

Name of the Exhibit: **ExhibitCCapacity**

Applicant: **The State of Connecticut**

Name of the File: **ExhibitCCapacity**

**General management capacity.** The State of Connecticut's Department of Housing (DOH) is the Applicant and will coordinate partners and implement the activities proposed in this application. Under P.L. 113-2, the CT received \$159,279,000 CDBG-DR funds. Governor Malloy designated DOH as the principal state agency for allocation and administration of this funding. DOH currently maintains a dedicated Sandy recovery staff team that has successfully administered, managed, distributed - with sound financial and procurement processes - two rounds of CDBG-DR funding since the Qualifying Disaster (Sandy). The DOH has prepared and executed a CDBG-DR Action Plan and two substantial amendments to meet the housing needs of communities most impacted by the storm. These needs included the costs of repairs, reconstruction and new construction which were not covered by insurance, FEMA, or other sources of funding as well as infrastructure repairs, mitigation projects, and planning activities (Exhibit D, pg. X). Through this process DOH vetted contractors, issued invitations to bid, issued contracts, oversaw contract execution, and coordinated with other agencies to obtain the proper permits. DOH also manages and funds Shore Up CT, a low-interest mitigation financing program (Exhibit G, pg. X). DOH's ability to initiate the Sandy program and programs like Shore Up CT show its internal control capacity and ability to quickly launch and implement major projects successfully. In order to provide quality assurance DOH will seek advisory assistance from all Partners, from the interagency workgroup, State Agencies for Resilience (SAFR), which was created to facilitate this application. SAFR members include lead staff from agencies that have supported and committed resources to this application and building overall resilience in the state.

**Application preparation.** The Connecticut Institute for Resilience and Climate Adaptation (CIRCA) at the University of Connecticut (UConn), a Partner on this application, was contracted to support the development of this application through an MOU with a Partner agency, the Department of Energy and Environmental Protection (DEEP). Through weekly meetings and daily interactions,

CIRCA engaged with DOH and SAFR to develop and review this proposal, catalogue unmet needs, contribute technical knowledge, and direct community outreach. CIRCA and UConn worked with Alex Felson Landscape Architects also from the Yale Urban Ecology and Design Lab to develop the design vision. CIRCA will participate in Phase 2 and will continue to advise the State in its primary role as a resilience research and outreach institute. CIRCA also attended the Rockefeller Resilience Academy alongside representatives from DOH, OPM, and DESPP/DEMHS.

**Cross-disciplinary technical capacity.** The Applicant, DOH, will work across disciplines to achieve project goals, and ensure excellent design quality by partnering with SAFR, faculty and staff experts from UConn and Yale, and the Connecticut Conference of Municipalities and regional Councils of Governments. The Applicant and Partners have experience with interdisciplinary work in the following areas: designing, planning and implementing large, complex and comprehensive projects; benefit-cost and data analysis; public works; affordable housing; environmental quality; community engagement; design and engineering; and economic revitalization.

**Applicant capacity.** DOH strengthens and revitalizes communities by promoting affordable housing opportunities and has significant experience working on civil rights and fair housing issues. DOH seeks to eliminate homelessness and to catalyze the creation and preservation of quality, affordable housing to meet the needs of all individuals and families. Major initiatives include the Governor's \$300 million, 10-year capital investment in State-sponsored Housing Portfolio and the Sandy CDBG-DR program, which includes data analysis of racial or economic disparities in its Action Plan.

**Partner capacity.** For a full review of partner capacity see Attachment A.

- **CT Office of Policy and Management (OPM)** is a co-chair of SAFR. OPM functions as the Governor's staff agency and plays a central role in state government, providing the information and analysis used to formulate public policy and assisting state agencies and municipalities in

implementing policy decisions on the Governor’s behalf. OPM is the coordinator of interagency problem-solving efforts, including Transit-Oriented Development, and is the liaison between municipal and state government for this application.

- **The CT Department of Energy and Environmental Protection (DEEP)** is a co-chair of SAFR. DEEP’s mission is to conserve, improve, and protect natural resources and the environment as well as to ensure availability of affordable, clean and reliable energy. DEEP brings its experience co-leading CIRCA, implementing the Coastal Zone Management program, which includes permitting structures for shoreline adaptation, administering CT’s Clean Water Fund, developing energy, climate and resilience policy, and running the Floodplain Management and the NFIP.
- **The Office of the Governor (OTG)** ensures coordination between concepts proposed in the application and gubernatorial priorities, including a focus on State-sponsored housing revitalization and a “best-in-class transportation system”.
- **CT Department of Transportation (DOT)** strives to provide a safe and efficient intermodal transportation network that improves the quality of life and promotes economic vitality. DOT’s \$1.7 billion annual budget (2015) supports many highway, bridge, rail, bus, water, bicycle, and pedestrian capital assets and operations, including many of which are adjacent to waterways and vulnerable to flooding. DOT brings a wealth of experience on Transit-Oriented Development; “Complete Streets” designs; Public-Private Partnerships, Design-Build projects; alternative design concepts; procurement processes; and transportation asset management.
- **The CT Department of Emergency Services and Public Protection/Division of Emergency Management and Homeland Security (DESPP/DEMHS)** advises SAFR on emergency management and homeland security programs that encompass all human-made and natural hazards, including prevention, mitigation, preparedness, response, and recovery components to ensure the safety and well-being of citizens. This includes administering FEMA’s Hazard

Mitigation Assistance grant programs and Public Assistance Programs and incorporating climate change risks into the Threat Hazard Identification and Risk Assessment, State Preparedness Report and Connecticut's State Hazard Mitigation Plan Update.

- **The Department of Public Health's** (DPH) vision is for healthy people in healthy Connecticut communities and is charged with protecting and improving the health and safety of the people of Connecticut. The DPH advocates health impact assessments (HIA) be conducted where possible to ensure conditions in which people can be healthy.
- **Connecticut Insurance Department** (CID) provides assistance and information to the public and to policy makers and regulates the insurance industry. Connecticut is one of only a few states to request voluntary climate change disclosure surveys from insurance companies. CID advises SAFR on the impacts of mitigation strategies and policies on insurance in the state and provided key contacts with stakeholders from the insurance and reinsurance industries.
- **The CT Conference of Municipalities** (CCM) is the state's association of towns and cities. CCM brings community engagement and regional policy and planning experience to assist SAFR.
- **The CT Department of Economic and Community Development** (DECD) advises SAFR on comprehensive approaches to economic development and revitalization that incorporate community development, transportation, and productive redevelopment of brownfield properties by promoting smart growth principles and strengthening public-private partnerships.
- **The University of Connecticut. Connecticut Institute for Resilience and Climate Adaptation** (CIRCA) fosters resilience of vulnerable communities along the state's coast and rivers to the impacts of climate change through transferable and replicable adaptation solutions. CIRCA's technical capacity for science-based analysis includes: impacts of climate change, sea level rise, ocean dynamics, future precipitation and hydrology models, weather prediction, environmental law, economics and policy analysis. CIRCA's faculty contribute to the National Climate

Assessment and advise state, national and international bodies on climate change.

- **UConn Sea Grant** is the state's component of the NOAA national Sea Grant network and has expertise in research and outreach including the Climate Adaptation Academy workshops and the NOAA Sea Grant Coastal Storm Awareness Program.
- **UConn Center for Land Use Education and Research (CLEAR)** provides information and assistance to land use decision makers to balance growth and natural resource protection.
- **Yale Urban Ecology and Design Laboratory (UEDLAB)** provides landscape architecture expertise. The UEDLAB was a member of the *Resilient Bridgeport* Rebuild by Design team and has contributed to green infrastructure and coastal planning projects in Connecticut.
- **The Regional Councils of Government (COGs)** serve the vital role of regional planning, as Connecticut does not have county governments. The South Central Regional COG (SCRCOG), Western Connecticut COG (WCCOG), and Greater Bridgeport Regional Council (GBRC), facilitate regional initiatives and represent all municipalities in our MID-URN counties.
- **Partnership for Strong Communities** is a statewide housing policy organization that works to prevent and end homelessness, create affordable and mixed-income housing (including in communities that have little or none) and foster community development solutions.
- **The Housing Development Fund, Inc. (HDF)** is a nonprofit organization dedicated to financing the development of affordable housing and will work with SAFR to apply lessons learned from existing lending programs including Shore Up CT, the state's resiliency loan fund. HDF in partnership with Yale is conducting an analysis of housing needs in 80 low-income census tracts, which will assist in the analysis of unmet needs in the target area.
- **The Emily Hall Tremain Foundation** has been a key funder of state-level climate and energy initiatives in Connecticut, including the State's Climate Action Plan, and is looking to fund resiliency innovations at the community scale. In addition, the foundation will utilize its national

funder affinity group involvement to raise the visibility of Connecticut's efforts.

- **The Long Term Recovery Committee for the State of Connecticut** will help coordinate through its participation in a number of joint working groups related to coastal resilience.
- **Connecticut Chapter of the American Red Cross** and **CT Rises** have been extensively involved in Sandy recovery efforts in Connecticut and will provide vital insight into unmet need not identified through government channels.
- **EPA Long Island Sound Study, Save the Sound, and Audubon Connecticut** will provide guidance on coastal adaptation measures, wildlife protection, and conservation opportunities.
- **Connecticut Green Bank**, the nation's first state green bank, leverages public and private capital to drive investment and scale-up of clean energy and energy efficiency in Connecticut. Their staff will provide important expertise on potential financing mechanisms for projects.
- **East Coast Greenway Alliance** is developing a public trails network in the target counties as part of a 2,900-mile system of paths, to connect communities from Maine to Florida.
- **UIL Holdings** and **Eversource Energy** serve most electric and natural gas customers in the state and will work closely with SAFR to coordinate electric and gas infrastructure modifications to support the designed project and further enhance critical infrastructure resiliency.

**Maintaining partner capacity and obtaining future capacity.** We have secured Partners with a wide array of diverse and overlapping capacities and expertise. This redundancy provides security, as well as great team depth and strength should Partner commitments change. All Partners are committed to this application and have incorporated one or more aspects of resilience to the impacts of severe weather, sea level rise and climate change into their core mission or programs. Moreover, the Applicant, DOH, has run a CDBG-DR program for the past three years, and will continue to do so if funds are awarded. In a Phase 2 application process, the State would engage additional partners particularly at the local level and in the private sector. Many of the Partners have existing contracts

with firms that could provide additional technical (i.e. engineering) expertise. For example, DOT has a pre-approved list of 135 consultants who could be used for engineering, design, and planning.

**Cost-benefit analysis.** Our Partners have extensive experience with various cost-benefit analytical (CBA) tools, and will be able to perform or contract for such analysis. DEMHS utilizes FEMA's BCA software to evaluate projects submitted to FEMA's Hazard Mitigation Assistance programs. DOT has an active Transportation Asset Management program with the capacity to inventory, inspect, monitor and prioritize facilities for maintenance and capital project programs. DOT routinely practices scenario planning including no-build alternatives, BCA and other advanced management techniques to constrain its ongoing work program to available revenue.

**Community engagement capacity.** DOH has a commitment to resident and community engagement with established programs detailed in an Action Plan and two substantial amendments for the CDBG-DR program. DOH and SAFR have engaged CIRCA, an institute dedicated to research and outreach for communities impacted by climate change, to support DOH's application and identify the communities most vulnerable to future hazards. CIRCA's Director of Community Engagement is coordinating the application team. The community engagement processes is being led by an AIA, LEED-AP nationally-recognized community design and developer who is working with the Yale UEDLAB and a multidisciplinary team of highly qualified scientists, practitioners and educators. All state agency partners, CCM and the regional councils of government, have extensive experience with community engagement and planning. Partners have extensive engagement experience through multiple projects including Rebuild by Design, local and international landscape architecture projects, rebuilding in New Orleans, national resilience charrettes and leading a Community Development Corporation that rehabilitated over 1,500 buildings.

**Process for incorporating community feedback.** Phase 2 would include the continued involvement of Phase 1 stakeholders; however, as the projects move closer to implementation

engagement would shift to direct engagement of community members, neighborhood associations, and municipalities. The process to identify unmet needs and means of addressing these needs includes: early and frequent consultation; documentation and response to comments and suggestions; participatory workshops. Many partners worked with Rebuild by Design in Bridgeport to engage the community through a variety of methods including the All Scales Workshop where leaders from more than 40 organizations, including many based in the impacted community, worked alongside a cadre of professionals developing proposals for resilient community development. This engagement model serve as a precedent for future engagement. DPH is exploring the potential to integrate a rapid Health Impact Assessment (HIA) into the community engagement process.

**Empowering community leaders.** DOH supports a number of initiatives to build community leadership, such as the CT Housing Coalition’s Connecticut Emerging Leaders Network and the Affordable Housing Academy. As an example, the Yale UEDLAB has worked for over four years with residents from Bridgeport’s vulnerable South End neighborhood to build, maintain and adapt a community-driven flood management and green infrastructure project in the floodplain. UConn’s Climate Adaptation Academy is educating officials about adaptation measures.

**Harmonizing contributions from diverse stakeholders.** The Partnership for Strong Communities has an extensive record of bringing together diverse constituencies to find solutions reaching beyond the specific interests of housing advocates, developers and human service providers typically involved in housing policy. Other partners, including the COGS, which provide regional planning support, have extensive experience with community development through participatory activities. This includes research and publication about the use of social media in community development, development of the first website used as a tool for community comment, and development of open house techniques that positively engage divergent voices.

**Regional and multi-governmental capacity.** DOH is the lead agency making all final allocations of funding; however, the DOH will coordinate and plan all projects with Partners, specifically those of the interagency task force SAFR, which was created for the purposes of this application. DOH and the SAFR representatives have extensive experience working on multi-agency projects and through public private partnerships including work specific to Sandy recovery. DOH and agency partners work on a statewide and regional basis and are approaching this proposal as an opportunity to develop best practices that can be applied strategically in other locations throughout the state, region, and nation, where appropriate. Many SAFR partners, including the Connecticut Council of Municipalities, the regional Councils of Governments, Partnership for Strong Communities, and Long Island Sound Study bring significant regional planning experience and are similarly working to replicate best practices regionally.

The State's proposed approach, detailed in Exhibit E, builds directly on the physical features shared among coastal communities. The approach details vulnerable coastal typologies, or common conditions that repeat along the state's coastline. The state's vulnerabilities have been framed in this way so that solutions can be more easily replicated and implemented in communities that may not have been as hard hit by Sandy, but are nevertheless highly vulnerable to the future storms.

The State has also considered how addressing vulnerabilities to climate change can be used to reduce economic disparities and improve opportunities for low- and moderate-income families using transit-oriented development with options for affordable housing as a means to improve economic resilience. By integrating climate resilience efforts into ongoing economic and community development initiatives will increase the state's ability there is a greater potential to address class-related disparities that exacerbate the vulnerabilities of low- and moderate-income families at risk in the floodplain.