

.S. Department of Housing and Urban Development  
Office of Public and Indian Housing

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# PHA Plans

5-Year Plan for Fiscal Years 2001 - 2006  
Annual Plan for Fiscal-Year 2001

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN  
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

## PHA Plan Agency Identification

**PHA Name:** Housing Authority of the City of New London

**PHA Number:** CT022

**PHA Fiscal Year Beginning: (mm/yyyy)** 01/2001

### Public Access to Information

**Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)**

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices

### Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices
- Main administrative office of the local government
- Main administrative office of the County government
- Main administrative office of the State government
- Public library
- PHA website
- Other (list below)

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- Main business office of the PHA
- PHA development management offices
- Other (list below)

**5-YEAR PLAN**  
**PHA FISCAL YEARS 2001 – 2005**  
[24 CFR Part 903.5]

**A. Mission**

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction. (select one of the choices below)

- The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.
- The PHA's mission is: (state mission here)

**B. Goals**

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAS ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the spaces to the right of or below the stated objectives.

**HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.**

- PHA Goal: Expand the supply of assisted housing  
Objectives:
- Apply for additional rental vouchers:
  - Reduce public housing vacancies:
  - Leverage private or other public funds to create additional housing opportunities:
  - Acquire or build units or developments
  - Other (list below)
- PHA Goal: Improve the quality of assisted housing  
Objectives:
- Improve public housing management: (PHAS score)
  - Improve voucher management: (SEMAP score)
  - Increase customer satisfaction:
  - Concentrate on efforts to improve specific management functions: (list; e.g., public housing finance; voucher unit inspections)

- Renovate or modernize public housing units:
- Demolish or dispose of obsolete public housing:
- Provide replacement public housing:
- Provide replacement vouchers:
- Other: (list below)

- PHA Goal: Increase assisted housing choices

Objectives:

- Provide voucher mobility counseling:
- Conduct outreach efforts to potential voucher landlords
- Increase voucher payment standards
- Implement voucher homeownership program:
- Implement public housing or other homeownership programs:
- Implement public housing site-based waiting lists:
- Convert public housing to vouchers:
- Other: (list below)

**HUD Strategic Goal: Improve community quality of life and economic vitality**

- PHA Goal: Provide an improved living environment

Objectives:

- Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
- Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
- Implement public housing security improvements:
- Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
- Other: (list below)

Provide alternative housing opportunities to residents of Thames River Apartments.

**HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals**

- PHA Goal: Promote self-sufficiency and asset development of assisted households

Objectives:

- Increase the number and percentage of employed persons in assisted families:

- Provide or attract supportive services to improve assistance recipients' employability:
- Provide or attract supportive services to increase independence for the elderly or families with disabilities.
- Other: (list below)

**HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans**

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing Objectives:
  - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:
  - Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
  - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
  - Other: (list below)

**Other PHA Goals and Objectives: (list below)**

**Annual PHA Plan**  
**PHA Fiscal Year 2001**  
[24 CFR Part 903.7]

**i. Annual Plan Type:**

Select which type of Annual Plan the PHA will submit.

**Standard Plan**

**Streamlined Plan:**

- High Performing PHA**
- Small Agency (<250 Public Housing Units)**
- Administering Section 8 Only**

**Troubled Agency Plan**

**ii. Executive Summary of the Annual PHA Plan**

[24 CFR Part 903.7 9 (r)]

The New London Housing Authority will be pursuing continued reorganization and capacity building in order to improve its performance under PHAS. The Authority continues to work to improve its SEMAP score. Further, the New London Housing Authority is beginning the process of demolition/disposition for the high-rise family development CT-022-001

**iii. Annual Plan Table of Contents**

[24 CFR Part 903.7 9 (r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection

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**Attachments**

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

**Required Attachments:**

- Admissions Policy for Deconcentration (Attachment A: Admissions and Continued Occupancy Policy.)
- FY 2001 Capital Fund Program Annual Statement
- Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

**Optional Attachments:**

- PHA Management Organizational Chart
- FY 2000 Capital Fund Program 5 Year Action Plan
- Public Housing Drug Elimination Program (PHDEP) Plan
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- Other (List below, providing each attachment name)

**Supporting Documents Available for Review**

Indicate which documents are available for public review by placing a mark in the "Applicable & On Display" column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair	5 Year and Annual Plans

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
	housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
	Section 8 rent determination (payment standard) policies <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
X	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
X	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service &

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
		Self-Sufficiency
	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
X	The most recent Public Housing Drug Elimination Program (PHEDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
X	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

## **1. Statement of Housing Needs**

[24 CFR Part 903.7 9 (a)]

### **A. Housing Needs of Families in the Jurisdiction/s Served by the PHA**

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being "no impact" and 5 being "severe impact." Use N/A to indicate that no information is available upon which the PHA can make this assessment.

<b>Housing Needs of Families in the Jurisdiction by Family Type</b>							
<b>Family Type</b>	<b>Overall</b>	<b>Afford-ability</b>	<b>Supply</b>	<b>Quality</b>	<b>Access-ibility</b>	<b>Size</b>	<b>Loca-tion</b>
Income <= 30% of AMI	1668	5	5	4	4	3	3
Income >30% but <=50% of AMI	1098	5	5	4	4	3	3
Income >50% but <80% of AMI	1695	3	2	3	4	3	3
Elderly	1160	4	3	4	4	3	3

<b>Housing Needs of Families in the Jurisdiction by Family Type</b>							
Family Type	Overall	Afford- ability	Supply	Quality	Access- ibility	Size	Loca- tion
Families with Disabilities	802	5	4	4	4	3	3
Race/Ethnicity B	4505	4	4	4	4	3	3
Race/Ethnicity A	875	4	4	4	4	3	3
Race/Ethnicity AI	194	4	4	4	4	3	3
Race/Ethnicity H	3459	4	4	4	4	3	3
Race/Ethnicity W	19773	3	3	3	4	3	3

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- Consolidated Plan of the Jurisdiction/s: City of New London  
Indicate year: 2000-2004
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data  
Indicate year:
- Other housing market study  
Indicate year: December 1999
- Other sources: (list and indicate year of information)

### **B. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists**

State the housing needs of the families on the PHA’s waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

<b>Housing Needs of Families on the Waiting List</b>
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### Housing Needs of Families on the Waiting List

Waiting list type: (select one)

- Section 8 tenant-based assistance
- Public Housing
- Combined Section 8 and Public Housing
- Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/subjurisdiction:

	# of families	% of total families	Annual Turnover
Waiting list total	271		
Extremely low income <=30% AMI	172	63.5%	
Very low income (>30% but <=50% AMI)	54	20%	
Low income (>50% but <80% AMI)	45	16.5%	
Families with children	181	66.8%	
Elderly families	2	1%	
Families with Disabilities	18	6.6%	
Race/ethnicity W	89	32.8%	
Race/ethnicity B	93	34.3%	
Race/ethnicity AI	5	1.8%	
Race/ethnicity A	3	1.1%	
Race/ethnicity H	72	26.5%	
Characteristics by Bedroom Size (Public Housing Only)			
1BR	86	31.7%	
2 BR	100	36.9%	
3 BR	76	28%	
4 BR	8	2.9%	
5 BR	1	0.3%	
5+ BR	N/A		

### Housing Needs of Families on the Waiting List

Is the waiting list closed (select one)?  No  Yes

If yes:

How long has it been closed (# of months)?

Does the PHA expect to reopen the list in the PHA Plan year?  No  Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed?  No  Yes

#### C. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list **IN THE UPCOMING YEAR**, and the Agency's reasons for choosing this strategy.

##### (1) Strategies

**Need: Shortage of affordable housing for all eligible populations**

**Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:**

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units
- Reduce time to renovate public housing units
- Seek replacement of public housing units lost to the inventory through mixed finance development
- Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)

**Strategy 2: Increase the number of affordable housing units by:**

Select all that apply

- Apply for additional section 8 units should they become available
- Leverage affordable housing resources in the community through the creation of mixed - finance housing
- Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- Other: (list below)

**Need: Specific Family Types: Families at or below 30% of median**

**Strategy 1: Target available assistance to families at or below 30 % of AMI**

Select all that apply

- Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
- Employ admissions preferences aimed at families with economic hardships
- Adopt rent policies to support and encourage work
- Other: (list below)

**Need: Specific Family Types: Families at or below 50% of median**

**Strategy 1: Target available assistance to families at or below 50% of AMI**

Select all that apply

- Employ admissions preferences aimed at families who are working
- Adopt rent policies to support and encourage work
- Other: (list below)

**Need: Specific Family Types: The Elderly**

**Strategy 1: Target available assistance to the elderly:**

Select all that apply

- Seek designation of public housing for the elderly
- Apply for special-purpose vouchers targeted to the elderly, should they become available
- Other: (list below)

**Need: Specific Family Types: Families with Disabilities**

**Strategy 1: Target available assistance to Families with Disabilities:**

Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- Affirmatively market to local non-profit agencies that assist families with disabilities
- Other: (list below)

**Need: Specific Family Types: Races or ethnicities with disproportionate housing needs**

**Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:**

Select if applicable

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- Other: (list below)

**Strategy 2: Conduct activities to affirmatively further fair housing**

Select all that apply

- Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- Market the section 8 program to owners outside of areas of poverty /minority concentrations
- Other: (list below)

**Other Housing Needs & Strategies: (list needs and strategies below)**

**(2) Reasons for Selecting Strategies**

Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:

- Funding constraints
- Staffing constraints
- Limited availability of sites for assisted housing
- Extent to which particular housing needs are met by other organizations in the community
- Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- Influence of the housing market on PHA programs

- Community priorities regarding housing assistance
- Results of consultation with local or state government
- Results of consultation with residents and the Resident Advisory Board
- Results of consultation with advocacy groups
- Other: (list below)

**2. Statement of Financial Resources**

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>1. Federal Grants (FY 2000 grants)</b>		
a) Public Housing Operating Fund	567,048	
b) Public Housing Capital Fund	219,962	
c) HOPE VI Revitalization	-	
d) HOPE VI Demolition	-	
e) Annual Contributions for Section 8 Tenant-Based Assistance	770,554	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	-	

a) Resident Opportunity and Self-Sufficiency Grants	-	
b) Community Development Block Grant	-	
c) HOME	-	
Other Federal Grants (list below)	-	
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>		
CIAP	374,036	As Defined in CIAP
6-J	111,000	As Defined by TARC
<b>3. Public Housing Dwelling Rental Income</b>	396,528	Operating expenses
<b>4. Other income (list below)</b>		
Interest Income	18,479	
Other Income	24,537	
<b>4. Non-federal sources (list below)</b>		
<b>Total resources</b>	2,482,144	

### **3. PHA Policies Governing Eligibility, Selection, and Admissions**

[24 CFR Part 903.7 9 (c)]

#### **A. Public Housing**

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

##### **(1) Eligibility**

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- When families are within a certain number of being offered a unit: (state number)
- When families are within a certain time of being offered a unit: (90 Days)

Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- Criminal or Drug-related activity
- Rental history
- Housekeeping
- Other (describe) Landlord References

c.  Yes  No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d.  Yes  No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e.  Yes  No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

## **(2)Waiting List Organization**

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- Community-wide list
- Sub-jurisdictional lists
- Site-based waiting lists
- Other (describe)

b. Where may interested persons apply for admission to public housing?

- PHA main administrative office
- PHA development site management office
- Other (list below)

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year? Two one for its mixed income development and one for the general occupancy properties

2.  Yes  No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?  
If yes, how many lists?

3.  Yes  No: May families be on more than one list simultaneously

If yes, how many lists? Section 8, Moderate Rental and Public Housing

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- PHA main administrative office
- All PHA development management offices
- Management offices at developments with site-based waiting lists
- At the development to which they would like to apply
- Other (list below) Development site manager's office

**(3) Assignment**

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- One
- Two
- Three or More

b.  Yes  No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

**(4) Admissions Preferences**

a. Income targeting:

- Yes  No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- Emergencies
- Overhoused
- Underhoused
- Medical justification
- Administrative reasons determined by the PHA (e.g., to permit modernization work)
- Resident choice: (state circumstances below)
- Other: (list below)

c. Preferences

1.  Yes  No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection **(5) Occupancy**)
2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)
- Natural Disaster
  - Public Action
  - Public Condemnation
  - Severe Medical Emergency

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

2 Date and Time

Former Federal preferences:

- 1 Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing

Homelessness  
High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

### **(5) Occupancy**

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- The PHA-resident lease
- The PHA's Admissions and (Continued) Occupancy policy
- PHA briefing seminars or written materials
- Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- At an annual reexamination and lease renewal
- Any time family composition changes
- At family request for revision
- Other (list)

### **(6) Deconcentration and Income Mixing**

a.  Yes  No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b.  Yes  No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

Adoption of site-based waiting lists  
If selected, list targeted developments below:

Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments  
If selected, list targeted developments below: CT-022-1

Employing new admission preferences at targeted developments  
If selected, list targeted developments below:

Other (list policies and developments targeted below)

d.  Yes  No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- Additional affirmative marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments
- Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
- Other (list below)
  - Opening of the Computer Center
  - Providing extra security
  - Flat Rents

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

Not applicable: results of analysis did not indicate a need for such efforts

List (any applicable) developments below:  
CT022-001

CT022-002

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

Not applicable: results of analysis did not indicate a need for such efforts

List (any applicable) developments below:

CT022-001

CT022-002

## B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B.

**Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

### (1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

Criminal or drug-related activity only to the extent required by law or regulation

Criminal and drug-related activity, more extensively than required by law or regulation

More general screening than criminal and drug-related activity (list factors below)

Other (list below):

Credit and Eviction Records through a Third Party Verifying

Agency

b.  Yes  No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

c.  Yes  No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d.  Yes  No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

Criminal or drug-related activity

Other (describe below)

**(2) Waiting List Organization**

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

- None
- Federal public housing
- Federal moderate rehabilitation
- Federal project-based certificate program
- Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

- PHA main administrative office
- Other (list below)

**(3) Search Time**

a.  Yes  No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below: If they do not find a suitable unit within 60 days

**(4) Admissions Preferences**

a. Income targeting

Yes  No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

b. Preferences

1.  Yes  No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence

- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

2 Date and Time

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- Date and time of application  
 Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for “residents who live and/or work in the jurisdiction” (select one)

- This preference has previously been reviewed and approved by HUD  
 The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- The PHA applies preferences within income tiers  
 Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

#### **(5) Special Purpose Section 8 Assistance Programs**

a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- The Section 8 Administrative Plan  
 Briefing sessions and written materials  
 Other (list below)

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- Through published notices  
 Other (list below)

### **4. PHA Rent Determination Policies**

[24 CFR Part 903.7 9 (d)]

#### **A. Public Housing**

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

#### **(1) Income Based Rent Policies**

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one)

- The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- \$0  
 \$1-\$25  
 \$26-\$50

2.  Yes  No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

c. Rents set at less than 30% than adjusted income

1.  Yes  No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?

2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

- For the earned income of a previously unemployed household member  
 For increases in earned income  
 Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

- Fixed percentage (other than general rent-setting policy)  
If yes, state percentage/s and circumstances below:
  - For household heads
  - For other family members
  - For transportation expenses
  - For the non-reimbursed medical expenses of non-disabled or non-elderly families
  - Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

- Yes for all developments
- Yes but only for some developments
- No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- For all developments
- For all general occupancy developments (not elderly or disabled or elderly only)
- For specified general occupancy developments
- For certain parts of developments; e.g., the high-rise portion
- For certain size units; e.g., larger bedroom sizes
- Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- Market comparability study
- Fair market rents (FMR)
- 95<sup>th</sup> percentile rents
- 75 percent of operating costs
- 100 percent of operating costs for general occupancy (family) developments
- Operating costs plus debt service
- The "rental value" of the unit
- Other (list below)

Based on the Percentage of the FMR

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- Never  
 At family option  
 Any time the family experiences an income increase  
 Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold) \_\_\_\_\_  
 Other (list below)  
Any Change in Family Composition

- g.  Yes  No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

**(2) Flat Rents**

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- The section 8 rent reasonableness study of comparable housing  
 Survey of rents listed in local newspaper  
 Survey of similar unassisted units in the neighborhood  
 Other (list/describe below)  
Fair Market Rents

**B. Section 8 Tenant-Based Assistance**

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

**(1) Payment Standards**

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR
- Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional families by lowering the payment standard
- Reflects market or submarket
- Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for families
- Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- Annually
- Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- Success rates of assisted families
- Rent burdens of assisted families
- Other (list below)

## **(2) Minimum Rent**

a. What amount best reflects the PHA's minimum rent? (select one)

- \$0
- \$1-\$25
- \$26-\$50

- b.  Yes  No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

## **5. Operations and Management**

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

### **A. PHA Management Structure**

Describe the PHA's management structure and organization.

(select one)

- An organization chart showing the PHA's management structure and organization is attached.
- A brief description of the management structure and organization of the PHA follows:

### **B. HUD Programs Under PHA Management**

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use "NA" to indicate that the PHA does not operate any of the programs listed below.)

<b>Program Name</b>	<b>Units or Families Served at Year Beginning</b>	<b>Expected Turnover</b>
Public Housing	225	60
Section 8 Vouchers	114	12
Section 8 Certificates	N/A	
Section 8 Mod Rehab	N/A	
Special Purpose Section 8 Certificates/Vouchers (list individually)	64	6
Public Housing Drug Elimination Program (PHDEP)	N/A	
Other Federal Programs(list individually)	N/A	

### **C. Management and Maintenance Policies**

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

- 1) Public Housing Maintenance and Management: (list below)
  - Admissions and Continued Occupancy
  - Procurement Policy
  - Rent Collections Policy
  - Personnel Policy
  - Public Housing Manager Manual (NAHRO)
  - Financial Management for Local Housing Authorities (NAHRO)
  - Occupancy Manual (NAHRO)
  
- 2) Section 8 Management: (list below)
  - Section 8 Administrative Plan
  - Section 8 Housing Choice Voucher Manual (Nan McKay)

### **6. PHA Grievance Procedures**

[24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

#### **A. Public Housing**

1.  Yes  No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)
- PHA main administrative office
  - PHA development management offices
  - Other (list below)

#### **B. Section 8 Tenant-Based Assistance**

1.  Yes  No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- PHA main administrative office  
 Other (list below)

## **7. Capital Improvement Needs**

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

### **A. Capital Fund Activities**

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

#### **(1) Capital Fund Program Annual Statement**

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template **OR**, at the PHA's option, by completing and attaching a properly updated HUD-52837.

Select one:

- The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment (state name) Component 7

-or-

- The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

#### **(2) Optional 5-Year Action Plan**

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template **OR** by completing and attaching a properly updated HUD-52834.

a.  Yes  No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)

b. If yes to question a, select one:

The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment (state name

-or-

The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

## **B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)**

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

Yes  No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)  
b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:

2. Development (project) number:

3. Status of grant: (select the statement that best describes the current status)

- Revitalization Plan under development
- Revitalization Plan submitted, pending approval
- Revitalization Plan approved
- Activities pursuant to an approved Revitalization Plan underway

Yes  No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?

If yes, list development name/s below:

The NLHA does plan on applying in 2002 for Hope VI funds.

Yes  No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?  
If yes, list developments or activities below:

Yes  No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?  
If yes, list developments or activities below:

### **8. Demolition and Disposition**

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1.  Yes  No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

The Housing Authority has a plan to begin training within the year.

#### 2. Activity Description

Yes  No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

<b>Demolition/Disposition Activity Description</b>
1a. Development name:
1b. Development (project) number:
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: (DD/MM/YY)
5. Number of units affected:
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity:

b. Projected end date of activity:

**9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities**

[24 CFR Part 903.7 9 (i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

1.  Yes  No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

2. Activity Description

Yes  No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

<b>Designation of Public Housing Activity Description</b>
1a. Development name: 1b. Development (project) number:
2. Designation type: Occupancy by only the elderly <input type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA’s Designation Plan <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved, submitted, or planned for submission: (01/09/00)
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected:

7. Coverage of action (select one)

Part of the development

Total development

## **10. Conversion of Public Housing to Tenant-Based Assistance**

[24 CFR Part 903.7 9 (j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

### **A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act**

1.  Yes  No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

Yes  No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset

U Management Table? If “yes”, skip to component 11. If “No”, complete the Activity Description table below.

<b>Conversion of Public Housing Activity Description</b>
1a. Development name: 1b. Development (project) number:
2. What is the status of the required assessment? <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one) <input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: <input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: ) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: ) <input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent <input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units <input type="checkbox"/> Other: (describe below)

**B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937**

**C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937**

**11. Homeownership Programs Administered by the PHA**

[24 CFR Part 903.7 9 (k)]

**A. Public Housing**

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1.  Yes  No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description  
 Yes  No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

<b>Public Housing Homeownership Activity Description (Complete one for each development affected)</b>
1a. Development name: 1b. Development (project) number:
2. Federal Program authority: <input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one) <input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)
5. Number of units affected: 6. Coverage of action: (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

## B. Section 8 Tenant Based Assistance

1.  Yes  No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

### 2. Program Description:

#### a. Size of Program

- Yes  No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- 25 or fewer participants  
 26 - 50 participants  
 51 to 100 participants  
 more than 100 participants

#### b. PHA-established eligibility criteria

- Yes  No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

## **12. PHA Community Service and Self-sufficiency Programs**

[24 CFR Part 903.7 9 (1)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

### A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

- Yes  No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? DD/MM/YY

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- Client referrals  
 Information sharing regarding mutual clients (for rent determinations and otherwise)  
 Coordinate the provision of specific social and self-sufficiency services and programs to eligible families  
 Jointly administer programs  
 Partner to administer a HUD Welfare-to-Work voucher program  
 Joint administration of other demonstration program  
 Other (describe)

**B. Services and programs offered to residents and participants**

**(1) General**

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- Public housing rent determination policies  
 Public housing admissions policies  
 Section 8 admissions policies  
 Preference in admission to section 8 for certain public housing families  
 Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA  
 Preference/eligibility for public housing homeownership option participation  
 Preference/eligibility for section 8 homeownership option participation  
 Other policies (list below)

b. Economic and Social self-sufficiency programs

- Yes  No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If "yes", complete the following table; if "no" skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use. )

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)
<i>Computer Learning Center</i>	<i>15-30</i>	<i>Random</i>	<i>Development Office</i>	<i>Public Housing and Others</i>
<i>Amateur Boxing Club</i>	<i>8-12</i>	<i>Random</i>	<i>Development Office</i>	<i>Public Housing and Others</i>

**(2) Family Self Sufficiency program/s**

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2001 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing	None	
Section 8	None	

b.  Yes  No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?

If no, list steps the PHA will take below:

- 1) Get Board approval for the Economic Self-Sufficiency Policy.

- 2) Hiring of a Resident Services Coordinator to handle resident issues.
- 3) Survey the residents to find those issues that need to be rectified.
- 4) Establish Resident Outreach program.
- 5) Establish a social program outreach schedule.
- 6) Develop a tracking procedure for the program.
- 7) Join in Cooperation Agreements with outside Agencies to develop the program.

### **C. Welfare Benefit Reductions**

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

### **D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937**

## **13. PHA Safety and Crime Prevention Measures**

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

### **A. Need for measures to ensure the safety of public housing residents**

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- Residents fearful for their safety and/or the safety of their children
- Observed lower-level crime, vandalism and/or graffiti
- People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- Other (describe below)

2. What information or data did the PHA use to determine the need for PHA actions to improve safety of residents (select all that apply).

- Safety and security survey of residents
- Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- Analysis of cost trends over time for repair of vandalism and removal of graffiti
- Resident reports
- PHA employee reports
- Police reports
- Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- Other (describe below)

3. Which developments are most affected? (list below)

**B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year**

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities
- Crime Prevention Through Environmental Design
- Activities targeted to at-risk youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program
- Other (Provide security force and improve relationship with local police department)

2. Which developments are most affected? (list below)

## CT022-001

### C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- Police provide crime data to housing authority staff for analysis and action
- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- Police regularly testify in and otherwise support eviction cases
- Police regularly meet with the PHA management and residents
- Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- Other activities (list below)

2. Which developments are most affected? (list below)

## CT022-001

### D. Additional information as required by PHDEP/PHDEP Plan

PHAs eligible for FY 2000 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- Yes  No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- Yes  No: Has the PHA included the PHDEP Plan for FY 2000 in this PHA Plan?
- Yes  No: This PHDEP Plan is an Attachment. (Attachment Filename: \_\_\_\_)

### **14. RESERVED FOR PET POLICY:** (See Attachments)

[24 CFR Part 903.7 9 (n)]

### **15. Civil Rights Certifications**

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

### **16. Fiscal Audit**

[24 CFR Part 903.7 9 (p)]

1.  Yes  No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?  
(If no, skip to component 17.)
2.  Yes  No: Was the most recent fiscal audit submitted to HUD?
3.  Yes  No: Were there any findings as the result of that audit?
4.  Yes  No: If there were any findings, do any remain unresolved?  
If yes, how many unresolved findings remain? \_\_\_\_\_
5.  Yes  No: Have responses to any unresolved findings been submitted to HUD?  
If not, when are they due (state below)?

## **17. PHA Asset Management**

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

1.  Yes  No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?
2. What types of asset management activities will the PHA undertake? (select all that apply)
  - Not applicable
  - Private management
  - Development-based accounting
  - Comprehensive stock assessment
  - Other: (list below)
    - Implementing a computerized inventory system
3.  Yes  No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

## **18. Other Information**

[24 CFR Part 903.7 9 (r)]

### **1) Resident Advisory Board Recommendations**

The New London Housing Authority has tried for a long time to start a Resident Advisory Board at Thames River Apartments (CT-022-1) to no avail. Residents were notified of the meeting about the PHA Plan but there was no interest on the part of residents. The NLHA has hired a Resident Service Coordinator in the past and they would spark some interest on the part of the residents but the Board wouldn't last long

due to personality conflicts along the residents, the person that was elected to the head of the board would drop out and interest would die, or for some other reason.  
The NLHA has just established a resident board at Williams Park Apartments (CT -022-2) for the first time in a long time and the credit lies on the shoulders of the residents for taking the time and patience to keep the interest in the organization going. The NLHA can not keep a RAB running without the dedication of the residents. A resident has been appointed to the Board of Commissioners of the Housing Authority for the past few years but the only residents who express any interest live on the state properties that Housing Authority also manages.

1.  Yes  No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s? (Note: meetings were held in each development and Section 8 participants)
  
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)  
 Attached at Attachment (File name)  
 Provided below:
  
3. In what manner did the PHA address those comments? (select all that apply)  
 Considered comments, but determined that no changes to the PHA Plan were necessary.  
 The PHA changed portions of the PHA Plan in response to comments  
List changes below:  
 Other: (list below)

## **B. Description of Election process for Residents on the PHA Board**

1.  Yes  No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)
  
2.  Yes  No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

### 3. Description of Resident Election Process

- a. Nomination of candidates for place on the ballot: (select all that apply)  
 Candidates were nominated by resident and assisted family organizations  
 Candidates could be nominated by any adult recipient of PHA assistance  
 Self-nomination: Candidates registered with the PHA and requested a place on ballot  
 Other: (describe)
  
- b. Eligible candidates: (select one)

- Any recipient of PHA assistance
- Any head of household receiving PHA assistance
- Any adult recipient of PHA assistance
- Any adult member of a resident or assisted family organization
- Other (list)

c. Eligible voters: (select all that apply)

- All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- Representatives of all PHA resident and assisted family organizations
- Other (list)

### **C. Statement of Consistency with the Consolidated Plan**

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: City of New London, Conn.

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
  - Continued maintenance of public housing stock
  - Improve security
  - Improve turnaround of vacant units
  - Outreach to local agencies
  - Expand services available for residents

Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

### **D. Other Information Required by HUD**

Use this section to provide any additional information requested by HUD.

**Certification for  
a Drug-Free Workplace**

U.S. Department of Housing  
and Urban Development

**HUD**

Applicant Name  
**NEW LONDON HOUSING AUTHORITY**  
Program/Activity Receiving Federal Grant Funding  
**OPERATING SUBSIDY**

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees—

- (1) The dangers of drug abuse in workplace;
- (2) The Applicant's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. 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 a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will —

1) Abide by the terms of the statement; and

2) 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;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d. (2) 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;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d. (2), with respect to any employee who is so convicted—

- 1) 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
- 2) 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;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

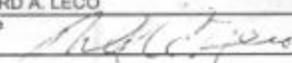
**2. Sites for Work Performance.** The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above; Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and the program/activity receiving grant funding.)

NEW LONDON HOUSING AUTHORITY      78 WALDEN AVENUE      NEW LONDON, CONNECTICUT 06320

Check here  if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.  
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official RICHARD A. LECO	Title EXECUTIVE DIRECTOR
Signature x 	Date 11/16/01

**Certification of Payments  
to Influence Federal Transactions**

U.S. Department of Housing  
and Urban Development  
Office of Public and Indian Housing

**HUD**

Applicant Name

NEW LONDON HOUSING AUTHORITY, 78 WALDEN AVENUE, NEW LONDON, CONNECTICUT 06230

Program/Activity Receiving Federal Grant Funding

OPERATING SUBSIDY

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence 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 an 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, the undersigned shall complete and submit Standard Form-LLL Disclosure Form to Report Lobbying, in accordance with its instructions.

3. The undersigned shall require that the language 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.

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 failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.  
Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.

(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

RICHARD A. LECO

Signature



Title

EXECUTIVE DIRECTOR

Date

11/16/01

Previous edition is obsolete.

Form HUD 80871 (3/98)  
ref. Handbooks 7417.1, 7475.13, 7485.1 & 7485.3



8. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
9. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
10. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low- or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
11. The PHA has submitted with the Plan a certification with regard to a drag free workplace required by 24 CFR Part 24, Subpart F.
12. The PHA has submitted with the Plan a certification with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Amendment and implementing regulations at 49 CFR Part 24.
13. For PHA Plan that includes a PHDEP Plan as specified in 24 CFR 761.21: The PHDEP Plan is consistent with and conforms to the "Plan Requirements" and "Grantee Performance Requirements" as specified in 24 CFR 761.21 and 761.23 respectively and the PHA will maintain and have available for review/inspection (at all times), records or documentation of the following:
  - Baseline law enforcement services for public housing developments assisted under the PHDEP plan;
  - Consortium agreement/s between the PHAs participating in the consortium and a copy of the payment agreement between the consortium and HUD (applicable only to PHAs participating in a consortium as specified under 24 CFR 761.15);
  - Partnership agreements (indicating specific leveraged support) with agencies/organizations providing funding, services or other in-kind resources for PHDEP-funded activities;
  - Coordination with other law enforcement efforts;
  - Written agreement(s) with local law enforcement agencies (receiving any PHDEP funds); and
  - All crime statistics and other relevant data (including Part I and specified Part II crimes) that establish need for the public housing sites assisted under the PHDEP Plan.
14. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
15. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
16. The PHA will provide HUD or the responsible entity any documentation that the Department needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58.
17. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
18. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
19. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
20. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments.).
21. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing

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22. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and attachments at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.

**NEW LONDON HOUSING AUTHORITY**

CT-022001

PHA Name

PHA Number

  
\_\_\_\_\_  
Signed/Dated by PHA Board Chair or other authorized PHA official

**Certification by State or Local Official of PHA Plans Consistency with  
the Consolidated Plan**

I, Richard M. Brown the City Manager certify  
that the Five Year and Annual PHA Plan of the New London Housing Authority is  
consistent with the Consolidated Plan of City of New London prepared  
pursuant to 24 CFR Part 91.

 12/24/01

Signed / Dated by Appropriate State or Local Official

**DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure.)

Approved by OMB  
0348-0046

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> <b>B</b> b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> <b>A</b> b. initial award c. post-award	<b>3. Report Type:</b> <input checked="" type="checkbox"/> <b>A</b> a. initial filing b. material change <b>For Material Change Only:</b> year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: NEW LONDON HOUSING AUTHORITY 78 WALDEN AVE. NEW LONDON, CT 06320  Congressional District, if known: 2ND	<b>5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:</b>  Congressional District, if known:	
<b>6. Federal Department/Agency:</b> DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT	<b>7. Federal Program Name/Description:</b> PUBLIC HOUSING CAPITAL FUND PROGRAM  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11.</b> Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the bar above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature:  Print Name: RICHARD LECO Title: EXECUTIVE DIRECTOR Telephone No. (860) 443-2851      Date: 12/27/01	
<b>Federal Use Only:</b>	Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)	

## Attachments

Use this section to provide any additional attachments referenced in the Plans.

### 1) Deconcentration Policy

It is the New London Housing Authority's policy to provide for deconcentration of poverty and encourage income mixing by bringing higher income families into lower income developments and lower income families into higher income developments. Toward this end, we will skip families on the waiting list to reach other families with lower or higher income. We will accomplish this in a uniform and non-discriminating manner.

The New London Housing Authority will affirmatively market our housing to all eligible income groups. Lower income residents will not be steered toward lower income developments and higher income people will not be steered toward higher income developments.

Prior to the beginning of each fiscal year, we will analyze the income levels of families residing in each of our developments and the income levels of the families on the waiting list. Based on this analysis, we will determine the level of marketing strategies and deconcentration incentives to implement.

## B) Operating Budget FYE 12/31/2001

Operating Budget		U.S. Department of Housing and Urban Development Office of Public and Indian Housing		HUD		
OMB Approval No. 2577-0026 (exp. 10/31/97)						
Public reporting burden for this collection of information is estimated to average 115 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600 and to the Office of Management and Budget, Paperwork Reduction Project (2577-0026), Washington, D.C. 20503. Do not send this completed form to either of the above addresses.						
a. Type of Submission <input type="checkbox"/> Original <input checked="" type="checkbox"/> Revision No. <u>2</u>		b. Fiscal Year Ending 12/31/01		c. No. of months (check one) <input checked="" type="checkbox"/> 12 mo. <input type="checkbox"/> Other (specify):		
d. Type of HUD assisted project(s) <input checked="" type="checkbox"/> PHA/NA-Owned Rental Housing <input type="checkbox"/> PHA Owned Mutual Help Homeownership <input type="checkbox"/> PHA/NA Leased Rental Housing <input type="checkbox"/> PHA/NA Owned Turnkey II Homeownership <input type="checkbox"/> PHA/NA Leased Homeownership						
e. Name of Public Housing Agency/Indian Housing Authority (PHA/IA) <b>NEW LONDON HOUSING AUTHORITY</b>						
f. Address (City, State, Zip Code) 78 WALDEN AVENUE NEW LONDON, CT 06320						
g. ACC Number NY 484		h. PAS/LOCCS Project No. CT022-001-01D		i. HUD Field Office HARTFORD, CT		
j. No. of Dwelling Units 225		k. No. of Unit Months Available <u>2490</u> <del>2700</del>		l. No. of Projects 2		
Requested Budget Estimates						
HUD Modifications						
PHA/NA Estimates						
HUD Modifications						
Line No.	Acct. No.	Description (1)	Actual Last Fiscal Yr. 2000 PUM (2)	Estimate or Actual Curr. Budget Yr. 2001 PUM (3)	Amount (to nearest \$10) PUM (4)	Amount (to nearest \$10) PUM (5)
<b>Homebuyers Monthly Payments for:</b>						
010	7710	Operating Expense				
020	7712	Earned Home Payments				
030	7714	Nonroutine Maintenance Reserve				
040	Total Break-Even Amount (sum of lines 010, 020, and 030)					
050	7716	Excess (or deficit) in Break-Even				
080	7750	Homebuyers Monthly Payments - Contra				
<b>Operating Receipts</b>						
070	3110	Dwelling Rental	146.58	156.37	161.25	435,375 <u>164.81</u>
080	3120	Excess Utilities	0.04	0.00		
090	3190	Nondwelling Rental				
100	Total Rental Income (sum of lines 070, 080, and 090)		146.62	156.37	161.25	435,375 <u>164.81</u>
110	3610	Interest on General Fund Investments	0.23	1.74	3.33	8,980 <u>3.40</u>
120	3690	Other Income	2.09	1.85	2.96	8,000 <u>3.03</u>
130	Total Operating Income (sum of lines 100, 110, and 120)		148.94	159.96	167.54	452,355 <u>171.35</u>
<b>Operating Expenditures - Administration:</b>						
140	4110	Administrative Salaries	26.77	35.58	37.25	100,562 <u>38.09</u>
150	4130	Legal Expense	6.52	5.63	5.28	14,260 <u>5.40</u>
160	4140	Staff Training			2.96	8,000 <u>3.03</u>
170	4150	Travel	0.6	0.56	0.81	2,190 <u>.83</u>
180	4170	Accounting Fees	1.33	2.94	1.42	3,840 <u>1.45</u>
190	4171	Auditing Fees	2.12	1.29	1.29	3,480 <u>1.32</u>
200	4180	Other Administrative Expenses	8.69	5.69	6.17	16,670 <u>6.31</u>
210	Total Administrative Expense (sum of line 140 thru line 200)		46.03	51.69	55.19	149,002 <u>56.44</u>
<b>Tenant Services:</b>						
220	4210	Salaries	0.03	2.22		
230	4220	Recreation, Publications and Other Services	0	0.19	0.37	1,000 <u>.38</u>
240	4230	Contract Costs, Training and Other		0.19	1.11	3,000 <u>1.14</u>
250	Total Tenant Services Exp. (sum of lines 220, 230, & 240)		0.03	2.60	1.46	4,000 <u>1.52</u>
<b>Utilities:</b>						
260	4310	Water	10.81	11.96	12.83	34,100 <u>12.92</u>
270	4320	Electricity	38.99	43.41	42.93	115,900 <u>43.90</u>
280	4330	Gas	36.8	40.11	55.03	148,580 <u>56.28</u>
290	4340	Fuel	0.41	0.41	0.87	1,800 <u>.68</u>
300	4350	Labor	10.00	11.48	11.85	32,000 <u>12.12</u>
310	4390	Other utilities expense				
320	Total Utilities Expense (sum of line 260 thru line 310)		97.01	107.37	123.10	332,380 <u>125.90</u>

*[Handwritten signature]*

NEW LONDON HOUSING AUTHORITY					Fiscal Year Ending 12/31/01			
Line No.	Acct. No.	Description (1)	Actuals Last Fiscal Yr. 2000 PUM (2)	Estimate or Actual Cur. Budget Yr. 2000 PUM (3)	Requested Budget Estimates			
					PHAWA Estimates		HUD Modifications	
					PUM (4)	Amount (to nearest \$10) (5)	PUM (6)	Amount (to nearest \$10) (7)
<b>Ordinary Maintenance and Operation</b>								
330	4410	Labor	67.41	69.48	72.48	195,695	74,13	
340	4420	Materials	30.72	33.07	25.93	70,000	24,52	
350	4430	Contract Costs	25.82	33.83	18.70	50,500	20,49	54,100
360	Total Ordinary Maint. & Operation Exp. (lines 330 to 350)		123.95	136.38	117.11	316,195	121,13	319,795
<b>Protective Services:</b>								
370	4460	Labor						
380	4470	Materials						
390	4480	Contract Costs						
400	Total Protective Services Exp. (sum of lines 370 to 390)							
<b>General Expense:</b>								
410	4510	Insurance	12.74	12.93	16.14	43,580	14,51	
420	4520	Payments in Lieu of Taxes	4.96	4.37	4.90	13,237	5,01	
430	4530	Terminal Leave Payments			3.70	10,000	3,79	
440	4540	Employee Benefit Contributions	36.85	37.78	38.37	103,600	35,23	93,000
450	4570	Collection Losses	0.36	3.33	2.96	8,000	3,03	
460	4590	Other General Expense						
470	Total General Expense (sum of lines 410 to 460)		54.91	58.41	66.08	178,417	63,57	167,817
480	Total Routine Expense (sum of lines 210, 250, 320, 360, 400, and 470)		321.93	356.43	362.96	979,994	368,56	972,994
<b>Rent for Leased Dwellings:</b>								
490	4710	Rents to Owners of Leased Dwellings						
500	Total Operating Expense (sum of lines 480 and 490)		321.93	356.43	362.96	979,994	368,56	972,994
<b>Nonroutine Expenditures:</b>								
510	4810	Extraordinary Maintenance	22.73	2.48	4.59	12,400	4,70	
520	7520	Replacement of Nonexpendable Equipment	0.16	5.53	5.22	14,100	5,74	
530	7540	Property Betterments and additions	0.00	0.00	4.93	13,320	5,05	
540	Total Nonroutine Expend. (sum of lines 510, 520, and 530)		22.89	8.01	14.75	39,820	15,49	
550	Total Operating Expenditures (sum of lines 500 and 540)		344.82	364.44	377.71	1,019,814	383,64	1,012,814
<b>Prior Year Adjustments:</b>								
560	8010	Prior Year Adjustments Affecting Residual Receipts		4.63				
<b>Other Expenditures:</b>								
570	Deficiency in Residual Receipts at End of Preceding Fiscal Year							
580	Total Operating Expenditures, including prior year adjustments and other expenditures (line 550 plus or minus line 560 plus line 570)		344.82	369.07	377.71	1,019,814	383,64	1,012,814
590	Residual Receipts (or Deficit) before HUD Contributions and provision for operating reserve (line 130 minus line 580)		(195.88)	(209.11)	(210.17)	(567,459)	(212,30)	(560,459)
<b>HUD Contributions:</b>								
600	8010	Basic Annual Contribution Earned - Leased Projects - Current Year						
610	8011	Prior Year Adjustments - (Debit) Credit						
620	Total Basic Ann. Contrib. (line 600 plus or minus line 610)							
630	8020	Contributions Earned - Op. Sub. - Cur. Yr. (before year-end adj)	220.29	213.22	235.46	635,743	238,63	629,983
640	Mandatory PFS Adjustments (net): 99 Utilities						(15,97)	(42,097)
650	Other (specify): 99 Rentals HUD ADJUSTMENT		0.00	0.00			(1,56)	(1,478)
660	Other (specify): PRORATION 99.5			(3.20)			(1,19)	(3,150)
670	Total Year-end Adjustments/Other (plus or minus lines 640 thru 660)		0.00	(3.20)			(19,70)	(46,717)
680	8020	Total Operating Subsidy-current year (line 630 plus or minus line 670)	220.29	210.02	235.46	635,743	220,93	583,266
690	Total HUD Contributions (sum of lines 620 and 680)		220.29	210.02	235.46	635,743	220,93	583,266
700	Residual Receipts (or Deficit)(sum of line 590 plus line 690) Enter here and on line 810		24.41	0.91	25.29	68,284	8,64	22,807



Name of PHA/HA NEW LONDON HOUSING AUTHORITY		Fiscal Year Ending 12/31/01		
Operating Reserve			PHA,HA Estimates	HUD Modifications
<b>Part I - Maximum Operating Reserve - End of Current Budget Year</b>				
740	2821	PHA/HA-Leased Housing - Section 23 or 10(c) 50% of Line 480, column 5, form HUD-52564	489,997	486,499

<b>Part II - Provision for and Estimated or Actual Reserve at Fiscal Yr. End</b>				
780	Operating Reserve at End of Previous Fiscal Year - Actual for FYE (date):		12/31/99	141,916
790	Provision for Operating Reserve - Current Budget Year (check one)			
	<input checked="" type="checkbox"/>	Estimated for FYE		
	<input type="checkbox"/>	Actual for FYE	12/31/00	14,863
800	Operating Reserve at End of Current Budget Year (check one)			
	<input checked="" type="checkbox"/>	Estimated for FYE		
	<input type="checkbox"/>	Actual for FYE	12/31/00	156,779
810	Provision for Operating Reserve - Requested Budget Year Estimated for FYE Enter Amount from Line 700		12/31/01	68,284
820	Operating Reserve at End of Requested Budget Year Estimated for FYE (Sum of Lines 800 and 810)		12/31/01	225,063
830	Cash Reserve Requirement - 20% of Line 480			195,999

Comments:

PHA/HA Approval Name RICHARD A. LECO  
Title EXECUTIVE DIRECTOR  
Signature *[Signature]* Date 11/16/01

Field Office Approval Name Steven C. Forath, Deputy Director  
Title Troubled Agency Recovery Center, FBI  
Signature *[Signature]* Date 11/30/01

Operating Budget  
 Schedule of Administration  
 Expenses Other Than Salary

U. S. Department of Housing  
 and Urban Development  
 Office of Public and Indian Housing

This reporting burden for the collection of information is estimated to average 118 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Office, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600 and to the Office of Management and Budget, Paperwork Reduction Project (2577-0026), Washington, D.C. 20503. Do not send this completed form to either of the above addresses.

Name of Housing Authority:		Locality:	Fiscal Year End:			
Housing Authority of the City of New London		New London	Connecticut December 31, 2001			
(1)	(2)	(3)	(4)	(5)	(6)	(7)
Description		CT 22-1 & 2	Section 8V	Moderate Rental	State Elderly	
1 Legal Expense (see Special Note in Instructions)	\$54,000	\$14,258	\$3,168	\$4,050	\$19,170	\$13,338
2 Training (list and provide justification)	\$13,000	\$8,000	\$3,000		\$1,000	\$1,000
3 Travel						
Trips to Conventions and Meetings (list and provide just.)	\$7,300	\$1,927	\$431	\$548	\$2,592	\$1,800
4 Other Travel:						
Outside Area of Jurisdiction	\$500	\$132	\$30	\$38	\$178	\$124
5 Within Area of Jurisdiction	\$500	\$132	\$30	\$38	\$178	\$124
6 Total Travel	\$8,300	\$2,191	\$490	\$623	\$2,947	\$2,050
7 Accounting - Provision by accountant based on work performed	\$2,480	\$2,840	\$688	\$874	\$2,520	\$1,560
8 Auditing - Provision by auditor based on work performed	\$990	\$3,480	\$322	\$425	\$1,482	\$974
9 Sundry						
Rental of Office Space	\$0	\$0	\$0	\$0	\$0	\$0
10 Publications	\$300	\$79	\$18	\$23	\$107	\$74
11 Membership Dues and Fees (list org. and amount)	\$1,800	\$475	\$108	\$135	\$639	\$448
12 Telephone, Fax, Electronic Communications	\$20,000	\$5,380	\$1,180	\$1,500	\$7,100	\$4,840
13 Collection Agent Fees and Court Costs	\$2,000	\$528	\$118	\$150	\$710	\$484
14 Administrative Services Contracts (list and provide just.)	\$9,000	\$3,378	\$531	\$675	\$3,195	\$2,223
15 Farms, Stationery and Office Supplies	\$13,000	\$3,168	\$758	\$900	\$4,260	\$2,964
16 Other Sundry Expenses (provide breakdown)	\$1,125	\$6,729	\$6,729	\$1,278	\$1,623	\$3,341
17 Total Sundry	\$2,125	\$6,729	\$6,729	\$1,278	\$1,623	\$3,341
18 Total Administration Expense Other Than Salaries	\$65,425	\$18,485	\$11,820	\$10,973	\$50,796	\$35,403

Line 2 Training

Section 8 Training/Certification (2)	\$2,000
PHM Training (2)	\$3,500
Finance Training (2)	\$3,000
PHAS Training (2)	\$1,500
Miscellaneous	\$2,000
<b>TOTAL</b>	<b>\$15,000</b>

Line 11 Membership Dues & Fees

NAHRO	\$1,000
CONN-NAHRO	\$390
NERC-NAHRO	\$125
Miscellaneous and Professional Mem	\$285
<b>TOTAL</b>	<b>\$1,800</b>

Line 3 Trips to Conventions and Meetings

NAHRO National Convention - Nashville	\$3,000
NAHRO Legislative Convention - Washington, D.C.	\$1,500
CT NAHRO - Conference	\$800
NERC NAHRO - Summer Conference	\$1,000
NERC NAHRO - Mid Winter Conference	\$1,000
<b>TOTAL</b>	<b>\$7,300</b>

Line 14 Administrative Services Contracts

Secretarial/Temporary Services	\$1,500
Office Equipment Maintenance Contr	\$7,500
<b>TOTAL</b>	<b>\$9,000</b>

Line 16 Other Sundry Expense

Computer Software and Technical	
Service & Supplies	\$8,000
Bond Administrative Fee	\$1,025
Offag-Printing	\$0-000
Postage	\$4,000
Miscellaneous	\$3,000
<b>TOTAL</b>	<b>\$16,025</b>

I, the best of my knowledge, all the information stated herein, as well as any information provided in the accompaniment herewith, is true and correct.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.

18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802

*Richard A. LeCo* 11/16/01  
 RICHARD A. LECO, EXECUTIVE DIRECTOR





**Operating Budget**

**U.S. Department of Housing  
and Urban Development**

Summary of Budget Data  
and Justifications

Office of Public and Indian Housing

OMB Approval No. 2577-0026 (Exp. 10/31/97)

Public Reporting Burden for this collection of information is estimated to average 0.75 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600 and to the Office of Management and Budget, Paperwork Reduction Project (2577-0026), Washington, D.C. 20503. Do not send this completed form to either of the above addressees.

Name of Local Housing Authority: NEW LONDON HOUSING AUTHORITY	Locality: NEW LONDON	Fiscal Year Ending: 12/31/01
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**Operating Receipts**

**Dwelling Rental:** Explain basis for estimate. For HUD-aided low-rent housing, other than Section 23 Leased housing, state amount of latest available total HA monthly rent roll, the number of dwelling units available for occupancy and the number accepted for the same month end. Cite HA policy revisions and economic and other factors which may result in a greater or lesser average monthly rent roll during the Requested Budget Year. For Section 23 Leased housing, state the number of units under lease, the PUM lease price, and whether or not the cost of utilities is included. If not included, explain method for payment at utility costs by HA and/or tenant.

Monthly Rent Roll as of: Dec. 31, <sup>2000</sup>~~2001~~ equals 32,373 divided by 200 occupied units = 161.40 per new form  
 times 1.03 Change Factor x 97% Occupancy Rate, equals \$161.25 times 2700 Unit Months Available  
 equals \$435,375

**Excess Utilities:** (Not for Section 23 Leased housing.) Check appropriate spaces in item 1, and explain "Other". Under item 2, explain basis for determining excess utility consumption. For example, Gas; individual check meters at OH-100-1, proration of excess over allowances at OH-100-2, etc. Cite effective date of present utility allowances. Explain anticipated changes in allowances or other factors which will cause a significant change in the total amount of excess utility charges during the Requested Budget Year.

1. Utility Services Surcharged: Gas  Electricity  Other  (Specify) \_\_\_\_\_

2. Comments

NONE

**Non-dwelling Rent:** (Not for Section 23 Leased Housing.) Complete item 1, specifying each space rented, to whom, and the rental terms. For example: Community Building Space - Nursery School - \$50 per month, etc. Cite changes anticipated during the Requested Budget Year estimated Non-dwelling Rental Income.

1.	Space Rented	To Whom	Rental Terms
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____

2. Comments

Interest on General Fund Investments: State Th                      Joint of present General Fund investment and the percentage of the General Fund  
 represents. Explain circumstances such as increased or decreased operating reserves, dwelling rent, operating expenditures, etc., which will  
 affect estimated average monthly total investments in the Requested Budget Year. Explain basis for distribution of interest income between  
 housing programs.

Estimated Cash Avail. for Investment of \$174,023 times Estimated Average T-Bill 5.13% 5.16

equals \$8,927 which is \$3.31 PUM tm 2,700 Unit Months  
8980 3.33 Available

Other Comments on Estimates of Oper. Receipts Give comments on all other significant sources of income which will present a clear  
 understanding of the HA's prospective Operating Receipts situation during the Requested Budget Year. For Section 23 Leased housing explain  
 basis for estimate of utility charges to tenants.

Laundry Income in the amount of: Gross Amt.  
\$4,000

PUM Equals \$8,000  
\$2.98 303

**Operating Expenditures**

**Summary of Staffing and Salary Data**

Complete the summary below on the basis of information shown on form HUD-52566, Schedule of All Positions and Salaries, as follows:

- Column (1) Enter the total number of positions designated with the corresponding account line symbol as shown in Column (1),  
 form HUD-52566.
- Column (2) Enter the number of equivalent full-time positions allocable to HUD-aided housing in management.  
 For Example, A HA has three "A-NT" positions allocable to mgmt. at the rate of 80%, 70%, and 50% respectively.  
 Thus, the equivalent full-time positions is two (8/10 + 7/10 + 5/10).
- Column (3) Enter the portion of total salary expense shown in Column (3) or (6), form HUD-52566, allocable to HUD-aided housing  
 in management other than Section 23 Leased housing.
- Column (4) Enter the portion of total salary expense shown in Column (3) or (10), form HUD-52566, allocable to Section 23  
 Leased housing in management.
- Column (5) Enter the portion of total salary expense shown in Column (3) or (7), form HUD-52566, allocable to Modernization  
 programs (Comprehensive Improvement Assistance Program or Comprehensive Grant Program).
- Column (6) Enter the portion of total salary expense shown in Column (3) or (9), form HUD-52566, allocable to Section 8 programs.

Note: The number of equivalent full-time positions and the amount of salary expense for all positions designated "M" on form HUD-52566  
 must be equitably distributed to account lines Ordinary Maintenance and Operation-Labor, Extraordinary  
 Maintenance Work Projects and Betterments and Additions Work Projects.

Account Line	Total Number of Positions (1)	Equivalent Full-Time Positions (2)	HUD-Aided Management Program Salary Expense			
			Ord. Maint. Management (3)	Modernization Programs (4)	Section 8 Programs (5)	PHDEP (6)
Administration-Non-technical Salaries (1)	<u>10.12</u>	<u>3.4</u>	<u>410,000</u>	<u>130,000</u>	<u>55,000</u>	
Administration-Technical Salaries (1)						
Ordinary Maintenance and Operation-Labor (1)	<u>19.50</u>	<u>6.84</u>	<u>400,000</u>	<u>150,000</u>		
Utilities-Labor (1)		<u>1.00</u>	<u>\$32,000</u>			
Tenant Services		<u>0.90</u>	<u>\$17,000</u>			
Extraordinary Maintenance Work Projects (2)						<u>\$0</u>
Betterments and Additions Work Projects (2)						

1. Carry forward to the appropriate line on HUD-52564, the amount of salary expense shown in Column (3) on the corresponding line above. Carry  
 forward to the appropriate line on HUD-52564 (Section 23 Leased Housing Budget) the amount of salary expense shown in Column (4) on the  
 corresponding line above.

2. The amount of salary expense distributed to Extraordinary Maintenance Work Projects and to Betterments and Additions Work Projects is to be  
 included in the cost of each individual project to be performed by the HA Staff, as shown on HUD-52567.

7. List all proposed new positions and all present positions to be abolished in the Requested Budget Year. Cite prior HUD concurrence in proposed staffing changes or present justification for such changes. Cite prior HUD concurrence in proposed salary increases for Administration Staff or give justification and pertinent comparability information. Cite effective date for current approved wage rates (form HUD-52158) and justify all deviations from these rates.

Travel, Publications, Membership Dues and Fees, Telephone and Sundry In addition to "Justification for Travel to Conventions and Meetings" shown on form HUD-52571, give an explanation of substantial Requested Budget Year estimated increases over the PUM rate of expenditures for these accounts in the Budget Year. Explain basis for allocation of each element of these expenses.

Refer to HUD-52571 (Administrative Expenses Other Than Salaries)

Utilities: Give an explanation of substantial Requested Budget Year estimated increases over the PUM rate of expenditures for each utility service in the current budget year. Describe and state estimated cost of each element of "Other Utilities Expense".

Refer to HUD-52722A

WATER.....\$34,100  
 ELECTRICITY.....\$115,900  
 NATURAL GAS.....~~8,000,000~~ 148,580  
 HEATING OIL.....\$ 1,800

Ordinary Maintenance and Operation - Give an explanation of substantial Requested Budget Year estimated PUM increases over the PUM rate of expenditures for materials in the Current Budget Year.

Materials Estimated at: \$70,000

Ordinary Maintenance and Operation - List each ordinary maintenance and operation service contracted for and give the estimated cost for each. Cite and justify new contract services proposed for the Requested Budget Year. Explain substantial Requested Budget Year increases over the PUM rate of expenditures for Contract Services in the Current Budget Year. If LMA has contract for maintenance of elevator cabs, give contract cost per cab.

Generator Maintenance	\$200	Security & Fire Alarm	\$2,300
Elevator Base	\$8,000	Truck & Equipment Repair	\$2,000
Elevator Additional	\$8,000	Office Cleaning	3,000
Pest Control	\$6,000		
Refuse Removal	\$22,000	TOTAL CONTRACTS:	<del>\$50,400</del>
Boiler Service & Heating Controls	\$1,000		54,100 ✓
Plumbing & Electrical	\$1,000		

Insurance: Give an explanation of substantial Requested Budget Year estimated increases in the PUM rate of expenditures for insurance over the Current Budget Year. Cite changes in coverage, premium rates, etc.

Fire and Extended Coverage	\$12,300
General Liability	\$15,700
Auto & Truck	\$3,000
Workman's Compensation	\$7,600
Boiler & Machinery	\$3,000
Public Official's Liability	\$2,000
Blanket Bond	\$75

TOTAL INSURANCE: \$43,575

Employee Benefit: List all Employee Benefit plans participated in. Give justification for all plans to be instituted in the Requested Budget Year for which prior HUD concurrence has not been given.

FICA:	7.65% X Total Payr \$327,000	equals:	\$27,311 per year ✓
Life, Health & Dental:	Total cost for the year (all programs): \$180,000 x .364	equals:	\$67,672 per year ✓
Retirement:	3.75% X Total Payr \$327,000	equals:	\$13,388 per year ✓
Unemployment:	1.30% times total \$15,000/person times 36 employees	equals:	\$10,260 per year ✓
	Unemployment Bond Assessment		\$5,093 per year ✓
	TOTAL BENEFITS:		\$102,695

Handwritten calculations:  
 $49,520 + 3,201 = 52,721$   
 $52,721 + 1,580 = 54,301$   
 $54,301 + 1,337 = 55,638$   
 $55,638 + 93,000 = 148,638$   
 $148,638 - 46,265 = 102,373$

\* CT 20-1 & 2 payroll as a percent of total

Collection Losses: State the number of tenants accounts receivable to be written off and the number and total amount of all accounts receivable for both present and vacated tenants as of the month in which the estimate was computed.

Estimate \$5,000 for the Requested Budget Year.

Extraordinary Maintenance, and Betterment and Addition: Cite prior HUD approval or give justification for each nonroutine work project included in the Requested Budget and for those for future years which make up the estimate on form HUD-52570. Justifying information incorporated on or attached to form HUD-52567 need not be repeated here.

See HUD 52567 (Schedule of Nonroutine Expenditures)

Contracts: List all contracts, other than those listed on page 3 of this form under Ordinary Maintenance & Operation (OMO). Cite the name of the contractor, type of contract, cost of contract, and contract period. Justification must be provided for all contract services proposed for the Requested Budget Year (RBY). Explain substantial RBY increases over the PUM rate of expenditure for these contracts in the Current Budget Year.

HUD

**PHA/IHA Board Resolution**  
Approving Operating Budget or Calculation of  
Performance Funding System Operating Subsidy

U.S. Department of Housing  
and Urban Development  
Office of Public and Indian Housing

OMB Approval No. 2577-0026  
(Exp. 6/30/2001)

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

This information is required by Section 6(C) (4) of the U.S. Housing Act of 1937. The information is the operating budget for the low-income housing program and provides a summary of proposed/budgeted receipts and expenditures, approval of budgeted receipts and expenditures, and justification of certain specified amounts. HUD reviews the information to determine if the operating plan adopted by the PHA and the amounts are reasonable and that the PHA is in compliance with procedures prescribed by HUD. Responses are required to obtain benefits. This information does not lend itself to confidentiality.

Acting on behalf of the Board of Commissioners of the below-named Public Housing Agency (PHA)/Indian Housing Authority (IHA), as its Chairman, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the Board's approval of (check one or more as applicable):

- Operating Budget Submitted on: \_\_\_\_\_ (date)
- Operating Budget Revision Submitted on: 11/17/2001
- Calculation of Performance Funding System Submitted on: \_\_\_\_\_
- Revised Calculation of Performance Funding System Submitted on: 11/17/2001

I certify on behalf of the: (PHA/IHA Name) NEW LONDON HOUSING AUTHORITY that:

1. All regulatory and statutory requirements have been met;
2. The PHA has sufficient operating reserves to meet the working capital needs of its developments;
3. Proposed budget expenditures are necessary in the efficient and economical operation of the housing for the purpose of serving low-income residents;
4. The budget indicates a source of funds adequate to cover all proposed expenditures;
5. The calculation of eligibility for Federal funding is in accordance with the provisions of the regulations;
6. All proposed rental charges and expenditures will be consistent with provisions of law;
7. The PHA/IHA will comply with the wage rate requirements under 24 CFR 968.110(e) and (f) or 24 CFR 905-120(C) and (d);
8. The PHA/IHA will comply with the requirements for access to records and audits under 24 CFR 968.110(f) or 24 CFR 905.120(g); and
9. The PHA/IHA will comply with the requirements for the re-examination of family income and composition under 24 CFR 960.209, 990.115 and 905.315.

I hereby certify that all the information stated within, as well as any information provided in the accompaniment herewith, is true and accurate.  
Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

M. JOHN STRAFACI  
Board Chairman's Name (type)

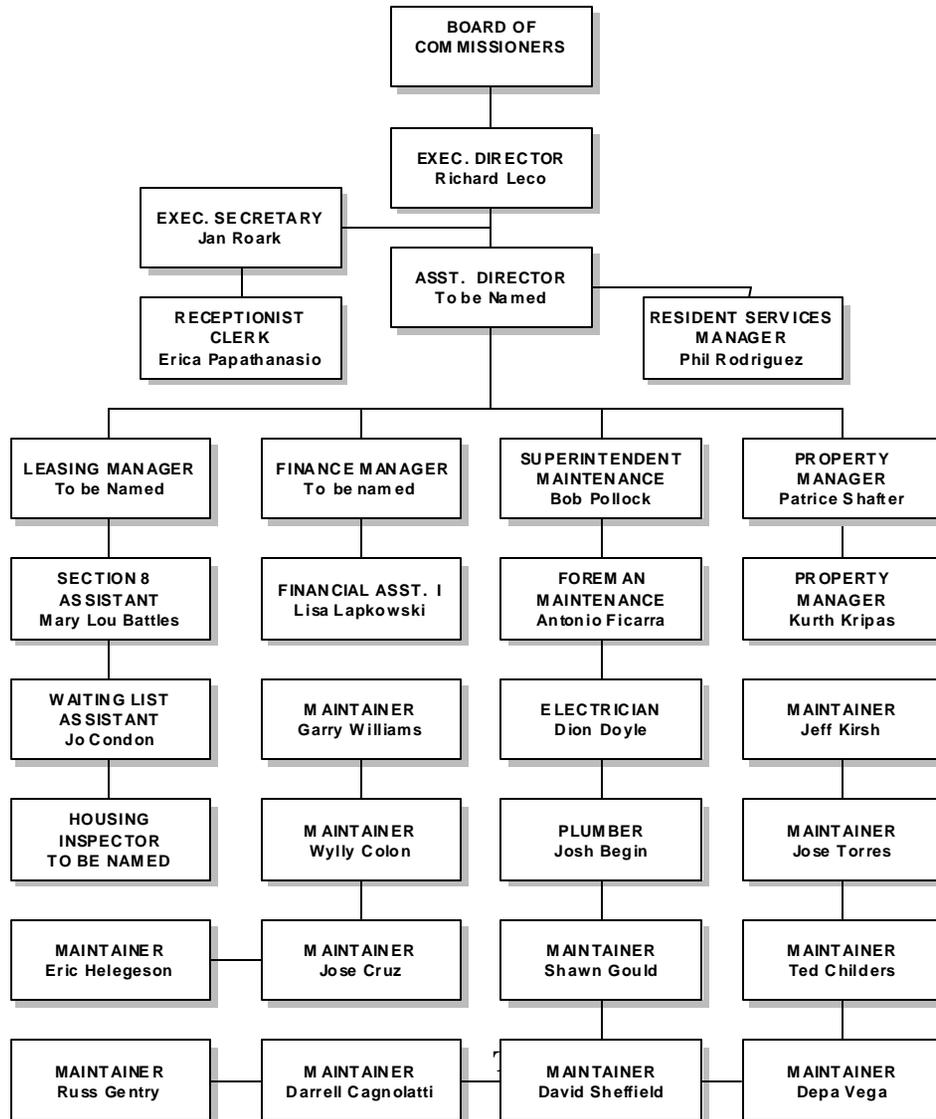
  
Signature

11/16/01  
Date

**Table Library**

## C) Organizational Chart

# NEW LONDON HOUSING AUTHORITY



**Table Library**

## D) Implementation of Resident Community Service Requirement

- 1) Development of a Written Description of the Community Service Requirement
- 2) Scheduled changes in the Lease
- 3) Written Notification to Residents of Exempt status to each adult member of the household
- 4) Establish Cooperative Agreements with TANF
- 5) Evaluate the programmatic aspects of the Community Service Requirement.

**Table Library**

## E) Pet Policy

### **Exclusions**

This policy does not apply to animals that are used to assist persons with disabilities. Assistive animals are allowed in all public housing facilities with no restrictions other than those imposed on all tenants to maintain their units and associated facilities in a decent, safe, and sanitary manner and refrain from disturbing their neighbors.

### **Approval**

Residents living in housing which has been designed for occupancy by elderly, near elderly, handicapped or disabled families may keep pets on the premises if they have executed a Pet Ownership and Responsibility Addendum to the Lease.

### **Size and Type of Pets**

Residents are permitted to own one common household pet in accordance with the following rules for keeping pets:

- 1) The types of pets shall be limited as follows:

One cat or dog per apartment at any one time.

Two small caged birds (canaries, parakeets, finches, etc.) per apartment at any one time. Birds must be confined to a cage at all times.

Aquariums may be no larger than 20 gallons and must be sealed against leakage.

No birds of prey or other dangerous species may be kept. No gerbils, hamsters, or other rodents and reptiles are permitted. Dog breeds that are allowed are those that are no more than 20 lbs. Full grown or more than 12" at full height.

### **Pet Deposit**

An Addendum to the Lease shall be executed and applicable pet deposit paid prior to the allowance of the pet on the premises. A pet deposit \$300 shall be required of all residents wishing to have a pet residing on the premises. The deposit is to cover potential damage by the pet and will be returned in part or in full depending on the cost of the damages incurred as a direct result of pet, as assessed by management at the time the resident vacates the premises.

### **Requirements**

- 1) Resident shall be required to show proof that his or her pet has been properly vaccinated for rabies, and that all local licensing requirements have been met. No pet shall be allowed on the premises if it has not been properly vaccinated. Resident must have his or her pet checked by a recognized veterinarian at least once a year to insure proper vaccination. Resident must bring license and proof of vaccination to the management office to be duly filed.
- 2) The resident will be solely responsible for maintenance of pet in healthy environment and shall insure that pet receives proper standard care and humane treatment. The pet shall be licensed and wear a collar which displays an identification tag. Pets shall be neutered or spayed prior to being allowed in the property.
- 3) All pets must be boarded in the unit and will not be allowed outdoors unless, it is accompanied by a resident or adult member of the household. The pet, when outdoors, shall be on a leash, no container. If pet is a bird, it shall be caged at all times both in the dwelling unit and outside. At no time will pets be allowed in the lobbies or common areas, except to enter or exit the premises.
- 4) A litter box will be utilized for cats. The litter box shall be changed twice weekly and disposed of in the area designated by the Authority. Litter must be separated daily. No animal waste may disposed of within the unit.
- 5) No pet shall be left unattended in the unit for a period of time in excess of sixteen (16) hours. If a pet is left unattended in excess of sixteen hours in the unit, then management reserves the right to enter the unit and remove the pet, and transfer it to the proper authorities at the expense of the resident or resident sponsor. Management is held harmless in such circumstances.
- 6) Pet owners are responsible for any disturbances on a consistent basis as a result of constant barking, whining, and scratching on the part of their pet.
- 7) Pets of family members and guests will not be allowed on the premises without prior written approval of management.
- 8) The resident indemnifies management for all claims regarding loss or personal injury caused by the resident's pet to any other resident, guest or employee in the building (s) or on the premises.
- 9) Any violation of the provisions contained herein will be construed as a health and safety violation and therefore be considered a breach of the Lease Agreement and subject to pet rule violation procedures.
- 10) If the resident becomes incapable of caring for the pet as outlined above, because of illness, incapacitation or death, management reserves the right to remove the pet from the premises.

- 11) Each resident requesting permission to bring a pet onto the premises must furnish two (2) sponsors to management. The sponsors will be responsible for the removal of the pet in case of emergency, illness or death of the resident. The sponsor shall be responsible for any expenses. Inability to furnish two sponsors shall result in ineligibility of the resident to have a pet on the premises.
- 12) Management shall enter each unit where a pet is kept within sixty (60) days after the signature of the Lease Addendum to determine that the pet and unit are being properly cared for. Resident shall not alter the unit in any way so as to accommodate the pet.

### **Pet Rule Violation Procedures**

- 1) Notice of pet rule violation. If the Authority determines on the basis of objective facts supported by written statements that a pet owner has violated a rule governing the owning and keeping of pets, the Authority may serve a written notice of pet rule violation on the pet owner. The notice must:
  - a) Contain a brief statement of the factual basis for the determination and the pet rules or rule alleged to be violated.
  - b) State that the pet owner has twenty (20) calendar days from the effective date of service of the notice to correct the violation or make a written request for a meeting to discuss the violation.
  - c) State that the pet owner is entitled to be accompanied by another person of his/her choice at the meeting.
  - d) State that the pet owner's failure to correct the violation, to request a meeting, or to appear at a requested meeting may result in initiation of procedures to terminate the pet owner's tenancy.
- 2) Pet rule violation meeting. If the pet owner makes a timely request for a meeting to discuss the alleged pet rule violation (within five days of the date of notice), the Authority shall establish a mutually agreeable date and location for the meeting within 15 calendar days of notification of the alleged violation. At the meeting, the pet owner and the Authority shall discuss any alleged pet rule violation and attempted to correct it.
- 3) Notice of Pet Removal. If the pet owner and the Authority are unable to resolve the pet rule violation at the meeting, or if the Authority determines that the pet owner has failed to correct the violation, the Authority may serve written notice to the pet owner to remove the pet. This notice shall contain a brief statement of the factual basis for the determination and the pet owner must remove the pet within ten (10) calendar days of the effective date of service of the notice of pet removal and state that failure to remove the pet may result in initiation of the procedures to terminate the pet owner's tenancy.

- 4) Initiation of the procedures to remove a pet or terminate the pet owner's tenancy. The Authority shall not initiate procedures to terminate a pet owner's tenancy based on a pet rule violation unless: the pet owner has failed to remove the pet or correct a violation within the stated time period; and the pet rule violation is sufficient to begin procedures to terminate tenancy under the terms of the Lease Agreement and applicable regulations.

# PHA Plan Table Library

## Component 7 Capital Fund Program Annual Statement Parts I, II, and II

### Annual Statement Capital Fund Program (CFP) Part I: Summary

Capital Fund Grant Number CT26P02250201 FFY of Grant Approval: (10/2000)

Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	-0-
2	1406 Operations	-0-
3	1408 Management Improvements	-0-
4	1410 Administration	33,000
5	1411 Audit	-0-
6	1415 Liquidated Damages	-0-
7	1430 Fees and Costs	27,000
8	1440 Site Acquisition	-0-
9	1450 Site Improvement	50,000
10	1460 Dwelling Structures	251,036
11	1465.1 Dwelling Equipment-Nonexpendable	13,000
12	1470 Nondwelling Structures	-0-
13	1475 Nondwelling Equipment	-0-
14	1485 Demolition	-0-
15	1490 Replacement Reserve	-0-
16	1492 Moving to Work Demonstration	-0-
17	1495.1 Relocation Costs	-0-
18	1498 Mod Used for Development	-0-
19	1502 Contingency	-0-
20	<b>Amount of Annual Grant (Sum of lines 2-19)</b>	374,036
21	Amount of line 20 Related to LBP Activities	-0-
22	Amount of line 20 Related to Section 504 Compliance	-0-
23	Amount of line 20 Related to Security	-0-
24	Amount of line 20 Related to Energy Conservation Measures	-0-

**Annual Statement**  
**Capital Fund Program (CFP) Part II: Supporting Table**

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost
PHA Wide	Administration	1410	\$33,000
PHA Wide	Fees and Costs	1430	\$27,000
CT-022-2 #5	New Perimeter Fencing	1450	\$50,000
CT-022-1 #1	Replace Damaged Heating and Plumbing	1460	\$64,000
CT-022-1 #2	Replace Electrical Panels	1460	\$64,000
CT-022-1 #3	New Mailbox Cubbies	1460	\$5,036
CT-022-2 #1	Repair Balconies	1460	\$6,000
CT-022-2 #2	Hallway Lighting Ceiling Lighting	1460	\$75,000
CT-022-2 #3	ADA Door Hardware Upgrade	1460	\$30,000
CT-022-2 #7	Stairwell Painting	1460	\$7,000
CT-022-2 #4	Air Intake/ Move Boilers	1465	\$8,000
CT-022-2 #6	Additional Security Cameras	1465	\$5,000

**Annual Statement  
Capital Fund Program (CFP) Part III: Implementation Schedule**

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Funds Expended (Quarter Ending Date)
CT-022-2 #1 #2 #3 #4 #5 #6 #7	12/31/2002 12/31/2002 12/31/2002 12/31/2002 12/31/2002 12/31/2002 12/31/2002	12/31/2003 12/31/2003 12/31/2003 12/31/2003 12/31/2003 12/31/2003 12/31/2003
CT-022-1 #1 #2 #3	12/31/2002 12/31/2002 12/31/2002	12/31/2003 12/31/2003 12/31/2003
PHA-Wide Activities	12/31/2002	12/31/2003

## Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

<b>Optional 5-Year Action Plan Tables</b>				
<b>Development Number</b>	<b>Development Name (or indicate PHA wide)</b>	<b>Number Vacant Units</b>	<b>% Vacancies in Development</b>	
CT-022-1	THAMES RIVER APARTMENTS	25	20%	
<b>Description of Needed Physical Improvements or Management Improvements</b>			<b>Estimated Cost</b>	<b>Planned Start Date (HA Fiscal Year)</b>
<b><u>Buildings A &amp; B</u></b>				
<b>1. Roof Systems</b> Repoint/Repair Open Joints On All Faces of Brick Chimney & Coat Refasten Aluminum Penthouse Cladding Miscellaneous Roofing Repairs			\$30,000 \$15,000 \$ 5,000 \$10,000	2002
<b>2. Windows</b> Provide Heavy Duty SS Security Screens Throughout			\$50,000 \$50,000	2002
<b>3. Concrete Frame</b> Repair Concrete Frame Elements Resurface Concrete Frame Elements Repair Concrete Sills Resurface Concrete Sills			\$255,000 \$ 90,000 \$125,000 \$ 25,000 \$ 15,000	2002
<b>4. Common Areas – Lobby, Corridors, Stairs</b> Provide New Entrance Vestibules Provide Toilet Rooms at Ground Floor Upgrade Handrails to Comply with Life Safety Code Replace Trash Chute Doors Replace Missing Wire Glass With Approval Glass in Rated Doors Clean & Paint Stairwells			\$220,000 \$60,000 \$30,000 \$72,000 \$24,000 \$ 4,000 \$30,000 \$31,000	2002
<b>5. ADA/Section 504 Compliance</b> Accessible Route			TBD \$15,000 \$16,000	2001

<b>5% or 5 Accessible Apartments</b>		
<b>2% or 2 Apartment for those with Hearing/Vision Disabilities</b>	<b>\$100,000</b>	<b>2002</b>
	<b>\$50,000</b>	
<b>6. Exterior Envelope</b>	<b>\$50,000</b>	
<b>Clean/Paint/Caulk Steel Lintels</b>		
<b>Repoint/Repair/Recaulk Brick Masonry Infill Panels</b>	<b>\$290,000</b>	<b>2002-2003</b>
	<b>\$260,000</b>	
<b>7. Abatement (Allowances)</b>	<b>\$ 30,000</b>	
<b>Abate Vinyl Floor Tile</b>		
<b>Abate Pipe Insulation</b>	<b>\$110,000</b>	<b>2002</b>
<b>8. HVAC System</b>	<b>\$42,000</b>	
<b>Replace Remaining Gas Burner &amp; Controls and Provide New Make-up Air Fan</b>	<b>\$36,000</b>	
	<b>\$ 6,000</b>	
<b>Replace Two (2) Make-up Air Handling Units, Including Controls &amp; Coil</b>	<b>\$26,000</b>	
<b>Replace Main Hot Water Circulating Pump, including Motor Clean Supply Air &amp; Exhaust Ductwork &amp; Repair/Replace Fans</b>	<b>\$57,000</b>	<b>2002</b>
	<b>\$36,000</b>	
<b>9. Plumbing System</b>	<b>\$ 6,000</b>	
<b>Replace A.O. Smith Domestic Hot Water Heating System &amp; Storage Tank With New System Using Indirect Water Heating Equipment</b>	<b>\$15,000</b>	
	<b>\$334,000</b>	<b>2002</b>
<b>Insulate Domestic Cold Water Piping In Tunnels</b>	<b>\$ 17,000</b>	
<b>Mag-O-Pure Test System to Clean Riser Piping</b>	<b>\$ 37,000</b>	
	<b>\$ 11,000</b>	
<b>10. Electrical System</b>	<b>\$ 29,000</b>	
<b>Building Panels Upgrade</b>	<b>\$192,000</b>	
<b>Apartment Panels Upgrade (33%) (See Capital Reserve Items)</b>	<b>\$ 30,000</b>	
<b>Exit Sign Replacement</b>	<b>\$ 18,000</b>	
<b>Emergency Lighting Replacement</b>		
<b>Fully Addressable Fire Alarm System</b>		
<b>Security Digital Camera System</b>	<b>N/K</b>	
<b>Upgrade 1<sup>st</sup> Floor Lighting</b>		
	<b>\$134,000</b>	<b>2002</b>
<b>11. Fire Protection System</b>	<b>\$90,000</b>	
<b>Needs to be reviewed by the Fire Marshall's Office</b>	<b>\$ 8,000</b>	
	<b>\$ 6,000</b>	
<b>12. Elevator Upgrade</b>	<b>\$30,000</b>	
<b>Fire Alarm Code Compliance Upgrade (recall, Comm., etc.)</b>		
<b>Door Restrictors</b>	<b>\$140,000</b>	<b>2002</b>
<b>Infrared Door Protection</b>	<b>\$ 16,000</b>	
<b>ADA Compliance</b>	<b>\$100,000</b>	
	<b>\$ 24,000</b>	
<b>13. Apartments</b>		
<b>Replace All Apartment Heating Control Valves</b>	<b>\$92,000</b>	<b>2002</b>

Provide Tub & Wet Wall Surrounds & Wet Wall Access	\$ 6,000	
Replace Shower Valves With Non-Scald Pressure Valves	\$25,000	
	\$ 1,000	
<b>14. Miscellaneous</b>	<b>\$50,000</b>	
Relocate Trash Compactor Controls & Phone Wire Box		
Provide New Trash Compactors	\$10,000	
Refasten Exterior Sill at Boiler Room		
Sitework Repairs & upgrades (Failing Retaining Wall, Pavement Separations & other Safety Hazards)	\$1,843,000	
Provide Roll-up Doors @ Trash Room	\$277,000	
	<b><u>\$2,120,000</u></b>	
Subtotal for the A&B Buildings		
Contingency @15%		
<b>A &amp; B Buildings</b>	<b>\$15,000</b>	<b>2002</b>
	\$8,000	
<b><u>Thames River Apts. Building C</u></b>	<b>\$2,000</b>	
	<b>\$5,000</b>	
<b>1. Roof Systems</b>		
Repoint/Repair Open Joints On all faces of Brick Chimney & Coat	\$20,000	2002
Refasten Aluminum Penthouse Cladding	\$20,000	
Miscellaneous Repairs	\$150,000	2002
	\$40,000	
<b>2. Windows</b>	<b>\$55,000</b>	
Provide Heavy Duty SS Security Screens Throughout	\$15,000	
	\$10,000	
<b>3. Concrete Frame</b>		
Repair Concrete Frame Elements	\$125,000	2002
Resurface Concrete Frame Elements	\$30,000	
Repair Concrete Sills	\$30,000	
Resurface Concrete Sills	\$36,000	
	\$12,000	
<b>4. Common Areas – Lobby, Corridors, Stairs</b>	<b>\$ 2,000</b>	
Provide New Entrance Vestibule	\$15,000	
Provide Toilet Rooms at Ground Floor		
Upgrade Stair Handrails to Comply With Life Safety Code	\$23,000	2001
Replace Trash Chute Doors	\$15,000	
Replace Missing Wire Glass With Approved Glass in Rated Doors	TBD	
Clean & Paint Stairwells	\$ 8,000	
	\$50,000	2002
<b>5. ADA/Section 504 Compliance</b>	<b>\$25,000</b>	
Accessible Route	\$25,000	
5% or 2 Accessible Apartments		
2% or 1 Apartment for those with Hearing/Vision Disabilities	\$120,000	2002

	<b>\$105,000</b>	
<b>6. Exterior Envelope</b>	<b>\$ 15,000</b>	
Clean/Paint/Caulk Steel Lintels		
Repoint/Repair/Recaulk Brick Masonry	<b>\$34,000</b>	<b>2002</b>
	<b>\$18,000</b>	
<b>7. Abatement (Allowances)</b>	<b>\$16,000</b>	
Abate Vinyl Floor Tile		
Abate Pipe Insulation	<b>\$4,000</b>	<b>2002</b>
	<b>\$4,000</b>	
<b>8. HVAC System</b>		
Replace Make-up Air Handling Unit, including Controls & Coil	<b>\$154,000</b>	<b>2002</b>
Clean Supply Air & exhaust Ductwork & Repair/Replace Fans	<b>\$ 9,000</b>	
	<b>\$11,000</b>	
<b>9. Plumbing System</b>	<b>\$ 5,000</b>	
Insulate Domestic Cold Water Piping in Tunnels	<b>\$11,000</b>	
	<b>\$96,000</b>	
<b>10. Electrical System</b>	<b>\$12,000</b>	
Building Panels Upgrade	<b>\$10,000</b>	
Apartment Panels Upgrade (33%) (See Capital Reserve Items)		
Exit Sign Replacement		
Emergency Lighting Replacement		
Fully Addressable Fire Alarm System		
Security Digital Camera System	<b>\$45,000</b>	<b>2002</b>
Upgrade 1 <sup>st</sup> Floor Lighting	<b>\$30,000</b>	
	<b>\$ 3,000</b>	
<b>11. Fire Protection System</b>	<b>\$ 2,000</b>	
Fire Marshall Assessment	<b>\$10,000</b>	
<b>12. Elevator Upgrade</b>	<b>\$44,000</b>	<b>2002</b>
Fire Alarm Code Compliance Upgrade (recall, comm., etc.)	<b>\$ 8,000</b>	
Door Restrictors	<b>\$28,000</b>	
Infrared Door Protection	<b>\$ 8,000</b>	
ADA Compliance		
	<b>\$784,000</b>	
<b>13. Apartments</b>	<b>\$118,000</b>	
Replace All Apartment Heating Control Valves		
Provide Tub & wet wall Surrounds & wet wall Access	<b><u>\$902,000</u></b>	
Replace Shower valves with Non-Scald Pressure Valves		
	<b><u>\$3,022,000</u></b>	
<b>Subtotal for C Building</b>		
<b>Contingency @15%</b>		
<b>Thames River – Building C</b>	<b>\$195,000</b>	
<b>Grand Total For Thames River Apartments</b>	<b>\$156,000</b>	
	<b>\$ 21,000</b>	

<p style="text-align: center;"><b>Thames River Apartments – Building A, B, and C – Capital Reserve Items</b></p> <p><b>1. Common Areas</b>  <b>Clean &amp; Paint Common Areas on All Floors</b>  <b>Replace Common Area Doors All Floors</b>  <b>Replace Damaged &amp; Missing Radiator Covers</b></p> <p><b>2. Elevators</b>  <b>New Controller, Transformer, Ripple Filter, Hoist-way Wiring, Door Operators &amp; Door Equipment, Hall Buttons, Car Operating Panels, Fire-Service Features</b></p> <p><b>3. Plumbing Systems</b>  <b>Repair/Replace Damaged Piping &amp; Valves in Tunnels &amp; Risers</b></p> <p><b>4. Electrical System</b>  <b>Apartment Panels (67%)</b>  <b>Replace Damaged Conduit &amp; Junction Boxes in Tunnels</b>  <b>Telephone Upgrade</b></p> <p style="text-align: center;"><b>Capital Reserve Total  Thames River – Building A, B, C</b></p>	<p style="text-align: right;"><b>\$300,000</b></p> <p style="text-align: right;"><b>\$158,000</b></p> <p style="text-align: right;"><b>\$102,000</b>  <b>\$ 38,000</b>  <b>\$ 75,000</b></p> <p style="text-align: right;"><b>\$1,045,000</b></p>	
<p><b>Total estimated cost over next 5 years</b></p>	<p style="text-align: right;"><b>\$ 4,067,000</b></p>	

<b>Optional 5-Year Action Plan Tables</b>				
<b>Development Number</b>	<b>Development Name (or indicate PHA wide)</b>	<b>Number Vacant Units</b>	<b>% Vacancies in Development</b>	
CT-022-2	WILLIAMS PARK APARTMENTS	9	9%	
<b>Description of Needed Physical Improvements or Management Improvements</b>			<b>Estimated Cost</b>	<b>Planned Start Date (HA Fiscal Year)</b>
<p style="text-align: center;"><b>1. Roof Systems</b> 2 Year Old Roof with 25 year Total System Warranty</p> <p style="text-align: center;"><b>2. Windows</b> New Windows have been carried as a long term Capital Reserve Item.</p> <p style="text-align: center;"><b>3. Balconies</b> Carried to Item number Below</p> <p style="text-align: center;"><b>4. Common Areas</b> Upgrade Corridor Finishes Replace All Trash Chute Doors Concrete Restoration @ Balconies Coat Balcony Concrete Elements Upgrade Lounges &amp; Balconies on Floors 3, 5, 7 &amp; 9 New Lounge Furniture Replace Balances in Stairway Windows Clean &amp; Paint Stairwells</p> <p style="text-align: center;"><b>5. ADA/Section 504 Compliance</b> Accessible Route 5% or % Accessible Apartments 2% or 2 Apartments for those with Hearing/Vision Disabilities</p> <p style="text-align: center;"><b>6. Exterior Envelope</b> Clean/Paint/Caulk Steel Lintels Repair/Recaulk Synthetic Stucco Finish</p> <p style="text-align: center;"><b>7. Abatement (Allowances)</b> Abate Vinyl Floor Tile</p> <p style="text-align: center;"><b>8. HVAC System</b> Clean Exhaust Ductwork &amp; Repair/Replace Fans Provide Make-up Air @ Boiler &amp; HW Heating System</p>			<p style="text-align: right;"><b>\$222,000</b></p> <p style="text-align: right;"><b>\$120,000</b></p> <p style="text-align: right;"><b>\$ 8,000</b></p> <p style="text-align: right;"><b>\$ 8,000</b></p> <p style="text-align: right;"><b>\$ 8,000</b></p> <p style="text-align: right;"><b>\$ 25,000</b></p> <p style="text-align: right;"><b>\$ 20,000</b></p> <p style="text-align: right;"><b>\$ 15,000</b></p> <p style="text-align: right;"><b>\$ 18,000</b></p> <p style="text-align: right;"><b>\$26,000</b></p> <p style="text-align: right;"><b>\$10,000</b></p> <p style="text-align: right;"><b>TBD</b></p> <p style="text-align: right;"><b>\$16,000</b></p> <p style="text-align: right;"><b>\$60,000</b></p> <p style="text-align: right;"><b>\$30,000</b></p> <p style="text-align: right;"><b>\$30,000</b></p> <p style="text-align: right;"><b>\$200,000</b></p> <p style="text-align: right;"><b>\$200,000</b></p> <p style="text-align: right;"><b>\$26,000</b></p> <p style="text-align: right;"><b>\$16,000</b></p> <p style="text-align: right;"><b>\$10,000</b></p>	

	<b>\$45,000</b>
<b>9. Plumbing System</b>	
Replace Locinvar Domestic Hot Water Heating System & Storage Tank with New System using Indirect Water Heating Equipment	<b>\$45,000</b>
	<b>\$250,000</b>
	<b>\$12,000</b>
<b>10. Electrical System</b>	<b>\$40,000</b>
Building Panels Upgrade	<b>\$22,000</b>
Apartment Panels Upgrade (33%) (See Capital reserve)	<b>\$10,000</b>
Emergency Lighting Replacement	<b>\$96,000</b>
Exit Sign Replacement	<b>\$30,000</b>
Fully Addressable Fire Alarm System	<b>\$12,000</b>
Security Digital Camera System	<b>\$28,000</b>
Upgrade 1 <sup>st</sup> Floor Lighting	
Replace Damage Call for Aid Equipment & Wiring	
<b>11. Fire Protection System</b>	
The Building is Sprinkled	<b>\$15,000</b>
	<b>\$ 3,000</b>
<b>12. Elevator Upgrade</b>	<b>\$ 2,000</b>
Door Restrictors	<b>\$10,000</b>
Infrared Door Protection	
ADA Compliance	<b>\$169,000</b>
	<b>\$ 24,000</b>
<b>13. Apartments</b>	<b>\$120,000</b>
Replace Shower Valves with Non-Scald Pressure Valves	<b>\$ 25,000</b>
Provide VCT Flooring Over Existing & New Base	
Upgrade Kitchen Drawer Tracks	<b>\$220,000</b>
	<b>\$150,000</b>
<b>14. Miscellaneous</b>	<b>\$ 20,000</b>
Site Improvements (Walls, Fencing & Landscaping)	<b>\$ 30,000</b>
Repair Fountain	<b>\$ 20,000</b>
Miscellaneous Site Upgrades	
Provide New Trash Compactor	
	<b>\$1,233,000</b>
	<b>\$</b>
<b>Subtotal Williams Park Apartments</b>	<b>185,000</b>
<b>Contingency 15%</b>	
	<b><u>\$1,418,000</u></b>
<b>Total Estimate Williams Park</b>	
<b>Williams Park Apartments – Capital Reserve Items</b>	
	<b>\$200,000</b>
<u>Windows</u>	
Provide New Aluminum Windows & Storefronts	
	<b>\$15,000</b>
<u>Common Areas</u>	

Table Library

Replace Door Knobs With Lever Locksets		
<b><u>Elevators</u></b>		
New Controller, Transformer, Ripple Filter, Hoist-way wiring, Door Operators & Door Equipment, Hall Buttons, Car Operating Panels, Fire-Service Features		<b>\$200,000</b>
<b><u>Apartments</u></b>		
Kitchen Replacement		<b>\$250,000</b>
Replace Unit Entry & Bathroom Doorknobs with Lever Locksets		<b>\$ 65,000</b>
		<b>\$108,000</b>
<b><u>Plumbing Systems</u></b>		
Repair/Replace deteriorating Copper Piping in 1 <sup>st</sup> Floor Ceiling & at Plumbing Risers. Trouble Shooting Allowance - \$8,000 Materials/Labor Allowance - \$100,000		
		<b>\$80,000</b>
<b><u>Electrical System</u></b>		
Apartment Panels (67%)		<b>\$450,000</b>
<b><u>HVAC System</u></b>		
Cost of changing from electric heat to Hydronic Heating		
		<b>\$1,368,000</b>
<b>Capital Reserve Total Williams Park</b>		<b><u>\$1,368,000</u></b>
<b>Total estimated cost over next 5 years</b>		<b>\$2,786,000</b>



# HOUSING AUTHORITY OF THE CITY OF NEW LONDON (CT)

## ADMISSIONS AND CONTINUED OCCUPANCY POLICY

February 2000

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Adopted:

March 28, 2000



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## POLICY ON ADMISSIONS AND CONTINUED OCCUPANCY

### 1. GENERAL STATEMENT OF MISSION, NONDISCRIMINATION AND PRIVACY

It is the intent of the Housing Authority of the City of New London (hereinafter referred to as HACNL or the Housing Authority) to provide safe, decent housing for lower income tenants and families which is conducive to healthful living. HACNL will not discriminate because of race, color, gender, sexual preference, religion, age, disability, ancestry, national origin, marital, familial status or lawful source of income in the leasing, rental, or other disposition of housing or related facilities (including property) included in any housing development(s) under its jurisdiction covered by a contract for annual contribution under the United States Housing Act of 1937, as amended or with the State of Connecticut or in the use or occupancy thereof.

It is the policy of HACNL to comply fully with Title VI of the Civil Rights Act of 1964, Title VIII and Section 3 of the Civil Rights Act of 1968, amended by the Community Development Act of 1974, Executive Order 11063, Section 504 of the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, the Americans with Disability Act, and any other legislation protecting the individual rights of tenants, applicants, or staff, which may subsequently be enacted.

The Housing Authority shall not automatically deny admission to any particular group or category of otherwise eligible families nor will any criteria be applied, or information be considered, pertaining to attributes or behavior that may be imputed by some to a particular group or category. All criteria applied and information considered in administering this policy shall relate solely to the attributes and behavior of the individual members of the household.

It is also the policy of HACNL to guard the privacy of individuals in accordance with the Privacy Act of 1974, and to ensure the protection of individuals' records maintained by HACNL. Therefore, the Housing Authority shall not disclose any personal information (including, but not limited to information on any disability) contained in its records to any person or agency unless the individual about whom the information is requested gives written consent to such disclosure, or as required by law. This privacy policy in no way limits HACNL's ability to collect such information as it may need to determine eligibility, compute rent, or determine the applicant's suitability for tenancy.

HACNL is committed to identifying and eliminating situations which create barriers to equal housing for all. In accordance with the Americans with Disability Act and Section 504 of the Rehabilitation Act of 1973 as amended, HACNL will make such procedural, administrative, locational, or physical changes as will reasonably accommodate persons with disability and which do not impose an unreasonable burden either administratively or financially on the Housing Authority.

## II. ELIGIBILITY FOR ADMISSION

### A. Eligibility Criteria

It is the policy of HACNL to admit only eligible applicant families according to the following criteria:

1. Those who qualify as a family, single person, elderly person, near-elderly person displaced person or remaining adult member of a tenant family. (See Appendix C- Glossary of Terms.)
2. *Annual Income.* Those whose annual income at the time of admission does not exceed the income limits or guidelines as prescribed by HUD for federally-assisted housing or the State of Connecticut for state housing. A copy of the most current income limits or guidelines shall be conspicuously posted at HACNL locations.

For the state moderate rental program, those who pass the required economic viability test as established by HACNL and conspicuously posted at HACNL locations.

3. Those whose members age 6 or older have been issued a Social Security Number (SSN) and have disclosed it to the satisfaction of HACNL. Where a SSN has not been assigned, certification to that effect must be executed.
4. Those whose members are U.S. Citizens or noncitizens who have eligible immigration status.
5. Those whose household composition is appropriate for the housing types and unit sizes available in HACNL developments in accordance with the occupancy standards outlined herein. (For definition of housing type, see Appendix C - Glossary of Terms).
6. Those who do not maintain another residence in addition to HACNL unit.
7. Those whose members have not committed fraud in connection with any Federal Housing Assistance program.
8. Those whose members have not been evicted from public housing, Indian Housing, Section 23, or any Section 8 program because of drug-related criminal activity for a three-year period beginning the date of the eviction.
9. Those who meet or exceed the tenant selection criteria outlined in this Policy.

10. Those who have been convicted of manufacturing or producing methamphetamine (commonly referred to as **Aspeed®**) on the premises of a public housing project and any household that includes any individual who is subject to a lifetime registration requirement under a state sex offender registration program are denied admission for life.

**B. Ineligibility Because of Prior Drug-Related Activity**

1. Drug-related criminal activity is the illegal manufacture, sale, distribution, use or possession with intent to manufacture, sell, distribute or use a controlled substance. Pursuant to federal law, persons evicted from public housing, Indian housing, Section 23, or any Section 8 program because of drug-related criminal activity are ineligible for admission to public housing at HACNL for a three-year period beginning on the date of such eviction.
2. Applicants are denied admission for life who have been convicted of manufacturing or producing methamphetamine (commonly referred to as **Aspeed®**) on the premises of a public housing project. Premises is defined as the building or complex in which the dwelling is located, including common areas and grounds.
3. HACNL may waive at its sole discretion this restriction if the applicant can demonstrate to the satisfaction of HACNL that:
  - 1) the person successfully completed a rehabilitation program approved by HACNL, or
  - 2) the circumstance(s) leading to the eviction no longer exists. For example, the person involved in drugs and responsible for the eviction is no longer part of the household; and
  - 3) the person is committed to being drug-free and not participating in drug-related criminal activity as evidenced by executing an addendum imposing reasonable additional lease restrictions such as enrollment in a local drug rehabilitation approved by HACNL as may be deemed necessary by HACNL to guarantee the health, safety and welfare of other residents.

**C. Screening Out Illegal Drug Users and Alcohol Abusers**

1. HACNL will prohibit the admission to public housing of any person who the HA determines is illegally using a controlled substance.
2. HACNL will also prohibit admitting any person to public housing in cases where HACNL determines that there is reasonable cause to believe that the person abuses

alcohol in a way that may interfere with the health, safety, or right to peaceful enjoyment of the premises by other residents.

3. HACNL may at its sole discretion waive the policies prohibiting admission in these circumstances if the person demonstrates to the HA's satisfaction that:
  - 4) the person is no longer engaging in illegal use of a controlled substance or abuse of alcohol, and
  - 5) has successfully completed a supervised drug or alcohol rehabilitation program;
  - 6) has otherwise been rehabilitated successfully; or
  - 7) is participating in a supervised drug or alcohol rehabilitation program, as verified by an authority from such program.

D. Eligibility Restrictions Regarding Noncitizens

1. As required by HUD (24 CFR 5 subpart E), eligibility for assistance or continued assistance under a Section 214 program, such as public housing, is contingent upon a family's submission of documentation either declaring U.S. citizenship or eligible immigration status. HACNL will require both current tenants and applicants to submit the required citizenship or eligible immigration documentation for every household member in order to receive or continue to receive housing assistance. Documentation will be required of all new admissions at the time an application is processed by the Housing Authority. Any current tenant who has not already provided documentation will be required to document citizenship or immigration status at the next reexamination. It is necessary to provide this information only one time for each family member during continued occupancy at HACNL. Whenever a new family member is added, documentation must be provided before the new member can be added to the lease.
2. *Proof of citizenship will take the following form:*
  - 1) For families claiming U.S. citizenship, each applicant or tenant family member will sign the citizenship declaration form and present appropriate documentation (such as U.S. passport, resident alien card, social security card, or other appropriate documentation), which will become a permanent part of the tenant file. Adults will be required to sign on behalf of all children under the age of eighteen years.
  - 2) Noncitizens age 62 years or older who are current tenants or applicants will be required to sign a declaration of eligible immigration status and proof of age.

- 3) Tenants and applicants who are noncitizens declaring eligible immigration status must:
  - 1) sign a declaration of eligible immigration status;
  - 2) provide the required U.S. Immigration and Naturalization Service documents, such as Alien Registration Receipt Card, Arrival/Departure Record, Temporary Resident Card, Immigration and Naturalization Service (INS) receipt in the event of any lost or missing cards listed above; and
  - 3) sign a verification consent form.
3. HACNL has the right to deny, terminate or adjust housing assistance if members of any household are found to be noncitizens with ineligible immigration status; however, this determination will not take place until all appeal rights requested have been exercised by the household. HACNL may grant time extensions to provide appropriate information, provided that the household shows a diligent effort in obtaining immigration status documents.
4. HACNL may not make assistance available to a family applying for assistance until at least the eligibility of one family member has been established, and assistance must be prorated based on the number of individuals in the family for whom eligibility has been affirmatively established.
5. HACNL may not delay, deny, reduce or terminate eligibility of an individual for assistance on the basis of the immigration status of the individual. The family will not be penalized for delays on the part of those entities which must verify eligible immigration status.
6. Continued assistance provided to an eligible mixed family after November 29, 1996 will be prorated based on the percentage of family members that are eligible for assistance.
7. HACNL is required to suspend assistance to a family for a period of at least 24 months upon determining that the family has knowingly permitted an ineligible individual to reside on a permanent basis in the family's unit. This provision does not apply if the ineligible individual has already been considered in calculating any proration of assistance for the family.
8. If HACNL discovers that citizenship information provided is expired, fraudulent, or otherwise invalid, it will notify the family or individual of the results of these findings. The family or individual will then have 30 days from the date of the notification to file an appeal with the INS to correct the problem. The family or individual must provide

the Housing Authority a copy of the appeal request to the INS, which will become a permanent item in the tenant file. HACNL can extend this 30 day appeal period at its sole discretion if good cause is found.

9. Any applicant or resident family affected by these provisions has the right to a formal appeal provided the family notifies HACNL within 30 days of the action or decision the family wishes to appeal. All appeals will be conducted in accordance with the provisions of HACNL's Grievance Procedure.
10. In accordance with Federal rules, mixed families who were living in HACNL's units on June 19, 1995, are permitted to receive continued assistance provided that either the head of household or spouse have eligible immigration status and any ineligible family members are either the head, spouse, parents, or children of the head or spouse.
11. Families who were living in units operated by HACNL on June 19, 1995 but became ineligible for housing assistance because there are no family members with eligible immigration status may be given a temporary deferral of assistance to transfer to other housing at the discretion of the Housing Authority. If the temporary assistance is provided, it will be offered in six month increments and never for longer than a total of 18 months. The maximum period for deferrals granted prior to November 29, 1996 will be three years.
12. Families that no longer qualify for housing assistance due to their citizenship status may apply for prorated assistance to decrease the level of housing assistance provided to the household based on the ratio of eligible and ineligible persons in the household.
13. Rental housing assistance is prohibited to noncitizen students and their families. None of the provisions of the rules related to prorated assistance, continued assistance, or temporary deferral of termination of assistance applies to noncitizen students. This prohibition does not include citizen spouses and their children.

E. Verification and Documentation

1. Applicants may not become residents until the documentation is provided and verified. The applicant will retain their position on the waiting list during this period. The applicant will be given a reasonable time, subject to the circumstances, to furnish the documentation before losing their place on the waiting list and the time may be extended, if such circumstances requires an extension. The decision will be made by a HACNL representative and documented, in writing, and placed in the applicant file.
2. Additional documentation that may be required in determining eligibility includes:

- \$ Temporary Assistance to Needy Families (TANF)
- \$ Birth Certificate, or Drivers License that displays the date of Birth and/or form(s) that are issued by a Federal, State, City or County Agency that displays the date of Birth
- \$ Child Care Verification
- \$ Credit References (History)
- \$ Credit Bureau Reports
- \$ Employer's Verification
- \$ Landlord Verification
- \$ Social Security Benefits
- \$ Assets Verification
- \$ Bank Accounts: Checking Accounts-\$500 + Balance Savings Accounts - \$100 + Balance

3. *Marriage Certificate*: If a marriage certificate is not available the following information is acceptable:

- \$ Drivers License that displays the same address and last names.
- \$ Federal Tax Forms that indicate that the family filed taxes as a married couple during the last tax reporting period.
- \$ Other acceptable forms of documentation of marriage would include any document that has been issued by a Federal, State, City of County Government and indicates that the individuals are living as a married couple. Couples that are considered married under common law can provide the same information, as listed above, to document that they are living together as a married couple.
- \$ The couple also certifies in their application for housing that they are married.

4. *Personal References*: Personal references (not family) may be used when an applicant cannot produce prior rental history records.

5. Separation means the ending of co-habitation by mutual agreement. If an applicant is divorced or separated and has children by that spouse, applicant must provide at least one of the verifications listed below:

- 1) A FINAL divorce decree. (Applies to individuals who are divorced and are not separated and is the only documentation accepted for individuals that are divorced).
- 2) Receiving court-ordered child support from former spouse.
- 3) Verification that applicant is pursuing child support through Department of Human Resources, Child Support Unit or Circuit Clerks Office.

- 4) If applicant is receiving personal child support, then applicant can make arrangements to have the child support paid through the court system, either through the circuit clerks office, Department of Human Resources, or through a court referee.
- 5) Receiving TANF (Temporary Assistance to Needy Families) through the Department of Human Resources for former spouse's children.
- 6) A notarized statement from current landlord (not family) verifying that the current landlord knows that the applicant and spouse have not lived together for the last six (6) months or more.
- 7) Income tax statements from both husband and wife indicating both filed income taxes separately the last year and that they filed from different addresses.
- 8)
  - (i) Written statement from Lawyer that applicant has filed suit for divorce because of physical abuse, agencies, social service agencies.
  - (ii) A written statement from an abuse shelter, law enforcement agency, social service agencies that applicant needs housing due to physical abuse.
  - (iii) Food stamp verification - If no other documentation is available.
6. If applicant is divorced or separated from a person and has no children by that person, applicant must provide at least one of the verifications listed below:
  - 9) A FINAL divorce decree. (Applies to individuals who are divorced and are not separated and is the only documentation accepted for individuals that are divorced)
  - 10) A notarized statement from current landlord (not family) verifying that the current landlord knows the` at the applicant and spouse have not lived together for the last six (6) months or more.
  - 11) Income tax statements from both husband and wife indicating both filed income taxes separately the last year and that they filed from different addresses.
  - 12)
    - (i) Written statement from Lawyer that applicant has filed suit for divorce because of physical abuse, agencies, social service agencies.
    - (ii) A written statement from an abuse shelter, law enforcement agency, social service agencies that applicant needs housing due to physical abuse.
  - 13) Food Stamp Verification - If no other documentation is available.

7. Families are required to provide Social Security Numbers (SSN) for all family members age 6 and older prior to admission, if they have been issued SSN by the Social Security Administration. All members of the family defined above must either:

- 1) Submit SSN documentation; or
- 2) Sign a certification if they have not been assigned a SSN. If the individual is under 18, the certification must be executed by his or her parent or guardian. If the participant who has signed a certification form obtains a SSN, it must be disclosed at the next regularly scheduled reexamination, or next rent change.

Verification will be done through the providing of a valid Social Security card issued by the Social Security Administration

- 3) HACNL will accept copies of the Social Security card only when it is necessary to verify by mail the continuing eligibility of participants families.
- 4) If an applicant or tenant cannot provide his or her Social Security card, other documents listed below showing his or her Social Security Number may be used for verification. He or she may be required by the Authority to provide one or more of the following alternative documents to verify his or her SSN, until a valid Social Security card can be provided;

These documents include:

- \$ Drivers license, that displays the SSN.
- \$ Identification card issued by a Federal, State or local agency
- \$ Identification card issued by an employer or trade union
- \$ Identification card issued by a medical insurance company
- \$ Earnings statements or payroll stubs
- \$ Bank statements
- \$ IRS Form 1099 or W-2 Form
- \$ Benefit award letters from government agencies
- \$ Medicaid Cards
- \$ Unemployment benefit letter
- \$ Life insurance policies
- \$ Court records such as real estate, tax notices, marriage and divorce, judgment or bankruptcy records
- \$ Verification of Social Security benefits with the Social Security Administration

- 5) If the Authority verified Social Security benefits with the Social Security Administration, the acceptance of the SSN by the Social Security Administration may be considered documentation of its validity.
- 6) Employer Identification Number (EIN).

F. Special Eligibility Provisions Relating to Applicants Requiring a Live-In Aide

Some applicants and tenants who would not otherwise be able to fully discharge the responsibilities of tenancy may be able to do so with the assistance of a live-in aide residing in the unit. When an applicant or tenant can provide documentation to the satisfaction of the Housing Authority that a live-in aide is required and available, the following provisions shall apply:

1. The live-in aide must submit information as requested and be reviewed by HACNL staff for eligibility under the Tenant Selection Criteria of this policy. If HACNL determines an individual proposed as a live-in aide to be ineligible, the tenant or applicant may propose an alternate live-in aide for screening or may appeal HACNL's determination as provided in the Informal Review Procedure (Appendix B).
2. *Unit Size Consideration.* The applicant or tenant and the live-in aide may each be allocated a separate bedroom.
3. The primary tenant is responsible for all acts of all household members with respect to the requirements of the dwelling lease. Any violation of lease provisions by the live-in aide may be cause for eviction of the household.
4. The live-in aide does not have rights to continue in occupancy as a remaining member of a household.

G. Tenant Selection Criteria

1. The applicant household must meet the Tenant Selection Criteria established by HACNL to protect the rights and needs of the public housing communities for a decent, safe and livable environment. It is necessary to deny admission to public housing to those applicants whose habits and practices may be expected to have a detrimental effect on the tenants, the environment of the development or financial stability of the property.
2. *General Requirements.* The burden is on the applicant to demonstrate to the satisfaction of HACNL that the applicant family is:

- 4) Willing to reliably discharge the financial obligations of renting a unit; and
  - 5) Willing to maintain the unit in a healthy, safe and secure condition; and
  - 6) Willing to live peaceably with neighbors in a residential community; and
  - 7) Willing to accept and abide by the terms of the lease agreement, attachments, addenda and all house rules; and
  - 8) Willing to provide the Housing Authority with accurate and complete information on the application form or any other form or document required to determine initial eligibility, preference status, and continued occupancy for public housing. Failure or refusal to comply or provision of falsified information is grounds for a determination of ineligibility and for termination of tenancy and eviction.
3. *Documentation.* The following information related to an applicant's potential future habits or practices will be used to determine if the applicant meets HACNL's selection criteria:

- 1) The applicant's acceptable past performance in meeting financial obligations, especially rent and utilities. Positive or neutral references from the current landlord and prior landlords from the past five years (or longer if needed to get a minimum of two prior landlords) and neutral or better credit reports, together may constitute adequate evidence that the applicant household meets this criteria.

In determining an applicant's ineligibility based on a previous history of non-payment of rent, the Housing Authority will consider whether:

- B** The applicant was residing in a substandard unit and was withholding rent payments pending repairs in a manner consistent with local ordinances; or
  - B** The record of nonpayment or frequent late payment was due to the applicant being required to pay excessive rent relative to his/her income and the applicant demonstrated responsible efforts to resolve the nonpayment problem.
- 2) The applicant, members of the applicant household, guests or visitors do not have a record of disturbance of neighbors or destruction of property. Acceptable landlord references, personal references and police and court record reports showing that no household member, guest or visitor engages in

these types of activities, together may constitute adequate evidence that the household meets this criteria.

- 3) The applicant or members of the applicant household does not have a record of housekeeping practices which may adversely affect the health, safety or welfare of others, or cause damage to HACNL property. Acceptable landlord references or satisfactory or better home visit rating may constitute adequate evidence that the household meets this criteria.
- 4) The applicant or any member of the applicant household does not have a record of criminal activity or drug-related criminal activity on the part of any household member which would adversely affect the health, safety or right to peaceful enjoyment of others. This includes, but is not limited to, crimes of physical violence and violence to property. Court and police record reports showing that no household member has a record of such activity may constitute adequate evidence that the household meets this criteria.
- 5) The applicant or any member of the applicant household is not a former tenant of a public housing authority, or a former participant in a Section 8 program who had a record of lease violations or whose tenancy was terminated by the Housing Authority or private landlord. No previous tenant may be readmitted unless all previous amounts owed have been paid to a public housing authority; but payment of such debt does not necessarily entitle an applicant to eligibility under this section unless HACNL has agreed in writing to grant eligibility upon payment of amounts due.
- 6) The applicant is willing to accept and comply with the terms of the lease agreement and other related documents. Acceptable landlord references and a satisfactory or better home visit rating may constitute adequate evidence that the household meets this test.
- 7) The applicant has lived responsibly on his/her own or has the maturity necessary to do so. Indicators of maturity may include, but are not limited to: the applicant's school attendance record, handling of finances (such as bill payment) and holding a job or other community responsibility (such as volunteer work).
- 8) The applicant has not misrepresented or falsified any information related to eligibility, preference status, selection criteria or income and has provided all information requested and required by HACNL. If at any time during the tenant selection process it is determined that the household has provided information which is false or misleading, or has failed to supply HACNL with any information or documentation required, the applicant household will be considered to have failed this criteria.

- 9) There is no reasonable cause to believe that any member of the applicant household has exhibited a pattern of illegal use of a controlled substance or a pattern of abuse of alcohol which interfered with the health, safety, or right to peaceful enjoyment of the premises by other residents. Acceptable landlord references, personal references and court and police record reports showing that no household member has exhibited these patterns may constitute adequate evidence that the household meets this criteria.

In evaluating applicant families under this criteria, HACNL may consider information which demonstrates to the satisfaction of the Housing Authority that the person is no longer engaging in illegal use of a controlled substance or abuse of alcohol and:

- S has successfully completed a supervised drug or alcohol rehabilitation program;
- S has otherwise been rehabilitated successfully; or
- S is participating in a supervised drug or alcohol rehabilitation program.

- j) There is no evidence relating to previous habits or practices which indicated that the applicant or any member of the applicant household would likely have a detrimental effect on the public housing community if admitted.

4. *Verification Procedures.* HACNL may use the following procedures to verify if the applicant meets the tenant selection criteria:

- 1) *References from Landlords and Prior Landlords.* HACNL will obtain references from current and prior landlords for the past five years (or longer if needed to get a minimum of two prior landlords), if any, and places great importance on the information obtained from these references as prior landlords have relationships with prospective tenants that are similar to the relationship to be established with HACNL.

HACNL will attempt to check court records for evidence of evictions or judgments against members of the household. References from landlords who are related by blood or marriage are generally considered to be insufficient. In addition, HACNL may schedule and perform a home visit and/or attempt to interview the current housing provider and others who are familiar with the behavior and abilities of household members.

- 2) *Home Visits.* HACNL staff will perform a home visit for applicants for whom landlord references of acceptable credibility and quality are not available. The purpose of the Home Visit is to obtain information to be used in determining whether the applicant household meets certain of HACNL's tenant selection criteria and will consider the following:
  - (i) Condition of entrance ways, halls and yards.
  - (ii) Cleanliness in each room used by the household, including rooms shared with other households, if applicable.
  - (iii) General care of furniture, appliances, fixtures, windows, doors and cabinets.
  - (iv) Evidence of destruction of property.
  - (v) Evidence of unauthorized occupants.
  - (vi) Evidence of criminal activity.
  - (vii) Conditions inconsistent with the information supplied in any application or other document submitted by the household.

Applicants will be given at least two days' advance verbal notice of the home visit.

If the results of the home visit indicate tenant-caused health or safety hazards, tenant-caused damages, or housekeeping practices leading to infestation by pests or other tenant-caused conditions or practices which would diminish the applicant's ability to meet HACNL's lease obligations, the applicant household will be considered to have failed HACNL's tenant selection criteria.

- c) *Police and Court Records Check.* HACNL will obtain or have the applicant obtain police and court records for all adult members of the applicant family for evidence of behavior which is relevant to the tenant selection criteria outlined herein.
  - d) *Credit Reports.* HACNL may obtain credit reports on all adult family members to determine the household's history of meeting financial obligations, especially rent and utilities. Lack of credit history will not, in itself, cause an applicant to fail this criteria.
5. *Sources of Information.* Sources of information that HACNL may use include but are not limited to:

- 14) Members of the applicant household.
  - 15) Present and prior landlords or housing providers.
  - 16) Home visits.
  - 17) Present and former neighbors.
  - 18) Present and former employers.
  - 19) Personal references.
  - 20) Credit bureaus.
  - 21) Landlord Record services, where applicable.
  - 22) Social workers, school officials, drug and alcohol treatment centers, clinics, health care providers and clergy, and guidance counselors.
  - 23) Police departments, parole officers and court records.
  - 24) Department of Economic Security, Internal Revenue Service.
6. HACNL staff will be the final judge of what constitutes adequate and credible information. If there are sufficient doubts with respect to the veracity, credibility, or reliability of any information received, HACNL retains the right to pursue alternative sources of information until satisfied that the information received is the best available.
4. In the event that HACNL receives adverse and unfavorable information regarding an applicant household, consideration will be given to the time, nature and extent of the applicant's conduct and to factors which might indicate a reasonable probability of favorable future conduct and that certain undesirable behavior will not be repeated. In making this consideration, HACNL shall consider all relevant circumstances including:
- 25) the severity of the potentially disqualifying behavior or conduct;
  - 26) the amount of time which has elapsed since the occurrence of such behavior or conduct;
  - 27) the degree of danger, if any, to the health, safety, and security of others or to the security of the property of others or to the physical conditions of the housing development and its common areas if the behavior or conduct recurred;

- 28) the likelihood that the behavior or conduct in the future will be substantially improved.
8. Applicants who fail any of the tenant selection criteria will be sent a Notice of Rejection. These applicants will be considered ineligible for housing at HACNL for a period of one (1) year from the Notice of Rejection and will be removed from the waiting list. After the one year period, these applicants may reapply for housing, subject to all conditions outlined herein. See Appendix B for Informal Review Procedures.
9. The Housing Authority shall maintain a record of all applicants determined ineligible as a result of the failure to meet its Tenant Selection Criteria with an indication of the specific reason(s) for the determination of ineligibility.

### **III. APPLICATION FOR ADMISSION**

#### **A. Application Intake**

HACNL will accept applications for admission to HACNL housing only during publicly announced time periods during which all interested persons may apply for admission to HACNL housing. When the number of applicants who can be served within a reasonable period of time is reached, the waiting list(s) or may be closed by unit size and/or housing type. Notice of opening and closing of the waiting list(s) shall be made in a newspaper of general circulation and announced by other suitable means. When the waiting lists for one or more unit sizes or housing type are to be reopened, the Housing Authority will clearly state in the public announcement the procedure to be employed to determine the position of each applicant on the waiting list.

#### **B. Criteria for Placement on Waiting List**

An applicant will be assigned to the appropriate waiting list(s) according to the policies for state and federal housing outlined below. The applicant will be notified of their assigned application number and how to check their status on the waiting list(s) as well as further information on the housing program and its requirements.

#### **C. Organization of the Waiting List**

Applicants for state-assisted elderly housing will be assigned to the waiting list(s) based on the unit size requirement and a random selection process. For state-assisted family developments and both federally-assisted properties, applicants will be placed on the waiting list by time and date of application, unit size and type requested and preferences claimed and verified.

For HACNL's state elderly developments, family classifications will be prioritized on the wait lists as follows:

- Priority #1: Elderly and/or Disabled Persons and Families
- Priority #2: Near Elderly Persons and Families
- Priority #3: Single Persons

Federal regulations no longer give preference to elderly, disabled, or displaced families over other single persons in federal housing programs.

D. Maintaining an Active List

The pool of active applicants will be kept current by requiring each applicant to inform the Housing Authority at least once annually of continued interest. HACNL will send an update letter to the applicant, requiring the applicant to submit a form indicating continued interest and any updated information, such as change of address or household information within ten (10) days. If the applicant fails to respond within that time frame, the applicant's name will be removed from the waiting list.

E. Responsibility to Report Changes

Applicants on the waiting list must also report to the Housing Authority any changes in income, preference status, family composition, address or any other information provided on the preliminary application as they occur. Any such changes could affect the applicant's status or eligibility for housing. Any applicant knowingly providing false information or fraudulent statements affecting the applicant's status or eligibility for housing will be removed from the waiting list.

F. Removal from the Waiting List

An applicant may withdraw an application at any time. A withdrawn application cannot be reactivated and the applicant who has withdrawn an application shall be required to reapply. Any applicant removed from the waiting list by HACNL will be notified in writing of the reason(s) for which the application is being removed. Such notification shall inform the applicant of his/her right to an informal review of the determination and will be made part of the application record. The Housing Authority will provide the applicant, upon written request, within ten (10) days from the date of the notification, an opportunity for an informal review of the determination of removal from the waiting list.

G. Record Keeping

The Housing Authority will keep a copy of each application received. For each applicant, the Housing Authority will document its determination that the applicant is eligible and meets admission standards, or is ineligible and does not meet admission standards, or is removed from the waiting list for any other reason. The Housing Authority will also maintain a record of the dwelling unit(s) offered to an eligible applicant, including the location, date, and circumstances of the offer and its acceptance or rejection. A copy of each application will become a part of a tenant's file during participation in the program. Inactive files will be maintained for a minimum of three years from the date of final action. Waiting list information will contain race or ethnic designation of head of household.

H. Eligibility Determinations

Applicants will be placed on the waiting list based on information provided either on the preliminary and/or final eligibility application form.

1. *Preliminary Application Form:* HACNL shall utilize a preliminary application form (pre-application). The purpose of the pre-application is to permit the HACNL to assess family eligibility or ineligibility and to determine placement on the wait list. Duplicate pre-applications, including applications from a segment of an applicant household, will not be accepted. Ineligible applicants or incomplete applications from applicants will not be placed on the waiting list. With the exception of the preference for emergency status (see below), preferences will not be verified until the applicant has been invited in for final eligibility determination.
2. *Emergency Status Preference:* For an applicant claiming eligibility for emergency status preference either at the time of application or subsequently, HACNL will review an application for emergency preference to determine eligibility under these policies. Those applicants who do not appear eligible for emergency status, as determined by the information provided on the written application and accompanying documentation, will receive written notification of the staff determination. For those applicants who appear eligible, HACNL staff will review and investigate the circumstances of the emergency and make a recommendation of eligibility for preference to the Executive Director or his/her designee. An applicant will receive emergency status preference only upon the approval of the Executive Director or his/her designee.
3. If an applicant is determined to be ineligible for either placement on the waiting list or emergency status preference based on the information provided in the pre-application, the HACNL will notify the applicant in writing, state the reasons, and inform the applicant of his/her right to an informal review in accordance with Appendix B.
4. *Final Eligibility Determination:* When staff estimate that a unit will become available for applicants within the next several months, applicants in wait list order will

be invited to attend an interview and submit an application for final eligibility for housing, after which the formal verification process and resident selection process will commence.

5. *Verification of Final Eligibility Determination:* Each applicant household shall be required to provide all information and authorizations necessary to enable HACNL to verify the applicant's qualification for preference status, income eligibility, household composition and conformance to the Housing Authority's Tenant Selection Criteria.
  - 1) The qualification for preference(s) must exist at the time the preference(s) is verified regardless of the length of time an applicant has been on the wait list because the preference is based upon current status. If the applicant fails to qualify for the preference claimed, his/her placement on the waiting list will be modified to reflect the current preference(s) and the application will be treated accordingly.
  - 2) Information may be required for any or all household members. Verification shall be from third party sources whenever possible. However, the applicant shall not be penalized either by denial of admission or by unreasonable delay of placement solely because third party sources have failed to respond to requests for information. When the applicant and HACNL have made all reasonable efforts to obtain information and the third party source has failed to respond, HACNL shall proceed with the processing of the application using the best available information.
  - 3) Each applicant household shall have an interview with a member of the management staff. Every member of the applicant household should be present at the office visit except if there are extenuating circumstances.
6. HACNL shall require the applicant to:
  - 29) Sign all forms necessary to determine eligibility and suitability;
  - 30) Provide verification of income, assets, exclusions and deductions from income;
  - 31) Provide verification of family size, age and relationship;
  - 32) Disclose the Social Security Numbers of all family members six (6) years of age and older;
  - 33) Provide citizenship information;

- 34) Provide the names and addresses of the applicant's current and previous landlords for the past five years (or longer if needed to get a minimum of two prior landlords);
  - 35) Provide the most recent six (6) month rent receipts where appropriate;
  - 36) Provide any other information HACNL determines is necessary to determine eligibility for housing at HACNL (See Chapter II, E).
7. All verifications and documentation received by HACNL for use in the determination of eligibility for housing at HACNL will be analyzed by staff and a determination made with respect to:
- a) Eligibility of the applicant family based on the requirements outlined in Section II of this Policy.
  - 37) Housing type and unit size requirements.
  - 38) Qualification of the applicant with respect to preferences claimed.
  - 39) Qualification of the applicant family with respect to the Tenant Selection Criteria outlined in Section IIG.
8. Applicants determined to be ineligible for housing at HACNL will be promptly notified and will receive a Notice of Ineligibility from the Housing Authority stating the basis for this determination. HACNL will provide such applicants with the opportunity for informal review of the decision in accordance with the HUD regulations and the procedure for informal hearing contained in Appendix B of this Policy.
9. Applicants who have disabilities who have been determined to be eligible but who fail the Tenant Selection Criteria will have their cases examined by HACNL to determine whether mitigating circumstances or reasonable accommodations will make it possible for them to be housed in accordance with the selection criteria outlined herein.
10. *Changes in Preferences and/or Unit Size Determination.* If, during the final eligibility determination, or at any other time prior to placement, it is determined that the family's qualification for certain preferences has changed and/or family composition has changed making the family eligible for a different size unit, the family's application shall be placed on the waiting list for the new unit size based on the original date of the family's pre-application.

#### **IV. SELECTION FROM THE WAITING LIST**

HACNL shall use either of two methods for selecting all otherwise eligible applicants for its public housing programs. For its federally-assisted public housing and state moderate housing programs, all otherwise eligible applicants will be assigned to the waiting list according to date and time of application, unit size and type required, and preference status determined as described in Sections A, B and C below.

For its state-assisted elderly public housing program, all otherwise eligible applicants will be assigned to the waiting list by a purely random lottery selection method in accordance with the statutes of the State of Connecticut.

1. Income Targeting

In each fiscal year, HACNL shall reserve a percentage of its new admissions for families who are extremely low income. An extremely low-income family is one whose annual income does not exceed thirty percent of area median income. The goal shall be forty percent of new admissions.

The intent of these Income Targeting requirements is to maintain a tenant body in each of HACNL's federal developments composed of families with a broad range of income and rent paying ability which is generally representative of the range of incomes of low income families within the City of New London.

HACNL will monitor admissions to its federally assisted public housing units at the end of each quarter throughout the fiscal year. If, at the end of any quarter, extremely low-income families make up less than forty percent of admissions for the fiscal year to date, HACNL will give priority to extremely low-income families in each of the established preference categories until extremely low-income admissions again make up 40%. Giving priority to extremely low-income families may require skipping families on the waiting list to accomplish HACNL's stated goals.

2. Overview of Local Preferences for Federally-Assisted Public Housing and State Moderate Housing Programs

HACNL applicants, who have met the eligibility requirements outlined in the previous sections of this Policy, will be selected based upon local preferences. Local preferences vary by housing type. HACNL has established one set of local preferences for its federally-assisted housing. Due to a difference in program requirements, a different set of local preferences has been established by HACNL for the state moderate housing program.

In accordance with state requirements, there are no preferences for HACNL's state elderly housing program.

3. Local Preferences for Federally-Assisted Family and Elderly Housing Programs

1. *Criteria:* HACNL has established the following local preferences for its federally-assisted family and elderly developments:
  - 4) Resident. Applicants will qualify as a resident and be assigned preference points if they live and/or work in New London at the time of application and placement. Applicants who are working or who have been notified that they have been hired to work in New London will also qualify as residents provided they provide third party proof of pending employment. An applicant will lose resident preference if he/she moves out of New London or stops working in New London prior to placement.
  - 5) Emergency Status. Applicants will qualify for emergency status and will be assigned preference points if they have been and continued to be displaced from their housing due to:
    - 4) Natural Disaster. The applicant, through no fault of his/her own or relatives or friends with whom the applicant has been living, has been displaced and is without housing due to a natural disaster such as earthquake, flood, or some other disaster declared and formally recognized under disaster relief laws.
    - 5) Public action. The applicant is without or about to be without housing due to urban renewal or other public improvement projects.
    - 6) Public condemnation. The applicant is without or about to be without housing due to a public health agency's enforcement of state or local sanitary codes provided that:
      - S the applicant or relative or friends with whom the applicant has been living, has not caused or substantially contributed to the conditions which gave rise to the condemnation;
      - S the applicant and the public health agency have used all code enforcement powers and judicial proceedings to force repair by the landlord and/or require the landlord provide alternative permanent or temporary housing for the applicant; and
      - S the cause of the condemnable conditions were not present at the time the applicant moved into the housing unit.

Applicants who find permanent replacement housing before an offer of housing from HACNL will no longer be eligible for emergency preference.

- iv) Severe Medical Emergency. An applicant or member of the applicant's household has a serious medically determinable illness which is or is expected to be of long continued duration and whose living condition would be substantially improved (over what would be reasonably available in private housing) by a suitable housing unit, provided that the applicant has exhausted all reasonable alternatives.
- c) Broad Range of Income. Applicants whose gross annual income exceeds \$7,000 will qualify for local preference points with those applicants with annual incomes exceeding \$12,000 qualifying for higher local preference points. An applicant will lose broad range of income preference if his/her income falls below either income level prior to placement.
- d) Graduate/Participant in Training and Education. Applicants whose head of household is a recent graduate (within two years) or an active participant in an educational and/or training program designed to prepare the person for the job market will qualify for local preference points.
- e) Working Family. Applicants, whose head of household, spouse or co-head is employed and has earned income, or is elderly or disabled will qualify for local preference points. For fair housing reasons, an applicant household will be eligible for one allotment of points for this preference category regardless of the number of employed, elderly or disabled or combinations thereof in an applicant household. An applicant will lose the employed preference if he/she becomes unemployed prior to placement.
- f) Other Applicants. Applicants who do not qualify for any other type of local preference category will be considered an other applicant.

2. *Points.* HACNL will assign local preference point values as follows:

Local Preferences for the Federal Family and Elderly Program	Point Value
Income > \$12,000	6
Income >\$7,000, but <\$12,000	5
Resident	5
Emergency Status	4
Graduate or Participant in Training/Education	3
Working Family	2

Other Applicant	0
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Preference points shall be cumulative, and the applicant with the highest total preference points and the earliest application date on a particular wait list will be housed first.

3. *Verification.* HACNL shall require all applicants to verify qualification of local preferences as follows:
  - 2) *Resident.* HACNL will accept employment verification, a landlord reference or a preponderance of evidence by other means, such as utility bills, school registration records and home visits as proof of local residency.
  - 3) *Emergency Status.* The applicant, to be considered for an emergency preference, must provide the following verifications:
    - 1) *Natural Disaster.* The applicant must submit to the satisfaction of the HACNL third party verification from local agencies, relief agencies, etc. of the disaster which detail the nature and extent of the disaster and explicitly determine that the disaster was not caused by the negligence or intentional act of the applicant or any relative or friend with whom the applicant was living.
    - 2) *Public Action.* The applicant must submit to the satisfaction of the HACNL a certification from a unit of government concerning displacement due to public action.
    - 3) *Public Condemnation.* The applicant must submit to the satisfaction of the HACNL the condemnation order of the local enforcement agency, evidence that all code enforcement powers and judicial proceedings were employed to force repair and/or other remedy by the landlord, and proof that the condemnable conditions were not caused by the applicant or any relative or friend with whom the applicant was living. If the HACNL is unable to obtain acceptable third party verification that the condemnation was not caused by the negligence or intentional act of the applicant or any relative or friend with whom the applicant was living, HACNL may find the applicant ineligible for this preference, especially in the case of fires.
    - 4) *Severe Medical Emergencies.* The applicant must submit to the satisfaction of the HACNL verification from an attending physician of the serious medically determinable illness, document that the condition would be substantially improved by a public housing unit; and evidence that he/she has exhausted other reasonable housing alternatives.

Only the Executive Director or his/her designee can approve an applicant for emergency preference.

- v) **Broad Range of Income and Employment.** HACNL will utilize employment and income verifications as required to determine income eligibility as proof of broad income and/or employment.
- vi) **Graduate or Participant in a Training and Education Program.** HACNL will accept a certificate or letter from an accredited or locally recognized training or education program designed to prepare the person for the job market as proof of qualification for this preference.
- vii) **Working Family.** HACNL will accept verifications from employers which indicate that the applicant is currently employed. For elderly, HACNL will accept birth certificates or other generally accepted proof of age as proof. For disabled, HACNL will accept a certification from the applicant's regular medical provider, or by evidence that the head of household or spouse is receiving Social Security Disability, or Supplemental Security Income Disability for him/herself.

#### 4. Local Preferences for State Moderate Housing

6. *Criteria.* HACNL has established the following local preferences for its state moderate housing program:

- 40) **Resident.** Applicants for state moderate housing will qualify as a resident and be assigned preference points if they live and/or work in New London at the time of application and placement. Applicants who are working or who have been notified that they have been hired to work in New London will also qualify as residents provided they provide third party proof of pending employment. An applicant will lose resident preference if he/she moves out of New London or stops working in New London prior to placement.
- 41) **Broad Range of Income.** Applicants for state moderate housing whose gross annual income exceeds \$14,400 will qualify for local preference points. An applicant will lose broad range of income preference if his/her income falls below either income level prior to placement.
- 42) **School Success.** Applicants for state moderate housing who have a child in middle or high school that has been on the honor roll two or more times or shows superior performance and/or effort based upon the school's recommendation during the past twelve months. An applicant will be eligible for

one allotment of points regardless of the number of children in the household who might qualify the applicant for this preference.

- 43) Other Applicants. Applicants for state moderate housing who do not qualify for any other type of local preference category will be considered an other applicant.

2. *Points.* HACNL will assign local preference point values as follows:

Local Preferences for State Moderate Housing	Point Value
Income > \$14,400	3
Resident	2
School Success	1
Other Applicant	0

3. *Verification.* HACNL shall require all applicants to verify qualification of local preferences as follows:

- 1) Resident. HACNL will accept employment verification, a landlord reference or a preponderance of evidence by other means, such as utility bills, school registration records and home visits as proof of local residency.
- 2) Broad Range of Income and Employment: HACNL will utilize employment and income verifications as required to determine income eligibility as proof of broad income and/or employment.
- 3) School Success. HACNL will accept a letter from the school, or newspaper clippings indicating placement on a school's honor roll or superior performance and/or effort as proof of school success.

E. Random Selection Method - State Assisted Elderly Housing Program

All otherwise eligible applicants for state-assisted elderly housing shall be assigned to the waiting list by a purely random lottery selection method.

2. Offer of a Unit

1. *Family Apartments: Winthrop Towers, Bates Woods and Briarcliff Apartments.* A One Offer Plan will be used for assignment of family units. When a family housing unit becomes available for lease, it will be offered to the applicant with the highest preference points and earliest application date for that housing type and bedroom size. If the applicant rejects the offer, the applicant's name will be taken off the waiting list,

and the applicant will lose eligibility for any preference points for a twelve month period commencing with the date the offer is rejected. If applicant is on the waiting list for the Section 8 program or any other program administered by HACNL, refusal of a family public housing unit will not affect placement on other lists.

2. *Offer of a Unit - Federal Elderly: Williams Park.* An applicant will be assigned an elderly unit at Williams Park who has the highest preference points and earliest application date for that housing type and bedroom size. If the applicant rejects the offer, the applicant's name will be taken off the waiting list, and the applicant will lose eligibility for any preference points for a twelve month period commencing with the date the offer is rejected. If the applicant is on the waiting list for the Section 8 program or any other program administered by HACNL, refusal of a federal elderly public housing unit will not affect placement on other lists.
3. *Offer of a Unit - State Elderly: George Washington Carver Apartments and Gordon and Riozzi Courts.* A Two-Three Offer Plan will be used for assignment of state elderly units. This plan is based on the distribution of vacancies in HACNL's elderly housing program. Under this plan, the HACNL determines how many locations within its program has available units of suitable size. If a suitable unit is available in:
  - 7) **3 or more locations**, an applicant who is selected by a purely random lottery selection method will be offered a unit in the location with the highest number of vacancies. If the offer is rejected, the applicant will be offered a suitable unit in the location with the second highest number of vacancies. If that offer is rejected, the applicant must be offered a suitable unit in the location with the third highest number of vacancies. If that offer is rejected, the applicant's name will be taken off the waiting list.
  - 8) **2 locations**, the applicant who is selected by a purely random lottery selection method will be offered a unit in the location with the higher number of vacancies. If that offer is rejected, the applicant will be offered a unit at the other location. If that offer is rejected, the applicant's name will be taken off the waiting list.
  - 9) **1 location**, the applicant who is selected by a purely random lottery selection method will be offered a unit in that location. If the offer is rejected, the applicant must be offered the next unit that becomes available, whether it is at the same location as the first offer or at another location. If the applicant rejects the second offer, the applicant's name will be taken off the waiting list.

If the applicant is on the waiting list for the Section 8 program or any other program administered by HACNL, refusal of a federal elderly public housing unit will not affect placement on other lists.

4. For purposes of this policy, the applicant will not be considered to have been offered a unit if he/she provides clear evidence to the satisfaction of HACNL that one of the following circumstances apply:
  - 1) The unit is not of the proper size and type, and the applicant would be able to reside there only temporarily.
  - 2) The applicant is unable to move at the time of the offer because of serious and unusual circumstances which are beyond the applicant's control, and the applicant presents clear evidence which substantiates this to HACNL's satisfaction. Examples:
    - S A doctor verifies that the applicant has just undergone major surgery and needs a period to recuperate;
    - S A court verifies that the applicant is serving on a jury which has been sequestered.
  - c) Accepting the offer would result in undue hardship to the applicant not related to consideration of race, creed, color, national origin or language, such as making employment or day care facilities inaccessible, and the applicant presents clear evidence which substantiates this undue hardship to HACNL's satisfaction.
5. An applicant must respond to, and accept or reject the offer within five (5) business days from the date the offer is made. If an applicant fails to keep a scheduled appointment to view a unit offered for occupancy or fails to respond to written correspondence from the Housing Authority within five (5) days, for other than a justifiable reason, such failure shall result in removal from the waiting list. The person may reapply at a time that applications are being accepted. However, an applicant will not be eligible for any preference points for a twelve month period commencing with the date the offer is rejected or the applicant failed to respond.

## V. UNIT SIZE AND OCCUPANCY STANDARDS

### A. Appropriate Unit Size

It is the policy of HACNL to ensure that the dwelling units are occupied by families of the appropriate size. The following chart outlines the allowable number of occupants per bedroom based on HUD guidelines:

No. of Bedrooms	No. of Persons Min.	No. of Persons Max.
0	1	1

1	1	2
2	2	4
3	3	6
4	4	8
5	5	10

2. Factors in Dwelling Size Determination

Dwelling units will be assigned so that it will not be necessary for persons of different generations or opposite sex (other than married or cohabitating couples) to share a bedroom. Two children of the same sex may be required to share a bedroom regardless of age and children of the opposite sex may be required to share a bedroom if one is under the age of three. Children shall generally not be required to share a bedroom with a parent; however, one very young child may share a bedroom with one parent if there are no larger units available for the family. Assignment will take into consideration households who share joint custody of any individual under the age of 18 at least 50% of the time. Foster children shall be considered in determining dwelling unit size. No unit assignments will be made which require use of the living room for sleeping.

3. Bedroom Size Determination for Single Pregnant Individuals

When making bedroom size determinations, a single individual with no other children who is pregnant at the time of application (proof may be required by a licensed physician) or who is in the process of securing legal custody of any individual under the age of 18, will be housed in a two bedroom unit. If the pregnancy is terminated or legal custody not granted, the applicant would no longer qualify for a two bedroom unit but would be considered for a one bedroom unit.

4. Reasonable Exceptions in Emergency Situations

The criteria and standards prescribed above apply to all families applying for housing at HACNL; however, reasonable exceptions to the standards listed above may be made in emergency situations, and in some cases, relationship, age, gender, health, or disability of family members may warrant assignment of a larger or smaller unit by HACNL staff or at the request of the applicant family. Written approval of such cases will be made by the Executive Director or his/her designee.

5. Requirements for Live-In Aide

Any applicant or tenant who requires a live-in aide, who will be responsible for the essential care and well-being of a family member on a daily basis will be assigned a bedroom to accommodate this aide, provided that the applicant or tenant can show documentation to support the fact that the live-in aide would not be living in the unit except to provide

necessary supportive services. A live-in aide will not be listed on the lease and does not have rights to the unit for continued occupancy as a remaining family member.

6. Handicap Accessible Units

When an accessible unit becomes available, HACNL shall offer the unit in the following order:

1. To current HACNL tenants who have a disability or handicap who would benefit from the unit's accessible feature(s), but whose current unit does not have such features. If there is more than one current tenant requiring the accessibility features of the available unit, the family with the earliest written request for a transfer shall be selected for the unit.
2. To eligible and qualified households on the waiting list who have a disability or handicap who would benefit from the unit's accessibility features based upon local preference points and the date and time of the application, despite the presence on the waiting list of households with preferences and/or earlier application dates who do not require the specific accessibility features of the available unit.
3. To other eligible and qualified households on the waiting list without disabilities. In this case, the household must agree, in writing, to transfer to a non-accessible unit at the request of the Housing Authority.

**VI. LEASE**

A. Lease Execution

At admission, a Lease and Pet Agreement, if applicable, is to be entered into between the Housing Authority and each tenant family. The lease shall be for a twelve (12) month period. The dwelling lease is to be kept current at all times and is to reflect rent being charged, and the conditions governing occupancy.

10. If, for any reason, any signer of the lease ceases to be a member of the tenant family, the lease will be canceled, and a new lease and Pet Agreement, if applicable, executed and signed by a remaining member of the family who qualifies and is determined to be eligible for continued occupancy by HACNL.
11. If a tenant family transfers to a different unit operated by the Housing Authority at the sole discretion of HACNL, the existing lease may be canceled and a new lease and Addendum for Drug Free Housing and Pet Agreement, if applicable, executed by the head of household and co-head, if one, for the dwelling unit into which the family is to move.

12. If at any time during the life of the lease, a change in the tenant's status or HACNL needs results in the need for changing or amending any provision of the lease, or if the Housing Authority desires to waive any provisions with respect to the tenant, the HACNL at its sole discretion will have either:
  - i) The existing lease canceled and a new lease agreement executed; or
  - 2) An appropriate amendment prepared and made a part of the existing lease. The new lease amendment is to be made a part of the permanent tenant file. A lease amendment is to be attached to the existing lease, and must be signed by both the tenant and a Housing Authority representative.

**B. Security Deposits**

The Housing Authority will comply with Connecticut state law Section 47a-21, including requirements for: amount of security deposit, exemption from attachment and execution, payment of security deposit and interest at termination of tenancy, action to reclaim security deposit, escrow deposit, payment of interest, investigation of complaints, and penalties.

13. A security deposit equal to one month's rent will be required for all tenants residing in the following developments: Winthrop Towers Apartments, Williams Park Apartments, Bates Woods Apartments, and Briarcliff Apartments. No security deposits will be required for tenants residing in the following developments: Gordon Court, Rigozzi Court and George Washington Carver Apartments.
14. The security deposit is to be paid in full immediately upon execution of the lease, unless other arrangements have been made to pay the security deposit in monthly installments of no less than \$50 per month. Security deposits will be held on account by the Housing Authority in accordance with applicable state law.
15. Concerning the payment of the security deposit at the end of tenancy, HACNL shall pay to the tenant or former tenant:
  - S The amount of any security deposit that was deposited by the tenant with the Housing Authority less the value of any damages suffered as a result of such tenant's failure to comply with such tenant's obligations; and
  - S Any accrued interest due on such security deposit at a rate not less than the average rate paid on savings deposits by insured commercial banks as published in the Federal Reserve Board Bulletin.

4. Upon termination of a tenancy, all tenant must notify HACNL in writing of such tenant's forwarding address. Within thirty days after termination of a tenancy, the Housing Authority shall deliver to the tenant or former tenant at such forwarding address either:
  - S The full amount of the security deposit paid by such tenant plus accrued interest (as mentioned above); or
  - S The balance of the security deposit paid by such tenant plus accrued interest, after deduction for any damages suffered because of the tenant's failure to comply with such tenant's obligations, together with a written statement itemizing the nature and amount of such damages.
5. If tenant fails to notify HACNL of the his/her forwarding address at the time of move-out, the tenant forfeits his/her claim to any remaining amounts of the security deposit not used to cover unpaid rent and charges or damage.

C. Eight Hour Service Requirement

The Quality Housing and Work Responsibility Act of 1999 (QHWRA) effective October 1, 1999, with important exceptions requires public housing residents to participate for at least eight (8) hours a month, in a community service or economic self-sufficiency program. This requirement invokes a provision requiring one (1) year public housing leases to be automatically renewable except for failure to comply with community service requirements.

The list of exemptions provided in the QHWRA includes adults who are 62 years of age or older, persons with disabilities, persons engaged in work activities (as defined by section 407(d) of the Social Security Act), and persons participating in a welfare-to-work program, or receiving assistance from and in compliance with a state program funded under part A, Title IV of the Social Security Act (for purposes of the community service requirement, an adult is a person 18 years or older).

At the time of initial admission to federal public housing and at the next annual reexamination for existing residents on or after October 1, 1999, the Housing Authority will determine and document which adults are exempted from this requirement. Documentation of exempted status will be placed in the resident file. The same standards for verification of exempted status will be used as with other information pertaining to eligibility and tenant selection.

Residents not exempted will be informed of the requirement and provided with a list of approved community service and self-sufficiency activities. Staff will work with each non-exempt resident to determine how each month's requirements will be met and a plan developed that will be placed in the resident file.

Residents may request a change in their status during the year by contacting the property manager. For example, a formerly unemployed adult who finds work may request a change in status from the property manager.

D. Tenant Orientation

Eligible applicants selected for admission will be required to participate in an orientation program conducted by HACNL to acquaint new tenant families with the following policies and procedures: the Dwelling Lease; maintenance procedures; services provided by HACNL; resident initiative activities; grievance procedures; tenant rights, responsibilities and obligations, rent collection policy, and the operation of heating, cooling, and plumbing equipment in the units.

E. Dwelling Unit Inspection Policy

1. *Pre-occupancy.* Prior to occupancy, a HACNL representative and the tenant, or his/her representative, will inspect the premises. HACNL will furnish the tenant a written statement of the condition of the premises and the appliances provided in the dwelling unit where appropriate. The statement will be signed by HACNL representative and the tenant, or representative, and a copy will be kept in the tenant's file.
2. *Two Month.* An inspection of the dwelling unit may be conducted two months after a tenant's move-in date to check needed maintenance, tenant housekeeping, and other lease compliance matters. HACNL will furnish the resident with a written statement of any charges, if any, for repairs or removal of non-approved alterations to the apartment.
3. *Annual.* An inspection of each dwelling unit will be conducted on **at** least an annual basis to check needed maintenance, tenant housekeeping, and other lease compliance matters. HACNL will furnish the resident with a written statement of unit conditions and/or any charges, if any, for repairs or removal of non-approved alterations to the apartment.
4. *Special Inspections.* Representatives from HUD and/or other US Government Officials may visit the Authority to monitor operations and, as part of the monitoring may inspect a sampling of the federal public housing inventory.
5. *Move-Out.* Immediately after a tenant moves out, a HACNL representative will inspect the dwelling unit. The tenant is encouraged to participate in the move-out inspection, but must contact the management office prior to move-out to schedule a joint inspection. A written statement of the unit condition, and the provided appliances will be signed.

S A statement of repair/replacement charges for tenant caused damages and charges for cleaning of the unit and appliances, if necessary will be furnished to the tenant and deducted from his/her security deposit if remittance is not made to HACNL.

6. HACNL, in its sole discretion, may randomly and periodically inspect units when it believes there are reasonable grounds for an inspection.
7. A copy of the move-in and/or move-out, two month and housekeeping inspection reports will be kept in the tenant files.
8. Annual Unit Inspections and Preventive Maintenance (PM) inspection forms will be kept in the unit maintenance file.

F. Rent, Other Charges, and Rent Adjustments

1. *Rental Payments*

- 1) Federal Housing - family choice of rental payments. HUD regulations provide that public housing families can elect annually whether the monthly rent is a flat rent or income-based rent. Flat rents are set by HACNL based on the rental value of the unit. Income-based rents are calculated based on the level of the resident's income and shall be the higher of 10% of income, 30% of adjusted income, the housing portion of the welfare rent or the established minimum rent. Families experiencing hardships may switch from paying flat rents to income-based rents or the established minimum rent. Incomes of families paying flat rents must be reviewed not less than once every three years; incomes of families paying income-based rents must have income and family composition reviewed annually.
- 2) State Housing. Rent will be calculated using the method and income determined by the State of Connecticut regulations as applicable.

2. *Minimum/Base Rent.* For its federal low-rent housing program, HACNL has established \$25 as its minimum total tenant payment. For its state elderly or moderate housing program, HACNL has established a base rent in accordance with the State of Connecticut statutes and regulations. These base rents are available upon request.
3. *Flat Rents.* HACNL, in compliance with HUD regulations, has implemented flat rents for its public housing units, using the Fair Market Rents (FMRs) for the area or other permissible means in the best interest of HACNL. The schedule of flat rents

applicable to HACNL's federal public housing is available at the Housing Authority's main and site offices.

1. *Utility Allowance.* Any family living in a federally-assisted development whose allowance for tenant paid utilities exceeds the Total Tenant Payment will receive a payment from the Housing Authority equal to the amount by which the allowance exceeds the Total Tenant Payment.
4. *Maintenance Charges.* Schedules of charges for maintenance repairs and other services shall be publicly posted in a conspicuous place in the management office and shall be furnished to applicants and tenants upon request. The Housing Authority will notify in writing tenants when such charges are assessed. These charges shall become due and payable fourteen (14) days after such notice has been given to the tenant. A copy of all work orders for tenant abuse are filed in the tenant file.
5. *Excess Utility Charges.* A schedule of charges for excess utilities shall be publicly posted in a conspicuous place in the complex office and shall be furnished to applicants and tenants upon request. The Housing Authority will notify tenants of these charges and they shall become due and payable fourteen (14) days after such notice has been given to the tenant.
6. *Late Charges.* A charge of \$25 plus attorney, sheriff and court fees and costs shall be assessed when rent or other charges are not paid on or before the 10<sup>th</sup> day of the month for a first violation in a twelve month period. The charge will increase to \$50 plus attorney, sheriff and court fees for a second or subsequent violation in a twelve month period. This charge is due immediately.

## **VII. REEXAMINATION OF INCOME AND FAMILY COMPOSITION, ADJUSTMENTS AND OTHER ANNUAL REQUIREMENTS**

### **A. Reexamination Procedures**

1. The income, allowances and family composition of tenant households electing an income-based rent shall be reexamined at least once a year in accordance with an established reexamination schedule. Residents electing to pay a flat rent shall be reexamined every three years. Reexaminations determine the tenant's monthly rent, eligibility for continued occupancy and the required unit size. The Housing Authority follows all pertinent HUD regulations in its completion of reexaminations.
2. In advance of the scheduled reexamination effective date, the head of the tenant household and spouse shall be notified by mail that they are required to participate in an interview, provide all specified information, and sign the required Certification forms and the Authorization for Release of Information form.

In the event that a tenant household fails to keep the scheduled reexamination appointment or promptly submit all necessary information, he/she shall be given ten (10) days from the date of written notification to provide HACNL with the required information.

In the event the tenant fails to participate in the interview and/or to provide information required by HACNL, the Housing Authority may establish the tenant's rent based upon local market rents or actual operating cost which ever is higher until the matter is resolved and/or terminate the tenant from the program.

Employment and income data, assets, full-time student status, medical expenses (elderly and disabled state moderate families only), child care expense, and handicapped assistance expenses will be verified, documented and placed in the tenant's folder.

Third party written verifications *will be obtained* whenever possible. When the HACNL and tenant household have made all reasonable effort to obtain third party written verifications, documents obtained from the tenant and photocopied is an acceptable form of verification, when not prohibited by law. If photocopying is prohibited by law, Housing Authority staff will sign a statement confirming that the verification documents were viewed by recording the document source, date, time, amount, etc. Oral third party verifications are also acceptable, if properly documented. When such documents cannot be photocopied or orally verified, HACNL will proceed with processing using the best other documentation and information available. All verifications will be maintained in the tenant's folder.

Verified information will be analyzed and a determination of rent and of the appropriate unit size made.

3. *Determination of Compliance with Service Requirements.* The Authority will determine on an annual basis whether adult residents subject to the eight (8) hours a month service requirement are in compliance. Staff will also determine if adult residents originally exempt from the requirements have become non-exempt (see Section VI). Adult residents who, because of the annual review, are determined to be non-exempt will be provided with a list of HACNL approved community service and self-sufficiency activities and a Plan developed and placed in the resident file. For residents paying a flat rent, the review will be performed and appropriate action taken by the property manager 12 months after the initial status determination and every 12 months thereafter.

If a resident is determined to be non-compliant with the monthly service requirement, the adult resident will be allowed to cure the non-compliance by making up the

deficient hours over the next 12-month period. The non-compliant adult and the head of household will be required to sign an agreement that continued non-compliance will result in the eviction of the entire family, unless it is proven to the satisfaction of HACNL that the non-compliant adult is no longer a member of the household. Continued non-compliance will result in eviction of the entire family, unless the non-compliant adult is no longer a part of the household.

4. *Temporary Rent Determinations and Special Reexaminations.* When it is not possible to determine the anticipated annual income with any reasonable degree of accuracy at the time of admission or reexamination, a temporary determination of income and rent will be established, giving due consideration to the tenant's past income and other available information. An interim reexamination will be scheduled to take place within 30 for most households, and within 90 days for households where annual income is zero or difficult to predict. The tenant is to be notified in writing of the date of the special reexamination.

Special reexaminations will continue to be scheduled until a reasonable estimate of the Adjusted Income can be made. Rents determined at special reexaminations shall be made effective the first of the second month following the final rent determinations. Until the final rent determination can be made, the family will pay rent based upon the existing Adjusted Income.

If the Total Family Income can be reasonably estimated at the time scheduled, the reexamination is to be completed and actions taken as appropriate to adjust the Tenant Rent amount.

5. *Changes in Rent*

- 1) **Limit on Rent Increases.** Federal housing regulations preclude HACNL from increasing a federal public housing resident's rent as a result of an increase in income due to employment during the 12-month period beginning on the date the employment began, when the earned income increase is the result of a family member who:

- (i) was unemployed for at least 12 months, or

- (ii) is participating in a self-sufficiency program or job training program, or

- (iii) is, or was in the past 6 months, receiving welfare.

Federal regulations also mandate, that after the 12-twelve month disallowance period, a federal public housing resident's rent increase must be phased-in by no more than 50% for an additional 12-month period. Federal regulations also

allow PHAs to establish and maintain individual savings accounts and allow a family to choose an individual savings account instead of the 12-month disallowance and 12-month phase-in.

To implement these provisions for residents electing to pay an income-based rent, the Housing Authority will, at the next reexamination and annually thereafter:

- Determine and verify the family's monthly rent and appropriate unit size;
- If any portion of a rent increase is a result of i, ii or iii above;
- Explain in detail to the family the two choices that are available and that each year at annual reexamination the same options will be available;
- Inform the family that once monies are placed in an individual savings account, regardless of what option they choose each year, withdrawals will be approved by the Housing Authority for only the reasons listed below.
- Allow the family to choose between the individual savings account option and the earned income disallowance;
- If the family chooses the 12-month disallowance, the Housing Authority will record the choice in the resident file, make appropriate adjustments to the rent calculations, and advise the family what the monthly rental payment will be over the next 12 months.
- If the family chooses the individual savings account option, the Housing Authority will record the choice in the resident file and advise the family of the following:
  - the amount they will pay in rent over the next 12 months. Families who choose this option pay the higher rent and HACNL will deposit the difference between the current rent and the higher monthly rent into an interest-bearing savings account.
  - at the next annual reexamination the Housing Authority will credit the family with the interest earned over the previous 12-month period and provide a written status report on the balance of the account.
  - Amounts deposited by the Housing Authority on behalf of the family may be withdrawn by the family upon written request to HACNL thirty (30) days in advance and only for the purpose of:

- ! purchasing a home;
  - ! paying for the education costs of a family member;
  - ! paying any other expenses authorized by the Housing Authority for the purpose of promoting the economic self-sufficiency of its federal public housing residents; or
  - ! moving out of federal public housing unless the family is not in compliance with the HACNL lease. Residents evicted from federal public housing for violations of the lease agreement will not be entitled to monies in the savings account.
- The Housing Authority will determine what it considers eligible educational costs and costs of participation in various economic self-sufficiency programs and will approve requests for withdrawal from the family savings account based on documentation provided by the family.
- 2) Increases in rent shall be effective on the scheduled reexamination effective date, with 30 days advance notice, provided the tenant has complied with all reporting requirements. When the tenant has failed to attend interviews or to provide required information, the Housing Authority may increase the rent retroactive to the reexamination effective date, and the balance of such retroactive rent adjustment must be paid within ten (10) days of notification. Retroactive charges shall not be made when delays are solely the fault of HACNL.
- 3) Decreases in rent shall take effect on the first of the month after the month in which the change was reported and verified.
- 4) Loss of Welfare Benefits. Families whose welfare assistance is reduced because of fraud, or failure to participate in an economic self-sufficiency program, or comply with a work activities requirement, must not have their rents reduced based on the decrease of income because of the benefit deduction.
- S HACNL may deny a request for a rent calculation only after obtaining written verification from the welfare agency that the family's benefits have been reduced for one of the reasons stated above.
- S If the Housing Authority denies a reduction in rent on this basis, it will notify the family of its ability to have an informal hearing.
- S This restriction does not apply if the reduction in benefits is a result of:

- The expiration of a lifetime time limit on receiving benefits; or
- A situation where the family has complied with welfare program requirements but cannot obtain employment (e.g., the family has complied, but loses welfare because of a duration time limit such as a cap on welfare benefits for a period of no more than two years in a five year period).

6. Minimum Rent and Flat Rent Hardship Exemption

- 4) HACNL shall immediately grant an exemption from application of the minimum monthly rent or switch a family from a flat rent to an income-based rent for any family making a proper request in writing who is unable to pay the rent because of financial hardship, which shall include:
  - (1) The family has lost eligibility for, or is awaiting an eligibility determination from a federal, state, or local assistance program, including a family that includes a member who is an alien lawfully admitted for permanent residence under the immigration and naturalization act who would be entitled to public benefits but for Title VI of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996.
  - (2) The family would be evicted as a result of the implementation of the minimum rent (this exemption is only applicable for the initial implementation of a minimum rent or increase to the existing minimum rent).
  - (3) The income of the family has decreased because of changed circumstance, including loss of employment.
  - (4) A death in the family has occurred which affects the family circumstances.
  - (5) Other circumstances which may be decided by HACNL on a case-by-case basis including an increase in family's expenses for medical costs, child care expenses, transportation or education.

All of the above must be proven by the resident providing verifiable information in writing to HACNL prior to the rent becoming delinquent and before the lease is terminated by HACNL. The Authority will conduct a reexamination of the family's income in order to adjust the family's rent.

- 2) If a resident requests a minimum rent hardship exemption (prior to the rent being delinquent) under this section, and the Housing Authority reasonably determines the

hardship to be of a temporary nature (three months or less), exemption shall not be granted during a ninety day period beginning upon the making of the request for the exemption. A resident may not be evicted during the ninety day period for non-payment of rent.

- 3) For minimum rent hardship cases, if, after the ninety day period has elapsed, the resident can demonstrate that the financial hardship is of a long-term basis (over three months) HACNL shall retroactively exempt the resident from the applicability of the minimum rent requirement for such ninety day period. This paragraph does not prohibit HACNL from taking eviction action for other violations of the lease.
- 4) In the case of a flat rent hardship circumstance, the income-based rent established by the Housing Authority will remain in effect until the next annual reexamination or until otherwise notified by the family.

7. *State Moderate Housing - Maximum Income.* For State Moderate Housing only, if the Authority finds that your household income is in excess of the maximum income allowed by law for continued occupancy of the apartment, then the tenant shall vacate the apartment within sixty (60) days upon the written notification of the Authority. If the tenants continue to occupy the apartment after sixty days, the family will be required to pay monthly for the use and occupancy thereof an amount equal to the going rental fixed by the Authority plus an amount equal to two percent (2%) of the excess of the annual income of the household in accordance with State statutes or regulations.

- 1) If the household annual income exceeds the maximum income, the tenant will need to have your income and rent re-examined on a semi-annual basis, as required by state law or regulations.

#### B. Eligibility for Continuing Occupancy

Only those tenants meeting all of the following requirements will be considered eligible for continued occupancy:

1. Qualify as a family or the remaining member of a tenant family.
2. For the state moderate housing program only, does not exceed the maximum income guidelines established by State regulations or statute.
3. Have exhibited appropriate conduct since residing in public housing including:
  - S Have not interfered with other tenants in such a manner as to diminish their enjoyment of the premises by adversely affecting their health, safety or welfare;

- S Have not adversely affected the physical environment of the community;
  - S Have not adversely affected the financial stability of the development;
  - S Have not illegally used a controlled substance or engaged in drug-related criminal activities on or off the premises; and
  - S Have not interfered with the health, safety, or right to peaceful enjoyment of the premises by other tenants because of the abuse of alcohol.
4. Have abided by the terms and conditions of the lease and the Drug-Free Housing Addendum and any other addenda to the lease.
  5. Who have signed any required new or existing lease addendum such as the Drug-Free Housing Addendum.
  6. Failure to comply with the Eight Hour Per Month Service requirement, if applicable. HACNL will determine on an annual basis whether non-exempt residents are in compliance.

C. Interim Reexaminations

1. *Reasons for Interims.* Any of the changes listed below must be reported to Management within ten (10) days of their occurrence. Failure to report changes as required may result in a retroactive rent charge and/or eviction action against the tenant. Tenants must report the following:
  - 2) All HACNL residents must report any change in household composition.
  - 3) Residents of HACNL's state properties must report the following:
    - S In family housing, any increase in household income due to a formerly unemployed household member becoming employed.
    - S In elderly housing, any increase in household income of 10% or more.
2. Tenants may report the following changes which would result in a decrease in the family's rent:
  - 1) Decrease in income expected to last at least 30 days; and
  - 2) Increase in allowances or deductions.

3. An interim recertification may also occur should it be found that the tenant has misrepresented the facts upon which the family's rent is based, so that the rent being paid is less than what should have been charged, or if your over-income and live in state moderate housing.
4. *Effective Dates.* For interim reexams, increases in rent shall become effective on the first day of the second month following the month the change was reported, provided the change was reported within ten days of its occurrence and the family complies with the verification requirements and completes reexam. Decreases in rent shall take place on the first day of the month following the month in which the change is reported and verified. The effective dates of changes that are not reported in a timely manner are covered in #4 below.
5. *Errors/Omissions, Misrepresentations/Failure or Delay in Reporting Changes.* (In the interest of brevity, the word "error" is used in this section to represent errors, omissions, misrepresentations, and failure to report changes.) If an error in rent is revealed at any time, proper adjustment will be made to correct the error as follows:
  - 1) Errors which are the fault of the tenant:
    - S Increased rent shall be retroactive to the first day of the month following the date the change occurred.
    - S Decreased rent shall be effective on the first day of the month following the month the change was reported.
  - b) Errors not the fault of the tenant:
    - S Increased rent shall be made effective the first day of the second month following the date the error was discovered.
    - S Decreased rent shall be made retroactive to the date of the rent adjustment in which the error occurred.

D. Changes in Household Composition

1. The tenant is required to report in writing any change in household composition within ten (10) days of the change.
2. A new born child, an adopted child under 10 years old, or a child under 10 years old for whom custody has been awarded by a court to the Head of the Household or the spouse may be added to a tenant's lease. No other new household member may be added to the tenant's lease unless and until that person has provided the required information to the

Housing Authority and been determined eligible for admission according to the guidelines specified in Section II of this policy and a unit of the appropriate size is available. The Housing Authority has the right to deny admission to any person found to be ineligible.

3. A tenant must provide documentation as required by HACNL when reporting that a family member has vacated the household. In the case of an income producing household member or any member which the HACNL has reasonable cause to believe has been involved in criminal activity or drug-related criminal activity, HACNL will require at least two documents verifying the new address of the departing family member or other evidence deemed acceptable by HACNL. Utility bills, a driver's license, an automobile registration, an employer's verification, or a lease or a rent receipt bearing the family member's name, new address and a date are examples of acceptable evidence. Court papers indicating that a family member has left the household such as a Petition for Dissolution of Marriage, a Petition for an Order of Protection from Abuse, or a Petition for Legal Separation may also be acceptable.
4. A tenant eligible for a transfer to a larger or smaller unit as the result of approved changes in household composition may request a transfer and be placed on the master transfer list effective the date the transfer request is approved (see Section VIII). A tenant reporting a decrease in household size which changes the unit size for which the family is eligible will not be required to be placed on the transfer list until the effective date of the family's next annual reexamination.

E. Visitors

Tenants will be allowed to have visitors for a period of up fourteen (14) cumulative days in any one calendar year (twelve month period), except in the case of a family member requiring care during illness or recuperation from illness or injury as certified by a physician. Written permission must be obtained from the Housing Authority for any deviation from the occupancy standards listed in this policy.

## **VIII. UNIT TRANSFERS**

A. Introduction

2. Transfers of tenants from one unit to another will be approved solely in accordance with this policy.
3. Transfers shall be made without regard to race, creed, color, gender, familial status, disability or national origin.

4. Tenants shall not be transferred to a dwelling unit of equal size except for transferring a non-handicapped family residing in a handicap-accessible unit or for alleviating hardships or other undesirable conditions as determined by the Executive Director or designee.
5. Transfers will only be made where tenants are not delinquent in rent, have good housekeeping habits, have not caused damage to the current unit being occupied, or do not have long standing charges remaining outstanding on their accounts.
6. Transfer requests shall be placed on a Transfer List in the order of the date the request is approved. All transfer requests shall be reviewed by the Manager and Executive Director or his/her designee. Separate transfer lists shall be maintained for each development; however, a master listing of transfer requests shall be maintained at the main office of the Housing Authority.
7. With the exception of transfers related to modernization activity or in the case of an emergency, a tenant family transferring from one apartment to another is responsible for any costs associated with moving to the new apartment.

B. Type of Transfers

The HACNL has four types of transfers: Emergency, Administrative - Category 1, and Administrative - Category 2, and transfers from the Low-Rent Program to the Moderate-Rent Program.

1. *Emergency Transfers, Category 1*, are permitted when the unit or building conditions pose an immediate threat to resident life, health or safety, as determined by HACNL. Emergency transfers within sites or between sites may be made to repair unit defects hazardous to life, health, or safety, alleviate verified medical problems of a life threatening nature, or, based on documentation provided by a law enforcement agency, protect members of the household from attack by the criminal element in a particular property or neighborhood. These transfers shall take priority over new admissions.
2. *Administrative Transfers, Category 1*, include transfers within sites or between sites to alleviate verified medical problems of a serious nature, permit modernization of units, permit a family that requires a unit with accessible features to occupy such a unit, remove residents who are witnesses to crimes and may face reprisals (as documented by a law enforcement agency), or provide housing options to residents who are victims of hate crimes or extreme harassment. These transfers shall take priority over new admissions.
  - 1) Requests for transfers under Category 1 will be made to the Manager. The resident will provide the Manager with the necessary verification and/or documentation to substantiate the need for a transfer. Whenever feasible, transfers will be made within a resident's development. Transfers may also be initiated by HACNL.

3. *Administrative Transfers, Category 2*, within sites or between sites may be made to correct occupancy standards (i.e. over/under housed conditions), or to address situations such as neighbor disputes that are not criminal but interfere with the peaceful enjoyment of the unit or common areas. These transfers will not automatically take priority over new admissions.
  - 1) Category 2 administrative transfers will be processed with new admissions using a ratio of one transfer for every five new admissions. This ratio is discretionary and will be reviewed at least annually to determine its effects on the vacancy rate. Based on recommendations from staff, the Executive Director may authorize a change in this ratio or suspend the processing of this type of transfer.
  - 2) Transfers to correct occupancy standards may be recommended at time of re-examination or interim redetermination. This is the only method used to determine over/under housed status.
  - 3) Residents in an over/under housed status will be advised within 30 days of the annual or interim reexamination that a transfer is recommended and that the family has been placed on the transfer list.
  - 4) When a head of a household, originally housed in a bedroom by him/herself, has a child, that child shall remain in the parent's bedroom until it is two (2) years of age. After age 2, a Category 2 administrative transfer may be recommended.
4. A tenant may request a transfer from the Winthrop Towers to the State Moderate-Rent Program when the tenant has been a tenant in good standing for 12 months, and meets the economic viability test for the Moderate-Rent Program.
  - 5) A Winthrop Towers resident will be considered to be in good standing if he/she is current in their rent and other payments, has a good rent payment history, has been compliant with his/her lease, has good housekeeping habits, and maintains good neighbor relations.
  - 6) Transfers of tenants from Winthrop Towers to the State Moderate-Rent Program will be processed with new admissions using a ratio of one transfer for every four new admissions. This ration is discretionary, and will be reviewed at least annual to determine its effects on the vacancy rate. Based upon the recommendations of staff, the Executive Director at his/her sole discretion may authorize a change in this ratio or suspend processing of this type of transfer.

C. Unit Offers

6. A tenant that has received a formal transfer offer is given seven (7) days to accept the offer and sign a Dwelling Lease for the new unit. Thereafter, the tenant is given an additional seven (7) days to move personal belongings. If the transfer has not been completed and keys to the former unit returned after

seven (7) days, per diem rent for the former unit will be charged in addition to rent for the new unit until the keys are returned to the appropriate HACNL office. However, for Authority-initiated moves for over and underhousing, the Authority shall provide at least sixty (60) days advance notice of its intention to transfer such a tenant prior to a tenant receiving a formal transfer offer.

7. If the tenant refuses a unit offer, the tenant's lease may be terminated in accordance with the lease, or at HACNL's discretion, the tenant can be placed at the bottom of the transfer list as of the date of refusal and the tenant will so be notified in writing. During the entire proceedings, the tenant will be advised of his/her rights under the Grievance Procedure.

D. Extended Family

Members of an extended family living in a HACNL unit may not be separated into two dwelling units through a transfer application. Specific family members may apply for a separate unit using the application procedures described in this Policy. Members of such a family will receive no preference on the standard waiting list as a result of occupancy in a HACNL unit.

5. Revision of Suspension of Transfer Policy

The Housing Authority reserves the right to revise or suspend its Transfer Policy because of efforts to decrease vacancies or any other management initiative. Transfers during such times will be treated on a case-by-case basis solely at the discretion of the Executive Director.

## **TERMINATIONS**

A. Termination Notices

8. The tenant must give a written notice to the Housing Authority of at least 30 days of intent to terminate the lease.
9. *Federal Housing.* If the Housing Authority terminates the lease of a tenant household in federally-assisted housing, written notice must be given to an adult member of the household as follows:
  - i) When the health or safety of other tenants or employees of the Authority is threatened, notice of HACNL's intention to terminate the lease in reasonable amount of time (but not to 30 days) considering the seriousness of the situation. The Tenant and Authority agree that seven (7) days is reasonable time for any drug-related criminal activity on or off the premises.
  - 2) In the case of failure to pay rent which includes all payments due under the lease, notice of HACNL's intention to terminate the lease in fourteen (14) days unless all amounts due under the lease have been paid before that date.
  - 3) In all other cases, notice of HACNL's intention to terminate the lease at least thirty (30) days.

3. *State Housing.* If the Housing Authority terminates the lease of a tenant household in federally-assisted housing, written will be given in accordance with Connecticut General Statutes.
4. Notice of termination to the tenant shall state reasons for the termination and shall inform the tenant of the right to make such reply as tenant may wish. The notice shall also inform the tenant of the right to examine, prior to hearing or trial, and copy at tenant's expense, Housing Authority documents directly relevant to the termination. The notice shall inform the tenant of the right to request a hearing in accordance with Housing Authority's Grievance Procedure (if the Grievance Procedure is applicable to the dispute involved).

B. Reasons for Termination

The Housing Authority may not terminate or refuse to renew the lease except for serious or repeated violations of the terms of the lease including, but not limited to:

1. The failure to pay rent or other payments when due;
2. Repeated late payment, which shall be defined as failure to pay the amount of rent or other charges due by or on the 10<sup>th</sup> of the month. Three such late payments within a twelve month period shall constitute repeated late payment.
3. Failure to pay electric, gas or heating bills when Tenant is responsible for paying such bills directly to the supplier of utilities.
4. Misrepresentation of family income, assets, or composition at the time of admission or anytime thereafter.
5. Failure to supply, in a timely fashion, any certification, release, information or documentation on family income, assets or composition needed to process annual re-examinations or interim re-determinations.
6. Serious or repeated damage to the apartment, creation of physical hazards in the apartment, common areas, grounds or parking area of the Housing Authority's property.
7. Behavior and/or activity by Tenant, household member, guest or visitors which disturb other residents' peaceful enjoyment of their apartments; and/or is not conducive to maintaining all Authority projects in decent, safe and sanitary conditions.
8. Drug-related criminal activity by the Tenant, household member, long-term guest or frequent visitor on or off the premises. With respect to a public housing resident convicted of manufacturing or producing methamphetamine on the premises, eviction shall be permanent. Premises shall be defined as the building or complex in which the dwelling is located, including common areas and grounds.

9. Criminal activity by Tenant, household member, long-term guest or frequent visitor including criminal activity that threatens the health, safety, or right to peaceful enjoyment of the Authority's public housing premises by other residents or employees, or any drug-related criminal activity on or off the premises.
10. Alcohol and/or controlled substance abuse that the Authority determines interferes with the health, safety, or right to peaceful enjoyment of the premises by other residents.
11. The presence of weapons or illegal drugs in your apartment.
12. Any fire on Authority premises caused by the tenant, household members guests or visitors= actions or neglect.
13. Uninhabitable apartment conditions caused by the tenant, household member, guests or visitors= actions or neglect.
14. Refusal of an offer of a new lease.
15. Failure to accept a transfer when currently residing in a unit that is too large or too small for the family based on the Authority's Occupancy Standards or to accommodate an administrative need of the Authority including but not limited to the disposition, demolition or modernization of your apartment.
16. Abandonment of the unit.
17. Conviction of a member of the household for manufacturing or producing methamphetamine on the premises of a public housing development.
18. Violation of the Authority's policy requiring 8 hours of community service for non-exempt public housing adults.
19. If the Authority receives information from a State or local agency that a member of the federal public housing household is subject to a lifetime sex offender registration requirement.
20. Other serious or repeated violations of any material term of this lease.

C. Written Records

Written records documenting eviction actions shall be maintained by the Housing Authority in strict confidence and shall contain all of the following information:

11. Name of tenant and identification of unit occupied.
12. Copies of the Termination Notice and any subsequent correspondence or notices.

13. Specific reason(s) for eviction. For example, if a tenant is being evicted for drug-related criminal activity, the record shall detail the actions for which the eviction has been instituted.
14. Responses or answers, if any, received from the tenant.
15. Date and method of notifying tenant of reasons and showing a summary of any conference(s) with the tenant, including the names of conference participants.
16. Dated and signed records of the minutes of any hearing held.
17. Date and description of the final action taken.

D. Abandonment of the Unit

The Housing Authority will comply with Connecticut state law Section 47a-11b, including requirements for posting and mailing notices of intent to declare a unit abandoned, taking possession of the unit, and the timing and method of disposal of items left in the abandoned unit.

5. If you vacate or abandon the apartment which may be evidenced by your removal of substantially all of your possessions or have been absent from your apartment for twenty-one consecutive days and either (a) fail to pay rent for 2 months or (b) make an express statement that you do not intend to occupy the apartment after a specific date,, HACNL may send notices to each occupant at his last-known address, stating that:
  - B Reason to believe that the occupant has abandoned the dwelling unit;
  - B Intent to reenter and take possession of the dwelling unit unless the occupant contacts HACNL within ten days of receipt of the notice;
  - B If the occupant does not contact HACNL, the Housing Authority intends to remove any possessions and personal effects remaining in the premises and to rerent the premises; and
  - B If the occupant does not reclaim such possession and personal effects within thirty days after the notice, they will be disposed of in accordance with state policy.
2. If the notices are returned as undeliverable, or the occupant fails to contact HACNL within ten days of the receipt of the notice, the Housing Authority may reenter and take possession of the dwelling unit, at which time any rental agreement or lease still in effect shall be deemed to be terminated.
3. HACNL shall inventory any possessions and personal effects of the occupant in the premises and shall remove and keep them for not less than thirty days. The occupant may

reclaim such possessions and personal effects from HACNL within said thirty-day period. If the occupant does not reclaim such possession and personal effects by the end of said thirty-day period, the Housing Authority may dispose of them in accordance with Connecticut state law.

## **X. POSTING REQUIREMENTS/REVISIONS**

### **A. Posting Requirements**

This document must be publicly posted in a conspicuous location in the site offices and must be furnished to applicants and tenants upon request.

### **B. Revisions**

This document may be modified by the Housing Authority provided that the Housing Authority shall give at least a thirty-day written notice to each affected tenant setting forth the proposed modification, the reasons therefore, and providing the tenant an opportunity to present written comments which shall be taken into consideration by the Housing Authority prior to the proposed modification becoming effective. A copy of such notice shall be:

- 1) Delivered directly or mailed to each tenant; or
- 2) Posted in a conspicuous place at the site offices or in a similar central business location within the site.

## **XI. REVISION OF OCCUPANCY POLICY RESULTING FROM CHANGES IN LOCAL, STATE, OR FEDERAL LAW OR REGULATION**

The provisions of this plan are based upon local, state and Federal law and regulation. Should any applicable law or regulation change, this plan will be deemed to be automatically revised. To the extent that the change is mandatory (allowing no Housing Authority discretion), the text of the plan will be revised without requirement for administrative processing. By approving this provision, the Board of Commissioners understands that they are approving future automatic revisions responding to mandatory regulatory changes.

## **XII. MISREPRESENTATION**

The tenant shall be notified in writing if the Housing Authority finds evidence that the tenant or any adult member of the tenant family has misrepresented facts affecting the family's eligibility or rent. Willful misrepresentation of facts may result in retroactive rent charges, eviction action, and/or criminal prosecution.

Section 1001 of Title 18 of the United States Code makes it a criminal offense to knowingly make a false statement to any department or agency of the United States as to any matter within its jurisdiction and establishes penalties or fines up to \$10,000 and/or imprisonment not to exceed five years.

### **XIII. GRIEVANCE PROCEDURE**

The Grievance Procedure sets forth the requirements, standards, and criteria established to assure the tenants of HACNL an opportunity for a Hearing if he or she disputes any Housing Authority action or failure to act involving the tenant's lease or Housing Authority regulations which adversely affect the individual tenant's rights, duties, welfare or status.

Each tenant and tenant organization shall be given a copy of the Grievance Procedure and it is incorporated into this Policy on Admissions and Continued Occupancy and the lease by reference.

### **XIV. PET POLICY**

HACNL's Pet Policy establishes the rules and guidelines by which residents may keep domesticated pets in their dwelling units and is incorporated by reference into this Policy.

Each tenant requesting permission to own and keep a pet shall be provided a copy of the Policy and be required to sign a Pet Agreement at initial occupancy or at the time of initial request for a pet and every year at reexamination time or as otherwise required by HACNL.

### **XV. RELOCATION**

When HACNL intends to rehabilitate a development or developments and rehabilitation activities will require tenants to move temporarily or permanently, a Relocation Plan will be developed in cooperation with the affected tenants. The plan will dictate preferences to which relocatees will be entitled and their rights to housing choices, moving expenses, etc. Such preferences may affect the order of selection for applicants and transferees, and Relocation Plan, therefore, will serve as an amendment to this policy.

# APPENDICES

APPENDIX A  
PUBLIC HOUSING ADMISSIONS AND CONTINUED OCCUPANCY POLICY  
UTILITY ALLOWANCES

WINTHROP TOWERS (CT 22-1)

# OF BEDROOMS	UTILITY ALLOWANCE
1	\$26
2	\$32
3	\$35
4	\$39
5	\$40

RIOZZI AND GORDON (E-9)

# OF BEDROOMS	UTILITY ALLOWANCE
1	\$55

STATE MODERATE-RENT PROGRAM

# OF BEDROOMS	UTILITY ALLOWANCE
2	\$25
3	\$40

APPENDIX B  
PUBLIC HOUSING ADMISSIONS AND CONTINUED OCCUPANCY POLICY  
INFORMAL REVIEW PROCEDURES

(Applicants Only)

I. Applicability

1. The Housing Authority will provide an opportunity for an informal review regarding a decision denying assistance to an applicant, including a decision:
  1. Denying placement on the waiting list.
  2. Denying participation in the Public Housing Program
  1. Denying a preference in determining eligibility for the Public Housing Program.
2. The Housing Authority is not required to provide an opportunity for informal review:
  1. To review discretionary administrative determinations by the Housing Authority, or to consider general policy issues or class grievances.
  2. To review the Housing Authority's determination of the number of bedrooms determined under the standards established by the Housing Authority in accordance with HUD regulations.

II. Procedures

- A. The Housing Authority shall give an applicant prompt written notice of a decision denying assistance to the applicant, including a decision of ineligibility for housing, ineligibility for any of the selection preferences adopted by HACNL, or removal from or denying placement on the waiting list. The notice shall also state that the applicant may request in writing an informal review of the decision, and shall describe how to obtain the informal review.
3. The applicant must submit a written request for an informal review within ten (10) days of notification of the decision denying assistance.
4. If the applicant's request is not submitted within ten (10) days or in another way fails to comply with requirements, the request will be denied and the applicant will be promptly notified in writing.
5. If the request meets the criteria, an informal review will be scheduled within thirty (30) days of the request.

5. The informal review shall be conducted by any person or persons designated by the Executive Director, other than a person who made or approved the decision under review or a subordinate of such person.
  6. The applicant shall be given an opportunity to present written or oral objections to the Housing Authority's decision.
- 
1. The Housing Authority shall promptly notify the applicant in writing of the final decision after the informal review, including a brief statement of the reasons for the final decision. If an applicant is successful in his/her appeal, HACNL shall restore or upgrade his/her application on the waiting list as applicable.

APPENDIX C  
PUBLIC HOUSING ADMISSIONS AND CONTINUED OCCUPANCY POLICY  
GLOSSARY OF TERMS

ADJUSTED INCOME. Annual Income minus applicable allowances.

1. **For federally-assisted housing**, as defined in 24CFR Part 5.
2. For a Family Living in State Moderate Rent Housing:
  - a That has no Disability Assistance Expenses, an allowance for Medical Expenses equal to the amount by which the Medical Expenses exceed three percent of Annual Income.
  - b That has Disability Assistance Expenses greater than or equal to three percent of Annual Income, an Allowance for Disability Assistance Expenses computed in accordance with paragraph 4 above, plus an Allowance for Medical Expenses that is equal to the Family's Medical Expenses.

That has Disability Assistance Expenses that are less than three percent of Annual Income, an Allowance for combined Disability Assistance Expenses and Medical Expenses that is equal to the amount by which the sum of the expenses exceeds three percent of Annual Income.

**For state moderate rent housing**, \$750 for each dependent household member who is under 18 years of age, disabled, or a full time student. Standard deduction calculated as follows: total family income minus all deductions times .10%

ALLOWANCE FOR DEPENDENTS

\$480 (**if federally-assisted**) or \$750 (**if state moderate**) deduction for each family member who is a dependent. (See definition of Dependent below.)

ADULT

A person, 18 years of age or older, or an emancipated minor whom the members of the family have routinely looked to as the head of the family, and who is legally competent to sign a binding agreement.

ALLOWANCE FOR DISABILITY ASSISTANCE EXPENSES

The amount of Disability Assistance Expense in excess of three (3) percent of annual income which enables a family member (including the handicapped or disabled person) to work. The allowance may not exceed the annual income earned by the family member who is enabled to

work. Disability assistance expenses include costs for care attendants and auxiliary apparatus (e.g., wheelchairs, adaptations, to vehicles, special equipment) if directly related to permitting the handicapped person or other family members to work.

### ALLOWANCE FOR MEDICAL EXPENSES

For elderly families (see definition of Elderly Family below) or families living in state moderate housing only the amount of unreimbursed medical expenses (see definition of Medical Expenses below) in excess of three (3) percent of annual income.

### ANNUAL INCOME

1. Annual income is the anticipated total income from all sources received by the family head and spouse (even if temporarily absent) and by each additional member of the family, including all net income derived from assets for the 12-month period following the effective date of initial determination or re-examination of income, exclusive of income that is temporarily non-recurring or sporadic. Annual income includes, but is not limited to:
  - a. The full amount, before any payroll deductions, of wages and salaries, overtime pay, commissions, fees, tips and bonuses, and other compensation for personal services;
  2. The net income from operation of a business or profession. Expenditures for business expansion or amortization of capital indebtedness shall not be used as deductions in determining net income. An allowance for depreciation of assets used in a business or profession may be deducted, based on straight line depreciation, as provided in Internal Revenue Service regulations. Any withdrawal of cash or assets from the operation of a business or profession will be included in income, except to the extent the withdrawal is reimbursement of cash or assets invested in the operation by the Family.
  3. Interest, dividends, and other net income of any kind from real or personal property. Expenditures for amortization of capital indebtedness shall not be used as deductions in determining net income. All allowance for depreciation is permitted only as authorized in paragraph 1b of this section. Any withdrawal of cash or assets from an investment will be included in income, except to the extent the withdrawal is reimbursement of cash or assets invested by the Family. Where the Family has Net Family Assets exceeds \$5,000, Annual Income shall include the greater of the actual income derived from all Net Family Assets or a percentage of the value of such Assets based on the current passbook savings rate, as determined by HUD or state regulations as applicable.

4. The full amount of periodic payments received from Social Security, annuities, insurance policies, retirement funds, pensions, disability or death benefits and other similar types of periodic receipts, including a lump-sum amount or prospective monthly amount for the delayed start of a periodic payment (except as provided in 2n below).
5. Payments in lieu of earnings such as unemployment and disability compensation, worker's compensation and severance pay.
6. Periodic and determinable income or allowances, such as alimony and child support payments and regular contributions, lottery winnings, or gifts received from persons not residing in the dwelling.
7. All regular pay, special pay allowances of a member of the Armed Forces (whether or not living in the dwelling) who is head of the family or spouse (but see 2g below).

2. Income Exclusions

Annual income does not include the following:

1. Income from employment of children (including foster children) under the age of 18 years;
2. Payments received for the care of foster children or foster adults (usually individuals with disabilities, unrelated to the tenant family, who are unable to live alone);
3. Lump-sum additions to family assets, such as inheritances, lottery winnings, insurance payments (including payments under health and accident insurance and worker's compensation), capital gains and settlement for personal or property losses (except as provided in 1e above);
4. Amounts received by the Family that are specifically for, or in reimbursement of, the cost of Medical Expenses for any Family member;
5. Income of a live-in aide as defined in 24 CFR 5.403;
6. The full amount of student financial assistance paid directly to the student or to the educational institution;
7. The special pay to a Family member serving in the Armed Forces who is exposed to hostile fire;
- h. (i) Amounts received under training programs funded by HUD;

- (ii) Amounts received by a disabled person that are disregarded for a limited time for purposes of Supplemental Security Income eligibility and benefits because they are set aside for use under a Plan to Attain Self-Sufficiency (PASS);
  - (iii) Amounts received by a tenant in other publicly assisted programs which are specifically for or in reimbursement of out-of-pocket expenses incurred (special equipment, clothing, transportation, child care, etc.) and which are made solely to allow participation in a specific program; or
  - (iv) A resident service stipend: this is a modest amount (not to exceed \$200 per month) received by a public housing resident for performing a service for HACNL, on a part-time basis, that enhances the quality of life in public housing. This may include, but is not limited to fire patrol, hall monitoring, lawn maintenance and resident initiatives coordination. No resident may receive more than one such stipend during the same period of time; or
  - (v) Incremental earnings and benefits resulting to any family member from participation in qualifying State or local employment training programs (including training programs not affiliated with the local government) and training of a family member as resident management staff. Amounts excluded by this provision must be received under employment training programs with clearly defined goals and objectives, and are excluded only for the period during which the family member participates in the employment training program.
- i. Temporary, non-recurring or sporadic income (including gifts);
  - j. Reparation payments paid by a foreign government pursuant to claims filed under the laws of that government by persons who were persecuted during the Nazi era;
  - k. For federally-assisted housing, earnings in excess of \$480 for each full-time student 18 years or older (excluding the head of household and spouse) or for state housing, earnings of each full-time student under 23 years old ;
- 2. Adoption assistance payments in excess of \$480.00 per adopted child;
  - m. The earnings and benefits to any family member resulting from the participation in a program providing employment training and supportive services in accordance with the Family Support Act of 1988, section 22 of the 1937 Act (42 U.S.C. 1437t), or any comparable Federal, state or local law during the exclusion period;  
For the purposes of this paragraph, the following definitions apply:

- 10) Comparable Federal State or local law means a program providing employment training and supportive services that (1) is authorized by a Federal, State or local law; (2) is funded by the Federal, State or local government, (3) is operated or administered by a public agency; (4) has as its objective to assist participants in acquiring employment skills.
  - (ii) Exclusion period means the period during which the family member participates in a program described in this section, plus 18 months from the date the family member begins the first job acquired by the family member after completion of such program that is not funded by public housing assistance under the 1937 Act. If the family member is terminated from employment with good cause, the exclusion period shall end.
  - (iii) Earnings and benefits means the incremental earnings and benefits resulting from a qualifying employment training program or subsequent job.
- n. Deferred periodic amounts from supplemental security income and social security benefits that are received in a lump-sum amount or in prospective monthly amounts;
- o. Amounts received by the family in the form of refunds or rebates under state or local law for property taxes paid on the dwelling unit;
- p. Amounts paid by a State Agency to a family with a developmentally disabled family member living at home to offset the cost of services and equipment needed to keep the developmentally disabled family member at home;
- q. Amounts specifically excluded by any other Federal statute from consideration as income for purposes of determining eligibility or benefits under a category of assistance programs that includes assistance under the 1937 Act. The following is a list of incomes that qualify for that exclusion:
- (i) The value of the allotment provided to an eligible household under Food Stamp Act of 1977;
  - (ii) Payments to volunteers under the Domestic Volunteer Service Act of 1973 (employment through VISTA, Retired Senior Volunteer Program, Foster Grandparents Program, youthful offender incarceration alternatives, senior companions);
  - (iii) Payments received under Alaska Native Claims Settlement Act;
  - (iv) Income derived from certain submarginal land of the United States that is held in trust for certain Indian tribes;
  - (v) Payments or allowances made under department of Health and Human Services' Low-Income Energy Assistance Program;

- (vi) Payments received under programs funded in whole or in part under the Job Training Partnership Act;
- (vii) Income derived from the disposition of funds of Grant River Band of Ottawa Indians;
- (viii) The first \$2,000 of per capita shares received from judgment funds awarded by the Indian Claims Commission or the Grant of Claims or from funds held in trust for an Indian tribe by the Secretary of Interior;
- (ix) Amounts of scholarships funded under Title IV of the Higher Education Act of 1965, including awards under the Federal work-study program or under the BIA student assistance programs. These are made available to cover the cost of tuition, fees, books, equipment, materials, supplies, transportation and miscellaneous personal expenses of a student or an educational institution;
- (x) Payments received from programs funded under Title V of the Older Americans Act of 1965;
- (xi) Payments received after January 1, 1989 from the Agent Orange Settlement Fund or any other fund established pursuant to the settlement in the In Re Agent Orange product liability litigation, MDL No. 381 (E.D.N.Y.)
- (xii) Payments received under the Maine Indian Claims Settlement Act of 1980 (Pub. L. 96-426, 94 Stat. 1785).
- (xiii) The value of any childcare provided or reimbursed for under the Child Care and Development Block Grant Act of 1990.
- (xiv) Earned income tax credit.

If it is not feasible to anticipate a level of income over a 12-month period, the income anticipated for shorter periods may be annualized, subject to redetermination at the end of the shorter period.

Any family receiving the reparation payments referred to in paragraph 2j of this section that has been requested to repay assistance under this chapter as a result of receipt of such payments shall not be required to make further repayments on or after April 23, 1993.

### APPLICANT

An applicant is a Family who is seeking assistance through the Public Housing Program and who does not yet have a fully executed lease agreement with the Housing Authority.

### APPLICATION FOR ADMISSION

The written form that is signed and dated by all adult members of the family and which includes information the Housing Authority needs to determine whether the family can be admitted. The format for this basic information will be developed by the Housing Authority.

### ASSETS

The values of (or equity) in the real property, stocks, bonds, checking and savings accounts or certificates, stocks or merchandise or valuables and other forms of capital investments. (Does not include personal and household belongings and automobiles.) Assets shall include any asset disposed of at less than fair market value within the last two years.

### CHILD CARE EXPENSES

Amounts anticipated to be paid by the family for the care of children under 13 years of age during the period of which annual income is computed, but only where such care is necessary to enable a family member to be gainfully employed or to further his/her education. A child care deduction will not be allowed if an adult family member is capable and available to provide the child care. The amount deducted shall reflect reasonable charges for child care, and, in the case of child care necessary to permit employment, the amount deducted shall not exceed the amount of income received from such employment and only to the extent such amounts are not reimbursed.

### CITIZEN

A citizen or national of the United States.

### DEPENDENT

A member of the family household (excluding foster children, head of household, or spouse) who is under 18 years of age or is a disabled person or is a full-time student.

### DISABLED PERSON

A person who is under a disability as defined in Section 223 of the Social Security Act (42 U.S.C. 423), or who has a developmental disability as defined in Section 102(7) of the Developmental Disabilities Assistance and Bill of Rights Act (42 U.S.C. 6001(7) which defines a developmental disability.

Section 223 of the Social Security Act defines disability as:

**A(a)** the inability to engage in any substantial, gainful activity by reason of any medically determinable physical or mental impairment which can be expected to result in death or which has lasted or can be expected to last for a continuous period of not less than 12 months; or **(b)** in the case of an individual who has attained the age of 55 and is blind, the inability by reason of

such blindness to engage in substantial gainful activity requiring the skills or abilities comparable to those of any gainful activity in which he/she has previously engaged with some regularity and over a substantial period of time.@

Section 102(7) of the Developmental Disabilities Assistance and Bill of Rights Act (42 U.S.C. 6001(7) defines a developmental disability as:

"severe chronic disability that (a) is attributable to a mental or physical impairment or combination of mental and physical impairments; (b) is manifested before the person attains age twenty-two; (c) is likely to continue indefinitely; (d) results in substantial functional limitations in three or more of the following areas of major life activity: (1) self-care, (2) receptive and responsive language, (3) learning, (4) mobility, (5) self-direction, (6) capacity for independent living, and (7) economic self-sufficiency; and (e) reflects the person's need for a combination and sequence of special, interdisciplinary, or generic care, treatment or other services which are of lifelong extended duration and are individually planned and coordinated."

#### DRUG-RELATED CRIMINAL ACTIVITY

The illegal manufacture, sale, or distribution, or the possession with the intent to manufacture, sell, or distribute, of a controlled substance (as defined in Section 102 of the Controlled Substance Act, 21 U.S.C. 802); or the illegal use, or possession for personal use, of a controlled substance.

#### ELDERLY FAMILY

A family whose head, co-head, spouse, or sole member is a person who is at least 62 years of age; or two or more persons who are at least 62 years of age living together; or one or more persons who are at least 62 years of age living one or more live-in aides.

#### ELDERLY PERSON

A person who is at least 62 years of age.

#### EVICITION

The dispossession of the tenant from an apartment as a result of the termination of the lease, for serious or repeated violation of material terms of the lease such as failure to make payments due under the lease or to fulfill the tenant obligations set forth in HUD regulations, Federal, and state law, or for other good cause.

#### EVIDENCE OF CITIZENSHIP OR ELIGIBLE IMMIGRATION STATUS

The documents required of family member claiming U.S. citizenship or eligible immigration status.

### EXTREMELY LOW INCOME FAMILY

A family receiving income at or below 30% of the median annual income for their area.

### FAMILY

Family includes but is not limited to:

- a. A family with or without children (the temporary absence of a child from the home due to placement in foster care shall not be considered in determining family composition and family size);
- b. An elderly family;
- c. A near-elderly family;
- d. A disabled family;
- e. A displaced family;
- f. The remaining adult member of a tenant family; and
- g. For federally-assisted housing only, a single person who is not an elderly or displaced person, or a person with disabilities, or the remaining member of a tenant family.

### FOSTER-CARE PAYMENT

Payment to eligible households by state, local or private agencies for the care of a child placed in the home by an agency.

### FULL-TIME STUDENT

A person who is carrying a subject load that is considered full-time for day students under the standards and practices of the educational institution attended. An educational institution includes a vocational school with a diploma or certificate program, as well as an institution offering a college degree.

### HANDICAPPED/DISABILITY ASSISTANCE EXPENSE

Reasonable expenses in excess of three (3) percent of annual income that are anticipated during the period for which annual income is computed for attendant care and auxiliary apparatus for a disabled family member and expenses that are necessary to enable a family member (including the disabled member) to be employed, provided that the expenses are neither paid to a member of the family nor reimbursed by an outside source.

### HEAD OF HOUSEHOLD

An adult, 18 years of age or older, or an emancipated minor under the age of 18 years, whom the members of the family have routinely looked to as the head of the family, and who is legally competent to sign a binding contract.

### HOUSING TYPES

HACNL operates three types of housing which are available to applicant families as follows:

Federally-Assisted Family Housing (i.e. General Occupancy): This type of housing is available to all applicant families who meet the eligibility requirements specified herein.

Federally-Assisted Elderly Housing (i.e. Mixed Population) and State Elderly Housing: This type of housing is available to applicant families who are elderly, disabled, near elderly, or for federally-assisted elderly only a single person and meet the eligibility requirements specified herein.

State Moderate Housing: This type of housing is available to applicant families who meet the eligibility requirements specified herein including passing the economic viability test.

### HUD

The U.S. Department of Housing and Urban Development or its designee.

### INS

U.S. Immigration and Naturalization Service.

### LEASE

A written agreement between HACNL and an eligible family for the leasing of a public housing unit.

### LIVE-IN-AIDE

A person who resides with one or more elderly persons or near-elderly persons, or persons with disabilities, and who:

- a. Is determined by the Authority to be essential to the care and well-being of the person(s);
- b. Is not obligated for support of the person(s); and
- c. Would not be living in the unit except to provide necessary supportive services.

A live-in aide does not qualify as the remaining member of a tenant family.

### LOCAL PREFERENCE

A preference established by HACNL for use in selecting among applicants. HACNL has established two types of preferences: one for federally-assisted family and elderly housing as detailed in Section IV of this plan; and another for state moderate rent housing.

### LOWER INCOME FAMILY

A family whose annual income does not exceed 80 percent of the median income for the area as determined by HUD.

### LUMP SUM BENEFIT

A payment of periodic benefits for a previous period which may be included as income, not including Social Security and Social Security lump sum benefits. Only that portion of the payment attributable to the time the tenant resided continuously under the Public Housing Program may be counted as income.

### MEDICAL EXPENSES

For purposes of income determination for elderly or disabled families or families living in state moderate rent housing, medical expense in excess of 3% of total family income which are anticipated to be incurred during the period for which the annual income is computed, where these expenses are not compensated for, or covered by insurance. Medical expenses include such items as medical insurance premiums, dental expenses, prescription and nonprescription medicines, etc.

### MINIMUM RENT

Established by the PHA somewhere between \$0 and \$50. The minimum rent includes a utility allowance.

MINOR

A person less than eighteen years of age.

MIXED FAMILY

A family whose members include both citizens/eligible immigrants and noncitizens with ineligible immigration status.

NATIONAL

A person who owes permanent allegiance to the U.S. as the result of birth in a U.S. territory or possession.

NEAR-ELDERLY FAMILY

A family whose head, spouse, or sole member is a person who is at least 50 years of age (or 55 years of age for state elderly housing) but below the age of 62; or two or more persons, who are at least 50 years of age (or 55 years of age for state elderly housing) but below the age of 62, living together or one or more persons who are at least 50 years of age (or 55 years of age for state elderly housing) but below the age of 62 living with one or more live-in aides.

NEAR-ELDERLY PERSON

A person who is at least 50 years of age (or 55 years of age for state elderly housing) but below the age of 62, who may be a person with a disability.

NET FAMILY ASSETS

Value of equity in real property, savings, stock, bonds, life insurance policies, and other forms of capital investment, excluding interests in Indian trust land. (The value of necessary items of personal property such as furniture and automobiles is excluded).

In cases where a trust fund had been established and the trust is not revocable by, or under the control of, any member of the family or household, the value of the trust fund will not be considered an asset so long as the fund continues to be held in trust. Any income distributed from the trust fund shall be counted when determining Annual Income.

In determining the Net Family Assets, the Housing Authority shall include the value of any assets greater than one thousand dollars (\$1000) which were disposed of by an applicant or tenant for less than fair market value (including a disposition in trust, but not in a foreclosure or bankruptcy

sale) during the two years preceding the date of application for the program or reexamination, as applicable, in excess of any consideration received for the asset.

### NON-CITIZEN

A person who is neither a citizen nor national.

### PROGRAMS ESTABLISHED UNDER THE UNITED STATES HOUSING ACT OF 1937

1. The Public Housing program or Indian Housing program; 2. Any program operated as part of the Section 8 program; 3. The Section 23 Leased Housing program.

### RECOVERING ADDICT

A person that: 1) has completed a supervised drug rehabilitation program and is not currently engaged in the illegal use of a controlled substance; or has otherwise successfully been rehabilitated and not currently illegally using drugs; or, 2) is involved in a supervised rehabilitation program and not currently illegally using drugs; and is involved in a self help group, such as Narcotics Anonymous, and not currently illegally using drugs.

### OVERHOUSED

A tenant family with a greater number of bedrooms than required for family members, according to the standards set forth in Section V of this policy.

### RESIDENCY PREFERENCE

An PHA established preference for admission of families that reside or work or have been hired to work in the jurisdiction of the PHA. The length of time the family has lived or worked the jurisdiction may not be considered.

### REMAINING FAMILY MEMBER

A person left in an assisted unit after other family members have vacated who may or may not normally qualify for assistance on his or her own circumstances (e.g., widow age 47, not disabled or handicapped). The person must be of legal age to sign a lease (adult) and all amounts incurred under the previous lease must have been paid before the person is provided a lease in his/her name.

### RESIDENT

A family living in the Housing Authority's operational jurisdiction, working in the Housing Authority's jurisdiction or notified that they are hired to work in the Housing Authority's

jurisdiction would be considered a resident of the jurisdiction. The length of time the family has lived or worked in the jurisdiction may not be considered.

### SECURITY DEPOSIT

A dollar amount set by the Housing Authority for the Public Housing Program for unpaid rent, damages or other amounts owed under the lease upon termination of the lease.

### SINGLE PERSON

A person who lives alone or intends to live alone who does not qualify as elderly, disabled, or handicapped or as a remaining adult member of a tenant family. A single person is not eligible to participate in any state housing program.

### TENANT RENT

The amount payable monthly by the family as rent to the Housing Authority. Where all utilities (except telephone and cable) and other essential housing services are supplied by the Housing Authority, Tenant Rent equals Total Tenant Payment. Where some or all utilities (except telephone and cable) and other essential housing services are not supplied by the Housing Authority and the cost thereof is not included in the amount paid as rent, Tenant Rent equals Total Tenant Payment less the Utility Allowance.

### TOTAL TENANT PAYMENT

(Hereinafter referred to as TTP) An amount equal to 30 percent of the family's monthly adjusted income or 10 percent of the gross monthly income of the family occupying the dwelling unit, whichever amount is greater. TTP does not include charges for excess utility consumption or other miscellaneous charges.

### TRANSFER

A move by a tenant family from one HACNL apartment to another, generally as the result of changes in family composition which changes the number of bedrooms required by the family. A transfer may not be used to split an extended family into two households by moving only some members of the family to a second apartment.

### UNDERHOUSED

A tenant family with an insufficient number of bedrooms for the number of persons in the family, according to the standard set forth in Section V of this policy.

### UTILITIES

Water, electricity, gas, other heating, refrigeration and cooking fuels, trash collection and sewerage services. Telephone service and cable TV is not included as a utility.

UTILITY ALLOWANCE

The cost of utilities (except telephone and cable TV) and other housing services for an assisted unit when not included in the tenant rent but is the responsibility of the family occupying the unit.

An amount equal to an estimate made or approved by the Housing Authority or HUD of the monthly cost of a reasonable consumption of utilities for the unit by an energy conservative household of modest circumstances consistent with the requirements of a safe, sanitary, and healthful living environment.

VERY LOW INCOME FAMILY

Family whose annual income does not exceed 50 percent of the median income for the area as determined by HUD.

VIOLENT CRIMINAL ACTIVITY

Any illegal criminal activity that has as one of its elements the use, attempted use, or threatened use of physical force against the person or property of another.

WAITING LIST ADMISSION

An applicant selected for occupancy from HACNL=S waiting list.