		
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on _____ <input checked="" type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input type="checkbox"/> c. Program is not covered by E. O. 12372		
*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)		
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001) <input checked="" type="checkbox"/> ** I AGREE ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions		
Authorized Representative:		
Prefix: _____	*First Name: <u>Joan</u> _____	
Middle Name: _____		
*Last Name: <u>McDonald</u> _____		
Suffix: _____		
*Title: Commissioner		
*Telephone Number: 860-270-8010		Fax Number: _____
* Email: joan.mcdonald@ct.gov		
*Signature of Authorized Representative: 		*Date Signed: <u>5/19/09</u>

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 Prescribed by OMB Circular A-102

Application for Federal Assistance SF-424

Version 02

***Applicant Federal Debt Delinquency Explanation**

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.

[Empty text box for explanation]

Application for Federal Assistance SF-424		Version 02
*1. Type of Submission:		*2. Type of Application * If Revision, select appropriate letter(s)
<input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		<input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision *Other (Specify) _____
3. Date Received:		4. Applicant Identifier:
5a. Federal Entity Identifier:		*5b. Federal Award Identifier:
State Use Only:		
6. Date Received by State:		7. State Application Identifier:
8. APPLICANT INFORMATION:		
*a. Legal Name: State of Connecticut, Department of Social Services		
*b. Employer/Taxpayer Identification Number (EIN/TIN): 06-6000798		*c. Organizational DUNS: 807854435
d. Address:		
*Street 1: <u>25 Sigourney Street</u>		
Street 2: _____		
*City: <u>Hartford</u>		
County: _____		
*State: <u>Connecticut</u>		
Province: _____		
*Country: <u>USA</u>		
*Zip / Postal Code <u>06106-2055</u>		
e. Organizational Unit:		
Department Name: Department of Social Services		Division Name: Community Services Unit
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: _____		*First Name: <u>Irene</u>
Middle Name: <u>S.</u>		
*Last Name: <u>Tuttle</u>		
Suffix: _____		
Title: <u>Supervisor</u>		
Organizational Affiliation:		
*Telephone Number: 860-424-5895		Fax Number: 860-424-4957
*Email: <u>irene.tuttle@ct.gov</u>		

Application for Federal Assistance SF-424	Version 02
*9. Type of Applicant 1: Select Applicant Type: A.State Government Type of Applicant 2: Select Applicant Type: Type of Applicant 3: Select Applicant Type: *Other (Specify)	
*10 Name of Federal Agency: U.S. Department of Housing and Urban Development	
11. Catalog of Federal Domestic Assistance Number: 14-231 CFDA Title: Emergency Shelter Grant Program	
*12 Funding Opportunity Number: *Title:	
13. Competition Identification Number: Title:	
14. Areas Affected by Project (Cities, Counties, States, etc.): statewide- Connecticut	
*15. Descriptive Title of Applicant's Project: Emergency Shelter Services	

Application for Federal Assistance SF-424		Version 02
16. Congressional Districts Of:		
*a. Applicant: 1 st , 2 nd , 3 rd , 4 th , 5 th		*b. Program/Project: 1 st , 2 nd , 3 rd , 4 th , 5 th
17. Proposed Project:		
*a. Start Date: 7/1/2009		*b. End Date: 6/30/2010
18. Estimated Funding (\$):		
*a. Federal	1,159,765	
*b. Applicant	_____	
*c. State	_____	
*d. Local	_____	
*e. Other	_____	
*f. Program Income	_____	
*g. TOTAL	1,159,765	
*19. Is Application Subject to Review By State Under Executive Order 12372 Process?		
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on _____.		
<input checked="" type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review.		
<input type="checkbox"/> c. Program is not covered by E. O. 12372		
*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)		
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)		
<input checked="" type="checkbox"/> ** I AGREE		
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions		
Authorized Representative:		
Prefix: _____	*First Name: <u>Claudette</u> _____	
Middle Name: <u>J.</u> _____		
*Last Name: <u>Beaulieu</u> _____		
Suffix: _____		
*Title: Deputy Commissioner		
*Telephone Number: 860-424-5004	Fax Number: 860-424-4899	
*Email: claudette.j.beaulieu@ct.gov		
*Signature of Authorized Representative: 		*Date Signed: <u>7/20/09</u>
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Application for Federal Assistance SF-424

Version 02

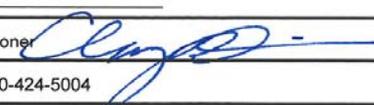
***Applicant Federal Debt Delinquency Explanation**

The following should contain an explanation if the Applicant organization is delinquent of any Federal Debt.

[Empty text box for explanation]

Application for Federal Assistance SF-424		Version 02
*1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		*2. Type of Application * If Revision, select appropriate letter(s) <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision *Other (Specify) _____
3. Date Received:		4. Applicant Identifier:
5a. Federal Entity Identifier:		*5b. Federal Award Identifier:
State Use Only:		
6. Date Received by State:		7. State Application Identifier:
8. APPLICANT INFORMATION:		
*a. Legal Name: State of Connecticut, Department of Social Services		
*b. Employer/Taxpayer Identification Number (EIN/TIN): 06-6000798		*c. Organizational DUNS: 807854435
d. Address:		
*Street 1: <u>25 Sigourney Street</u>		
Street 2: _____		
*City: <u>Hartford</u>		
County: _____		
*State: <u>Connecticut</u>		
Province: _____		
*Country: <u>USA</u>		
*Zip / Postal Code <u>06105-2055</u>		
e. Organizational Unit:		
Department Name: Department Of Social Services		Division Name: Community Services Unit
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: _____		*First Name: <u>Irene</u>
Middle Name: <u>S.</u>		
*Last Name: <u>Tuttle</u>		
Suffix: _____		
Title: <u>Supervisor</u>		
Organizational Affiliation:		
*Telephone Number: 860-424-5895		Fax Number: 860-424-4957
*Email: irene.tuttle@ct.gov		

Application for Federal Assistance SF-424	Version 02
*9. Type of Applicant 1: Select Applicant Type: A.State Government Type of Applicant 2: Select Applicant Type: Type of Applicant 3: Select Applicant Type: *Other (Specify)	
*10 Name of Federal Agency: U.S. Department of Housing and Urban Development	
11. Catalog of Federal Domestic Assistance Number: 14-241 _____ CFDA Title: Housing Opportunities for Persons with AIDS Program _____	
*12 Funding Opportunity Number: _____ *Title: _____	
13. Competition Identification Number: _____ Title: _____	
14. Areas Affected by Project (Cities, Counties, States, etc.): statewide- Connecticut	
*15. Descriptive Title of Applicant's Project: Housing Supportive Services for Persons with AIDS	

Application for Federal Assistance SF-424		Version 02
16. Congressional Districts Of:		
*a. Applicant: 1 st , 2 nd , 3 rd , 4 th , 5 th		*b. Program/Project: 1 st , 2 nd , 3 rd , 4 th , 5 th
17. Proposed Project:		
*a. Start Date: 7/1/2009		*b. End Date: 6/30/2010
18. Estimated Funding (\$):		
*a. Federal	268,902	
*b. Applicant		
*c. State		
*d. Local		
*e. Other		
*f. Program Income		
*g. TOTAL	268,902	
*19. Is Application Subject to Review By State Under Executive Order 12372 Process?		
<input type="checkbox"/> a. This application was made available to the State under the Executive Order 12372 Process for review on _____ <input checked="" type="checkbox"/> b. Program is subject to E.O. 12372 but has not been selected by the State for review. <input type="checkbox"/> c. Program is not covered by E. O. 12372		
*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)		
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001) <input checked="" type="checkbox"/> ** I AGREE ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions		
Authorized Representative:		
Prefix: _____	*First Name: <u>Claudette</u>	
Middle Name: <u>J.</u>		
*Last Name: <u>Beaulieu</u>		
Suffix: _____		
*Title: Deputy Commissioner 		
*Telephone Number: 860-424-5004		Fax Number: 860-424-4899
* Email: claudette.j.beaulieu@ct.gov		
*Signature of Authorized Representative: 		*Date Signed: <u>5/20/09</u>
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D.2. Program Certifications:

D.2.a. DECD Certification (05/19/2009) page 1 of 10

STATE CERTIFICATIONS

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the State certifies that:

Affirmatively Further Fair Housing -- The State will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the state, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

Anti-displacement and Relocation Plan -- It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential antidisplacement and relocation assistance plan required under section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

Drug Free Workplace -- It will or will continue to provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing an ongoing drug-free awareness program to inform employees about -
 - (a) The dangers of drug abuse in the workplace;
 - (b) The grantee's policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will -
 - (a) Abide by the terms of the statement; and
 - (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant

officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted -
 - (a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5 and 6.

Anti-Lobbying -- To the best of the State's knowledge and belief:

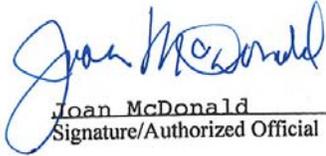
1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
3. It will require that the language of paragraphs 1 and 2 of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Authority of State -- The submission of the consolidated plan is authorized under State law and the State possesses the legal authority to carry out the programs under the consolidated plan for which it is seeking funding, in accordance with applicable HUD regulations.

Consistency with plan -- The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

D.2.a. DECD Certification (05/19/2009) page 3 of 10

Section 3 -- It will comply with section 3 of the Housing and Urban Development Act of 1968, and implementing regulations at 24 CFR Part 135.


Joan McDonald 5/19/09
Signature/Authorized Official Date

Commissioner, State of CT. D.E.C.D.
Title

Specific CDBG Certifications

The State certifies that:

Citizen Participation -- It is in full compliance and following a detailed citizen participation plan that satisfies the requirements of 24 CFR §91.115 and each unit of general local government that receives assistance from the State is or will be following a detailed citizen participation plan that satisfies the requirements of 24 CFR §570.486.

Consultation with Local Governments -- It has or will comply with the following:

1. It has consulted with affected units of local government in the nonentitlement area of the State in determining the method of distribution of funding;
2. It engages in or will engage in planning for community development activities;
3. It provides or will provide technical assistance to units of local government in connection with community development programs; and
4. It will not refuse to distribute funds to any unit of general local government on the basis of the particular eligible activity selected by the unit of general local government to meet its community development needs, except that a State is not prevented from establishing priorities in distributing funding on the basis of the activities selected.

Local Needs Identification -- It will require each unit of general local government to be funded to identify its community development and housing needs, including the needs of low-income and moderate-income families, and the activities to be undertaken to meet these needs.

Community Development Plan -- Its consolidated housing and community development plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that have been developed in accordance with the primary objectives of Title I of the Housing and Community Development Act of 1974, as amended. (See 24 CFR 570.2 and 24 CFR part 570)

Use of Funds -- It has complied with the following criteria:

1. **Maximum Feasible Priority.** With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available);
2. **Overall Benefit.** The aggregate use of CDBG funds including section 108 guaranteed loans during program year(s) 2002, ~~2003~~ and ~~2004~~ (a period specified by the grantee consisting of one, two, or ~~three~~ specific consecutive program years), shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;

3. **Special Assessments.** The state will require units of general local government that receive CDBG funds to certify to the following:

It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

It will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee or assessment attributable to the capital costs of public improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

Excessive Force -- It will require units of general local government that receive CDBG funds to certify that they have adopted and are enforcing:

1. A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and
2. A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction;

Compliance With Anti-discrimination laws -- The grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

Compliance with Laws -- It will comply with applicable laws.

 5/19/09
Joan McDonald Date
Signature/Authorized Official

Commissioner, State of CT. D.E.C.D.
Title

Specific HOME Certifications

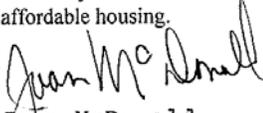
The State certifies that:

Tenant Based Rental Assistance -- If it intends to provide tenant-based rental assistance:

The use of HOME funds for tenant-based rental assistance is an essential element of the State's consolidated plan.

Eligible Activities and Costs -- It is using and will use HOME funds for eligible activities and costs, as described in 24 CFR § 92.205 through §92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in §92.214.

Appropriate Financial Assistance -- Before committing any funds to a project, the State or its recipients will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing.



Joan McDonald
Signature/Authorized Official

5/19/09
Date

Commissioner, State of CT. D.E.C.D.

Title

ESG Certifications

not applicable

The State seeking funds under the Emergency Shelter Program (ESG) certifies that it will ensure that its recipients of ESG funds comply with the following requirements:

Major rehabilitation/conversion -- In the case of major rehabilitation or conversion, it will maintain any building for which assistance is used under the ESG program as a shelter for homeless individuals and families for at least 10 years. If the rehabilitation is not major, the recipient will maintain any building for which assistance is used under the ESG program as a shelter for homeless individuals and families for at least 3 years.

Essential Services and Operating Costs -- Where the assistance involves essential services or maintenance, operation, insurance, utilities and furnishings, it will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure as long as the same general population is served.

Renovation -- Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

Supportive Services -- It will assist homeless individuals in obtaining appropriate supportive services, including permanent housing, medical and mental health treatment, counseling, supervision, and other services essential for achieving independent living, and other Federal State, local, and private assistance for such individuals.

Matching Funds -- It will obtain matching amounts required under 24 CFR 576.51 and 42 USC 11375, including a description of the sources and amounts of such supplemental funds, as provided by the State, units of general local government or nonprofit organizations.

Confidentiality -- It will develop and implement procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project except with the written authorization of the person responsible for the operation of that shelter.

Homeless Persons Involvement -- To the maximum extent practicable, it will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under this program, in providing services assisted through this program, and in providing services for occupants of such facilities.

Consolidated Plan -- It is following a current HUD-approved Consolidated Plan or CHAS.

Discharge Policy -- -- It has established a policy for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent such discharge from immediately resulting in homelessness for such persons.

HMIS -- It will comply with HUD's standards for participation in a local Homeless Management Information System and the collection and reporting of client-level information.

Signature/Authorized Official

Date

Title

HOPWA Certifications *not applicable*

The State HOPWA grantee certifies that:

Activities -- Activities funded under the program will meet urgent needs that are not being met by available public and private sources.

Building -- Any building or structure assisted under the program shall be operated for the purpose specified in the plan:

1. For at least 10 years in the case of any building or structure purchased, leased, rehabilitated, renovated, or converted with HOPWA assistance,
2. For at least 3 years in the case of assistance involving non-substantial rehabilitation or repair of a building or structure.

Signature/Authorized Official

Date

Title

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING AND DRUG-FREE WORKPLACE REQUIREMENTS:

A. Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

B. Drug-Free Workplace Certification

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification.
2. The certification is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies. (This is the information to which jurisdictions certify).
4. For grantees who are individuals, Alternate II applies. (Not applicable jurisdictions.)
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio stations).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

State of CT, D.E.C.D.

505 Hudson Street, Hartford, CT 06106

D.2.a. DECD Certification (05/19/2009) page 10 of 10

Check ___ if there are workplaces on file that are not identified here; The certification with regard to the drug-free workplace required by 24 CFR part 24, subpart F.

9. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C.812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

STATE CERTIFICATIONS

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the State certifies that:

Affirmatively Further Fair Housing -- The State will affirmatively further fair housing, which means it will conduct an analysis of impediments to fair housing choice within the state, take appropriate actions to overcome the effects of any impediments identified through that analysis, and maintain records reflecting that analysis and actions in this regard.

Anti-displacement and Relocation Plan -- It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential antidisplacement and relocation assistance plan required under section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

Drug Free Workplace -- It will or will continue to provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing an ongoing drug-free awareness program to inform employees about -
 - (a) The dangers of drug abuse in the workplace;
 - (b) The grantee's policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will -
 - (a) Abide by the terms of the statement; and
 - (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant

officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted -
 - (a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5 and 6.

Anti-Lobbying -- To the best of the State's knowledge and belief:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
3. It will require that the language of paragraphs 1 and 2 of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Authority of State -- The submission of the consolidated plan is authorized under State law and the State possesses the legal authority to carry out the programs under the consolidated plan for which it is seeking funding, in accordance with applicable HUD regulations.

Consistency with plan -- The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

D.2.b. DSS Certification (05/20/2009) page 3 of 10

Section 3 -- It will comply with section 3 of the Housing and Urban Development Act of 1968, and implementing regulations at 24 CFR Part 135.

 5/20/09
Claudette J. Beaulieu
Signature/Authorized Official Date

Deputy Commissioner, Department of Social Services
Title

Specific CDBG Certifications

not applicable

The State certifies that:

Citizen Participation -- It is in full compliance and following a detailed citizen participation plan that satisfies the requirements of 24 CFR §91.115 and each unit of general local government that receives assistance from the State is or will be following a detailed citizen participation plan that satisfies the requirements of 24 CFR §570.486.

Consultation with Local Governments -- It has or will comply with the following:

1. It has consulted with affected units of local government in the nonentitlement area of the State in determining the method of distribution of funding;
2. It engages in or will engage in planning for community development activities;
3. It provides or will provide technical assistance to units of local government in connection with community development programs; and
4. It will not refuse to distribute funds to any unit of general local government on the basis of the particular eligible activity selected by the unit of general local government to meet its community development needs, except that a State is not prevented from establishing priorities in distributing funding on the basis of the activities selected.

Local Needs Identification -- It will require each unit of general local government to be funded to identify its community development and housing needs, including the needs of low-income and moderate-income families, and the activities to be undertaken to meet these needs.

Community Development Plan -- Its consolidated housing and community development plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that have been developed in accordance with the primary objectives of Title I of the Housing and Community Development Act of 1974, as amended. (See 24 CFR 570.2 and 24 CFR part 570)

Use of Funds -- It has complied with the following criteria:

1. **Maximum Feasible Priority.** With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available);
2. **Overall Benefit.** The aggregate use of CDBG funds including section 108 guaranteed loans during program year(s) 200_ , __, and __. (a period specified by the grantee consisting of one, two, or three specific consecutive program years), shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;

not applicable

- 3. **Special Assessments.** The state will require units of general local government that receive CDBG funds to certify to the following:

It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

It will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee or assessment attributable to the capital costs of public improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

Excessive Force -- It will require units of general local government that receive CDBG funds to certify that they have adopted and are enforcing:

- 1. A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and
- 2. A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction;

Compliance With Anti-discrimination laws -- The grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

Compliance with Laws -- It will comply with applicable laws.

Signature/Authorized Official Date

Title

Specific HOME Certifications

not applicable

The State certifies that:

Tenant Based Rental Assistance -- If it intends to provide tenant-based rental assistance:

The use of HOME funds for tenant-based rental assistance is an essential element of the State's consolidated plan.

Eligible Activities and Costs -- It is using and will use HOME funds for eligible activities and costs, as described in 24 CFR § 92.205 through §92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in §92.214.

Appropriate Financial Assistance -- Before committing any funds to a project, the State or its recipients will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing.

Signature/Authorized Official

Date

Title

ESG Certifications

The State seeking funds under the Emergency Shelter Program (ESG) certifies that it will ensure that its recipients of ESG funds comply with the following requirements:

Major rehabilitation/conversion -- In the case of major rehabilitation or conversion, it will maintain any building for which assistance is used under the ESG program as a shelter for homeless individuals and families for at least 10 years. If the rehabilitation is not major, the recipient will maintain any building for which assistance is used under the ESG program as a shelter for homeless individuals and families for at least 3 years.

Essential Services and Operating Costs -- Where the assistance involves essential services or maintenance, operation, insurance, utilities and furnishings, it will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure as long as the same general population is served.

Renovation -- Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

Supportive Services -- It will assist homeless individuals in obtaining appropriate supportive services, including permanent housing, medical and mental health treatment, counseling, supervision, and other services essential for achieving independent living, and other Federal State, local, and private assistance for such individuals.

Matching Funds -- It will obtain matching amounts required under 24 CFR 576.51 and 42 USC 11375, including a description of the sources and amounts of such supplemental funds, as provided by the State, units of general local government or nonprofit organizations.

Confidentiality -- It will develop and implement procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project except with the written authorization of the person responsible for the operation of that shelter.

Homeless Persons Involvement -- To the maximum extent practicable, it will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, and operating facilities assisted under this program, in providing services assisted through this program, and in providing services for occupants of such facilities.

Consolidated Plan -- It is following a current HUD-approved Consolidated Plan or CHAS.

Discharge Policy -- It has established a policy for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent such discharge from immediately resulting in homelessness for such persons.

HMIS -- It will comply with HUD's standards for participation in a local Homeless Management Information System and the collection and reporting of client-level information.


Claudette J. Beaulieu _____
Signature/Authorized Official Date

Deputy Commissioner, Department of Social Services
Title

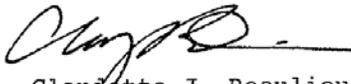
HOPWA Certifications

The State HOPWA grantee certifies that:

Activities -- Activities funded under the program will meet urgent needs that are not being met by available public and private sources.

Building -- Any building or structure assisted under the program shall be operated for the purpose specified in the plan:

1. For at least 10 years in the case of any building or structure purchased, leased, rehabilitated, renovated, or converted with HOPWA assistance,
2. For at least 3 years in the case of assistance involving non-substantial rehabilitation or repair of a building or structure.

 5/20/09
Claudette J. Beaulieu
Signature/Authorized Official Date

Deputy Commissioner, Department of Social Services
Title

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING AND DRUG-FREE WORKPLACE REQUIREMENTS:

A. Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

B. Drug-Free Workplace Certification

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification.
2. The certification is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies. (This is the information to which jurisdictions certify).
4. For grantees who are individuals, Alternate II applies. (Not applicable jurisdictions.)
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio stations).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)
Department of Social Services
25 Sigourney Street, Hartford, CT. 06106

D.2.b. DSS Certification (05/20/2009) page 10 of 10

Check ___ if there are workplaces on file that are not identified here; The certification with regard to the drug-free workplace required by 24 CFR part 24, subpart F.

9. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C.812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

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