

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

PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004
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**

HUD 50075
OMB Approval No: 2577-0226
Expires: 03/31/2002

PHA Plan Agency Identification

PHA Name: New Canaan Housing Authority

PHA Number: CT054

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
New Canaan Housing Authority
c/o Phoenix Management Corp.
101 Tressor Blvd., Stamford, CT 06904
- PHA development management offices
New Canaan Housing Authority
57 Millport Avenue, New Canaan, CT 06840
- 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 (see address above)
- PHA development management offices (see address above)
- 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 (see address above)
- PHA development management offices (see address above)
- Other (list below)

5-YEAR PLAN
PHA FISCAL YEARS 2000 - 2004
[24 CFR Part 903.5]

NOTE: This Agency Plan is submitted concurrently with the Five Year Year and Annual Plans for 2000-2004 and 2000, respectively. Therefore, Missions and Goals have not changed and do not require updating or a statement of progress.

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:

NCHA will talk to residents to determine areas of strengths and weaknesses, will include resident input on this Agency Plan, and will promote resident participation on the Board of Commissioners or resident organization.

- 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)

NCHA will continue its affirmative marketing to ensure that it fulfills its mission and meets the needs of its residents and those of the jurisdiction.

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)

NCHA will continue to maintain contacts, provide referrals, and share information with the New Canaan Social Services.

NCHA has adopted admissions and rent determination policies to foster employment for its residents (see Components 3 and 4 of the Annual Plan).

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)

NCHA is an equal housing opportunity agency and maintains a non-discrimination policy in admissions and occupancy.

Other PHA Goals and Objectives: (list below)

None

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)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

Not included.

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
See Admissions and Continued Occupancy Policy (Attachment A to FY 2000 Plan)
- FY 2000 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**)
Attachment A to this Plan (ct054a01)

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)

Included in 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.

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
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	5 Year and Annual Plans

List of Supporting Documents Available for Review

Applicable & On Display	Supporting Document	Applicable Plan Component
	or proposed programs, identified any impediments to fair 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 <ul style="list-style-type: none"> • See attached CHAS data set and data from the Connecticut Department of Economic and Community Development. 	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
N/A	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
N/A	Public Housing Deconcentration and Income Mixing Documentation: <ol style="list-style-type: none"> 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 checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
schedule is being developed	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
N/A	Section 8 rent determination (payment standard) policies <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
N/A	Section 8 informal review and hearing procedures <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
N/A	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
N/A	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
N/A	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
N/A	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
N/A	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
N/A	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
N/A	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
N/A	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
N/A	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
N/A	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
N/A	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
N/A	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
N/A	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
N/A	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.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
Income <= 30% of AMI	215	5	5	2	N/A	2	1
Income >30% but <=50% of AMI	257	4	4	2	N/A	2	1
Income >50% but <80% of AMI	0	3	3	2	N/A	2	1
Elderly	366	3	3	2	2	2	1
Families with Disabilities	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Race/Ethnicity	N/A	N/A	N/A	N/A	N/A	N/A	N/A

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
Indicate year:
- U.S. Census data: the Comprehensive Housing Affordability Strategy ("CHAS") dataset:
2002 Projection Data
- American Housing Survey data
Indicate year:
- Other housing market study
Indicate year:
- Other sources: (list and indicate year of information)

- US Census Housing Data, 2000, for the Town of New Canaan, provided by Connecticut Department of Economic and Community Development

- Connecticut Department of Economic and Community Development Town Profiles (2001)

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.

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input checked="" type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> 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	15 ^(a)		less than 1%
Extremely low income <=30% AMI	11	73.33%	
Very low income (>30% but <=50% AMI)	2	13.33%	
Low income (>50% but <80% AMI)	0	0%	
Families with children	15	100%	
Elderly families	0	0%	
Families with Disabilities	0	0%	
Race/ethnicity	N/A	N/A	
(a): no income data was reported for 2 of the 15 families.			
Characteristics by Bedroom Size (Public Housing Only)			

Housing Needs of Families on the Waiting List			
1BR	N/A	N/A	N/A
2 BR	12	80%	less than 1%
3 BR	3	20%	less than 1%
4 BR	N/A	N/A	N/A
5 BR	N/A	N/A	N/A
5+ BR	N/A	N/A	N/A
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If yes: How long has it been closed (# of months)? Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> 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)

Elderly wishing accommodation in an elderly-designated development will be referred to local elderly housing.

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)
Families with disabilities which NCHA cannot reasonably accommodate will be given referral to adequate accessible housing in the local area.

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)

NCHA maintains open contacts with the other assisted developments in the Town in order to share information and provide referrals to applicants who cannot be accommodated at NCHA. NCHA believes this is an effective strategy to meet the local housing needs.

(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.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2002 grants)		
a) Public Housing Operating Fund	0	
b) Public Housing Capital Fund	0	
c) HOPE VI Revitalization	0	
d) HOPE VI Demolition	0	
e) Annual Contributions for Section 8 Tenant-Based Assistance	0	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	0	
g) Resident Opportunity and Self-Sufficiency Grants	0	
h) Community Development Block Grant	0	
i) HOME	0	
Other Federal Grants (list below)	0	
2. Prior Year Federal Grants (unobligated funds only) (list below)	0	
3. Public Housing Dwelling Rental Income	108,000	Public Housing Operations
4. Other income (list below)	24,270	Public Housing Operations
5. Non-federal sources (list below)	0	

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
Total resources	132,270	Public housing operations

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: (state time): 2 months
 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) Family size/composition (NCHA has only 2 and 3 bedroom units)

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)

NOTE: NCHA is planning to begin criminal records checks, in cooperation with the above agencies, in the near future

(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 (NCHA has only one development)
 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?

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?

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)

(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)

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.

1 Date and Time

Former Federal preferences:

None

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: Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete. If yes, continue to the next question.

NCHA's single development is less than 100 units.

- b. Yes No: Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments? If no, this section is complete.

If yes, list these developments as follows:

Deconcentration Policy for Covered Developments			
Development Name:	Number of Units	Explanation (if any) [see step 4 at §903.2(c)(1)(iv)]	Deconcentration policy (if no explanation) [see step 5 at §903.2(c)(1)(v)]

B. Section 8

This section is not applicable to NCHA.

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)
- 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:

(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.

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:

- The family has lost eligibility for or is awaiting an eligibility determination for a Federal, State, or local assistance program
- The family would be evicted as a result of the imposition of the minimum rent requirement
- The income of the family has decreased because of changed circumstance, including loss of employment and/or a death in the family.

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 (other than the head of household or the spouse of the head of household)

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)
- 95th 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)

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) Any increase of \$40 or more
- Other (list below)

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)

The actual monthly operating costs of the unit are referred to in order to ensure that the market-based flat rent is not lower than the actual operating costs.

B. Section 8 Tenant-Based Assistance

This section is not applicable to NCHA.

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:

A five-member Board of Commissioners oversees the New Canaan Housing Authority and sets policy. A part time Executive Director is responsible for all aspects of the NCHA's operations and management. All maintenance work is done by contract on an as-needed basis.

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.)

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing	18	less than 1%
Section 8 Vouchers	N/A	N/A
Section 8 Certificates	N/A	N/A
Section 8 Mod Rehab	N/A	N/A
Special Purpose Section 8 Certificates/Vouchers (list individually)	N/A	N/A
Public Housing Drug Elimination Program (PHDEP)	N/A	N/A
Other Federal Programs(list individually)	N/A	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 Policy
Maintenance Policy

(2) Section 8 Management: (list below)

N/A

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)

NOTE: NCHA's Grievance Procedure is Appendix B to its newly developed Admissions and Continued Occupancy Policy. The ACOP is attached to Annual Plan FY 2000 as Attachment A.

B. Section 8 Tenant-Based Assistance

This section is not applicable to NCHA.

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)

-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:

- 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.)

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.)

Demolition/Disposition Activity Description
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: <u>(DD/MM/YY)</u>
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.

Designation of Public Housing Activity Description
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: (DD/MM/YY)
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) <input type="checkbox"/> Part of the development <input type="checkbox"/> 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 Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

Conversion of Public Housing Activity Description	
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:	

- Units addressed in a pending or approved HOPE VI demolition application
(date submitted or approved:)
- Units addressed in a pending or approved HOPE VI Revitalization Plan
(date submitted or approved:)
- Requirements no longer applicable: vacancy rates are less than 10 percent
- Requirements no longer applicable: site now has less than 300 units
- 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.)

Public Housing Homeownership Activity Description (Complete one for each development affected)
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 NOT APPLICABLE TO NCHA

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 tables; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

NCHA refers residents in need to the Town of New Canaan Social Services department.

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>see above</i>				

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2000 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing	N/A	N/A
Section 8	N/A	N/A

- 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:

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)

n/a

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 (describe below)

NCHA will maintain its cooperation with the Town of New Canaan Police Department as described in **C**, below. Police maintain regular patrols of the NCHA property.

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

New Canaan Housing Authority

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)

NCHA maintains informal contact with the police and the police regularly patrol the NCHA property.

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

New Canaan Housing Authority

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

[24 CFR Part 903.7 9 (n)]

NCHA's Pet Policy is described in its Admissions and Continued Occupancy Policy.

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)

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)]

A. Resident Advisory Board Recommendations

Comments and recommendations will be attached to the Plan upon final submission.

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

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: (provide name here)

Town of New Canaan.

NOTE: The Town of New Canaan does not have a Consolidated Plan. However, the Town of New Canaan has acknowledged that it has reviewed NCHA's Annual Plan and has certified that it is consistent with meeting the needs and goals of the jurisdiction.

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)
- Other: (list below)

While there is no Consolidated Plan for the local jurisdiction, the NCHA has consulted with the Town of New Canaan during the development of the PHA Plan.

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

N/A

D. Other Information Required by HUD

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

Attachments

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

- A. Most recent Operating Budget
- B. CHAS (Comprehensive Housing Affordability Study) data
- C. Conn. DECD (Connecticut Department of Economic and Community Development) Data
- D. MOA/Recovery Plan
- E. Pet Policy
- F. Resident Advisory Board List

Table Library

Millport Apartments
Year 2001 - Budget

	Actual 2000	Budget 2000	Variance (Proj '00 and Bgt '00)	2001 Budget	Variance (Proj '00 and Bgt'01)	Notes
INCOME						
UNIT INCOME						
rent	113,171	86,928	26,243	108,000	(5,171)	This amount may fluctuate depending on the annual recerts.
NET UNIT INCOME	113,171	86,928	26,243	108,000	(5,171)	
OTHER INCOME						
late charges	750	650	100	750	0	
vacancy loss	0	0	0	(1,080)	(1,080)	
maintenance charge	0	0	0	0	0	
misc income	(10)	1,200	(1,210)	0	10	
legal charge	0	600	(600)	600	600	
interest income	26,044	8,200	17,844	24,000	(2,044)	
TOTAL OTHER INCOME	26,784	10,650	16,134	24,270	(2,514)	
TOTAL INCOME	139,955	97,578	42,377	132,270	(7,685)	
EXPENSES						
ADMINISTRATIVE EXPENSE						
advertising/brochures	362	0	(362)	500	(138)	
misc renting expense	0	180	180	200	(200)	
office expense	360	325	(35)	500	(140)	
management fee	16,344	16,344	0	16,344	0	
legal expense	0	1,500	1,500	1,500	(1,500)	
audit / tax prep expense	2,500	2,375	(125)	2,500	0	
misc administrative expense	573	450	(123)	600	(27)	
TOTAL ADMINISTRATIVE EXPENSE	20,139	21,174	1,035	22,144	(2,005)	
OPERATING EXPENSE						
heating	24	0	(24)	50	(26)	
custodial supplies	12	300	288	300	(288)	
electricity	2,209	2,000	(209)	2,500	(291)	
water	2,851	3,000	149	3,000	(149)	
exterminating	0	300	300	3,800	(3,800)	
trash removal	3,267	3,500	233	3,700	(433)	
telephone	590	500	(90)	650	(60)	
misc operating expense	0	300	300	500	(500)	
TOTAL OPERATING EXPENSE	8,953	9,900	947	14,500	(5,547)	
MAINTENANCE EXPENSE						
protection contract	30	4,600	4,570	0	30	
boiler maintenance	65	4,600	4,535	100	(35)	
snow plowing	2,300	4,600	2,300	6,500	(4,200)	
grounds supplies	0	300	300	500	(500)	
grounds contract	11,710	12,774	1,064	12,774	(1,064)	
landscape contract	0	0	0	0	0	
landscape improvements	0	1,500	1,500	6,500	(6,500)	landscaping upgrade, tree pruning/removal, etc.
cleaning services	484	1,000	516	700	(216)	
repairs plumbing	566	0	(566)	1,000	(434)	
repairs material	2,205	1,800	(405)	3,500	(1,295)	
repairs contract	14,726	900	(13,826)	15,000	(274)	misc. repairs
repairs extraordinary	0	8,000	8,000	0	0	
repairs sewer & drain	0	300	300	500	(500)	snake the common drains twice/year
appliance purchases	977	0	(977)	0	977	
repairs electrical	9,163	0	(9,163)	10,000	(837)	
roof repairs	296	0	(296)	25,000	(24,704)	roof replacement contract
hvac repair & maint	2,402	0	(2,402)	2,500	(98)	
maintenance contract	929	8,800	7,871	0	929	
maintenance supplies	0	900	900	1,000	(1,000)	
decorating supplies	0	0	0	0	0	
decorating contract	8,662	300	(8,362)	38,000	(29,338)	interior painting contract
misc maintenance expense	3,500	0	(3,500)	0	3,500	YTDA - property inspection
TOTAL MAINTENANCE EXPENSE	58,015	50,374	(7,641)	123,574	(65,559)	
TAXES AND INSURANCE						
property insurance	3,669	5,000	1,331	5,000	(1,331)	\$3600 was misclassified into prepaid insurece
TOTAL TAXES AND INSURANCE	3,669	5,000	1,331	5,000	(1,331)	
CAPITAL EXP / REPL. RESERVE						
appliances	0	3,200	3,200	3,200	(3,200)	
TOTAL CI / RR	0	3,200	3,200	3,200	(3,200)	
TOTAL EXPENSES	90,776	89,648	(1,128)	168,418	(77,642)	
NET INCOME	49,179	7,930	41,249	(36,148)	(85,327)	

CHAS Table 1C - All Households

The following estimates are derived from 2002 projection data. The data project the following:

The change in the number of households in this jurisdiction from 1990 to 2002 is estimated at -1.94%.

The renter occupied households in 2002 is estimated at 36.40% of all occupied units. The owner occupied households in 2002 is estimated at 63.60% of all occupied units.

The change in elderly is estimated to be +1.02% from 1990 to 2002.

Name of Jurisdiction: New Canaan Town, CT		Source of Data CHAS Data Book				Data is Adjusted per Community 2020 Projections for the Year: 2002				
Household by Type, Income, & Housing Problem	Renters					Owners			Total Households	
	Elderly 1 & 2 member households	Small Related (2 to 4)	Large Related (5 or more)	All Other Households	Total Renters	Elderly	All Other Owners	Total Owners		
	(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)		(I)
1. Very Low Income (0 to 50% MFI)	169	132	28	143	472	242	174	416	888	
2. 0 to 30% MFI	111	52	23	29	215	135	96	231	446	
6. 31 to 50% MFI	58	80	5	114	257	107	78	185	442	
10. Other Low-Income (51 to 80% MFI)	0	0	0	0	0	0	0	0	0	
14. Moderate Income (81 to 95% MFI)	35	73	30	62	200	31	59	90	290	
18. Total Households**	366	994	185	788	2,333	1,150	2,926	4,076	6,409	

** Includes all income groups -- including those above 95% MFI

Housing problems and cost burden data is not available for the year 2002

New Canaan Housing Authority

Annual Plan FY 2000

Attachment D

Connecticut DECD Data

This data is not in electronic format. It is included in the bound hard copy of the Plan which is on display at the New Canaan Housing Authority.

**Memorandum of Agreement (MOA) Part B
Performance Targets and Strategies
Monthly Progress Report**

US Department of Housing and Urban Development
Office of Public and Indian Housing
Office of Troubled Agency Recovery

PHA Name: New Canaan Housing Authority

PHA FYE: December 31

MOA Term: January 1, 2002 - December 31, 2002

Monthly Progress Report

for

Reporting period ending:

6/30/02

I certify that

all of the information in this report is true and accurate, to the best of my knowledge,
this information has been/will be shared with the Board.

Margaret J. O'Connell

Margaret J. O'Connell: Executive Director

7/11/02

Date

Operational Area: 1. GOVERNANCE

Targets and Strategies	Baseline as of: 12/31/00	Final Performance Target	Estimated Completion Date	Comments
1.1 Monitor implementation of the MOA. [Reference 24 CFR 902.75a]				
A. Develop a process for reviewing MOA progress.	First MOA Progress Report due 3/15/02	Monitor Monthly MOA.	Bi - Monthly Board Meeting.	Executive Director will submit monthly report into TARC by the 15 th of each month and provide the Commissioners a copy of the report.
B. Review monthly report to HUD.	First MOA Progress Report due 3/15/02	Monitor Monthly MOA.	Bi - Monthly Board meeting.	Executive Director will submit monthly report into TARC by the 15 th of each month and provide the Commissioners a copy of the report.
1.2 Establish short and long-term goals and objectives for the PHA. [Reference 24 CFR 903.1, Public Housing Reform Act of 1998, PIH Notices 99-33 & 99-51]	First MOA Progress Report due 3/15/02	Monitor Monthly MOA.	Submit to the TARC by 15th of every month.	Executive Director will submit monthly report into TARC by the 15 th of each month and provide the Commissioners a copy of the report.
A. Develop a 5-Year Agency/Annual Plan for Fiscal Years 2000, 2001 and 2002 that states the PHA's views and objectives in compliance with HUD Public Housing Reform Act of 1998. B. Review, revise and adopt as necessary.	FY 2000, 2001 and 2002 PHA Agency Plans not submitted to HUD.	Approvable Plans with all requirements of Public Housing Reform Act of 1998. 4/01/02	Completed	On June 13, 2002 the Public Hearing was conducted. Rosenburg Housing Group Inc. will work on incorporating minor changes and then forward onto HUD/TARC for their 75 day review no later then July 15, 2002.
1) Review, revise and adopt administrative policies and procedures.	Policies need to be updated.	New A & O Policy to be updated with all PHRA requirements	Completed	On May 15, 2002 the Commissioners approved the ACOP and all accompany forms within the Agency Plan
1.3 Execute the Declaration of Trust document	Document	Submit a	Completed	Executed Declaration of Trust

<p>provided HUD still legally requires it to secure an underlying existing debt on the property. The document was not executed in conjunction with the Annual Contributions Contract (ACC) dated July 24, 1981. *</p>	<p>was not executed or recorded by the HA in 1981.</p>	<p>copy of the executed and recorded Declaration of Trust to the TARC.</p>		<p>was sent to Attorney Cohen in the middle of June 2002.</p>
<p>*Reason for Change – No persons currently involved, be they HA commissioners, management personnel or Town officials, were associated in any way with the HA in 1981. Consequently, there is no first hand knowledge of the full relevance and legal effect of this document upon the HA and Town of New Canaan. It is essential, therefore, that legal opinions be obtained, especially since this unsigned document has obviously lain dormant for over 20 years.</p>				

Operational Area: 2. ORGANIZATION AND STAFFING

<p>Targets and Strategies</p>	<p>Baseline As of: 12/31/00</p>	<p>Final Performance Target</p>	<p>Estimated Completion Date</p>	<p>Comments</p>
<p>2.1 Develop, adopt and implement the Housing Authority of the Town of New Canaan’s administrative policies. [References: 24 CFR 85-36, 965-201, HUD Guidebooks 7401.1 & 7401.1]</p>	<p>All administrative policies need updating.</p>	<p>Adopt and implement updated policies.</p>	<p>Completed</p>	<p>On May 15, 2002 the Commissioners approved the ACOP and all accompany forms within the Agency Plan</p>
<p>b2.2 Develop a training plan for Executive Director, and support staff, if applicable, on general program administration. [Reference: HUD Guidebook 7401.7]</p>	<p>No staff training plan established.</p>	<p>Staff training plan established.</p>	<p>Completed</p>	<p>Rosenburg has provided ongoing training and formal training with the residents and commissioners was conducted on July 10, 2002</p>
<p>1) PHAS Training</p>	<p>Executive Director and Board</p>	<p>Executive Director and Board of</p>	<p>Completed</p>	<p>Rosenburg has provided ongoing training and formal training with the residents and commissioners</p>

	of Commissioners not knowledgeable in PHAS requirements.	Commissioners to attend PHAS Training.		was conducted on July 10, 2002
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Operational Area: 3. FINANCE AND PROCUREMENT

PHAS Performance Targets		Baseline as of:	1 st qtr Performance Target	2 nd qtr Performance Target	3 rd qtr Performance Target	Final Performance Target
Indicator #:	Name:					
2-1	Current ratio					
2-2	Expendable Fund Balance					
2-3	Tenant Receivable/Outstanding					
2-5	Expense Management/Utilities					
2-6	Net Income/Loss Divided by the Expendable Fund Balance					
Targets and Strategies		Baseline as of:	Final Performance Target	Estimated Completion Date	Lead staff for PHA and HUD	
3.1						

Operational Area: 3. FINANCE AND PROCUREMENT

PHAS Performance Targets		Baseline as of: 12/31/00	1 st qtr Performance Target	2 nd qtr Performance Target	3 rd qtr Performance Target	Final Performance Target
Indicator #:	Name:					
2-1	Current ratio	N/A	TBD			1 to 4.9
2-2	Expendable Fund Balance	N/A	TBD			1 to 6
2-3	Tenant Receivable/Outstanding	N/A	TBD			<2
2-5	Expense Management/Utilities	N/A	TBD			<54
2-6	Net Income/Loss Divided by the Expendable Fund Balance	N/A	TBD			Positive Profits and Positive Reserves

Targets and Strategies	Baseline as of: 12/31/00	Final Performance Target	Estimated Completion Date	Comments
3.1 Convert to GAAP accounting. (Transition from HUD accounting). [Reference: 24 CFR 902.33]	Conversion not done	Convert to GAAP	completed	
A. Verify conversion has been implemented and is completed.				
1) Fixed assets (include allowance for depreciation).				
2) Unrecorded Liability (sick and vacation leave).				
3) Allowance on doubtful accounts.				
3.2 Execute/update General depository Agreement. [Reference: Annual Contributions Contract; HUD Guidebook 7410.0]	Depository Agreement could not be located	Execute Agreement	completed	On May 15 th the Commissioners approved the Disposition Policy, Capitalization Policy, and Investments policy
3.3 Improve financial management of the PHA. [Reference: HUD Guidebooks 7510.1 & 7475.1]	No policies	Develop policies.	completed	
A. Develop, adopt, and implement financial Management Policies. 1) Disposition Policy 2) Capitalization Policy 3) Check Writing Authorization Policy 4) Investments Policy			completed	
A. Improve timely submission of reports to HUD. [Reference HUD Guidebook 7510.1]	FRS data not submitted; Reports not filed	Transmit FDS data; File reports		
A. Budgets				
B. Statement of Operating Receipts and Expenditures Statement (SORES)				
C. Financial Data Schedule (FDFS)				
D. Tenant Accounts Receivable (TAR)/Occupancy				
E. Performance Funding System (PFS) Adjustments.				

Operational Area: 4. HOUSING MANAGEMENT

PHAS Performance Targets		Baseline as of: 12/31/00	1st qtr Performance Target	2nd qtr Performance Target	3rd qtr Performance Target	Final Performance Target
Indicator #:	Name:					
3-1	Vacant Unit Turnaround Time	0 points				7.5 points
2-4	Occupancy Loss					
Targets and Strategies		Baseline as of: 12/31/00	Final Performance Target	Estimated Completion Date	Comments	
4.1 Comply with current requirements regarding admission and occupancy of Public Housing. [References: 24 CFR 960.205; Public Housing Reform Act of 1998; Section 578; HUD Guidebook 7465.1, Chapter 5].						
A. Review and revise as necessary, the PHA's Public Housing Management and Admissions and Occupancy policies to comply with current requirements of the Public Housing Reform Act of 1998.		All administrative policies need updating.	PHA has adopted all policies with updated HUD regulations	Completed	On May 15, 2002 the Commissioners approved the ACOP and all accompany forms within the Agency Plan	
1) Post revised policies for 30-day comment period.		All administrative policies need updating.	PHA has adopted all policies with updated HUD regulations	Completed	On May 15, 2002 the Commissioners approved the ACOP and all accompany forms within the Agency Plan. The public comment was for 45 days not 30 days (ended June 13, 2002)	
2) Adopt and implement revised policies.		Need for resident follow-up.	Policies adopted and implemented.	Completed	On May 15, 2002 the Commissioners approved the ACOP and all accompany forms within the Agency Plan	
3) Provide training on revised policies to residents.		Residents	Residents	Completed	Rosenburg has provided ongoing	

	need training on new program requirements.	received adequate training.		training and formal training with the residents and commissioners was conducted on July 10, 2002.
4.2 Develop and maintain waiting list in accordance with the Admissions and Occupancy Policy. [Reference: 24 CFR 960.206, HUD Guidebook 7465.1; Public Housing Reform Act of 1998].				
1) Modify current computerized waiting list to comply with program requirements. 2) Develop all application files in accordance with the Admissions and Occupancy Policy. 3) Develop a new application form.	PHA does not maintain the time of application on its waiting list.	The PHA has established a system to maintain its waiting list in accordance with HUD guidelines and developed a written application form.	Completed	Executive Director has imputed all the applicants onto an Excel spreadsheet but needs to be expanded to include columns for income, time application came into the office, etc.
4.3 Resolve legal and operational problems with newly developed Dwelling Lease. [Reference: 24 CFR 966.1-7].	Dwelling Lease needs revision	Revise dwelling lease to conform with all HUD occupancy requirements of the PHRA.	Completed	On May 15, 2002 the Commissioners approved the ACOP and all accompany forms within the Agency Plan. This also includes the development of a new lease
1) Execute lease/lease addendum with all adult residents of	Dwelling	Revise	10/30/02	Now that the Public Review is

household signing; provide 30 day notice of rent changes.	Lease needs revision.	dwelling lease to conform with all updated HUD occupancy requirements of the PHRS		completed the agency plan will be sent onto HUD/TARC for their 75 day review. Once this is completed the Executive Director will arrange for the residents to sign all updated forms (i.e. lease, flat rent vs income based rent, etc.). Please note that this item will not be completed till the Fall of 2002 so I re-assigned the target date of completion to 10/30/02
4.4 Improve MTCS Reporting to at least an 85% level. [Reference: 24 CFR 908; PIH Notice 2000-13 & 99-2].	PHA not reporting to MTCS	HA meets the HUD minimum reporting requirement of 85%	Completed	Executive Director has imputed all MTCS data onto the PIC website for the 2001 tenant info

Operational Area: 5. PROPERTY MAINTENANCE

PHAS Performance Targets		Baseline as of 12/31/00	1 st qtr Performance Target	2 nd qtr Performance Target	3 rd qtr Performance Target	Final Performance Target
Indicator #:	Name:					
1	Physical Conditions	17	18	19	20	20
3-4a	Unit inspections	N/A				2
3-4b	System inspections	N/A				2
Targets and Strategies		Baseline as of: 12/31/00	Final Performance Target	Estimated Completion Date	Comments	
5.3 Improve Maintenance operations. [Reference: PIH Notice 97-36, 64 FR 33708 dated 6/23/99]						
A. Develop a Maintenance Plan to include, as a minimum, the following:			DEVELOP IMPROVEMENT PLAN	Completed	Maintenance Plan is updated and apart of the Agency Plan Awaiting approval from HUD/TARC	

1) WO Classifications (emergency vs. non-emergency etc.).	NOT IN PLAN		Completed	Maintenance Plan is updated and apart of the Agency Plan Awaiting approval from HUD/TARC
2) Schedule for Inspections of units, buildings, sites, and systems.	NOT IN PLAN		Completed	Maintenance Plan is updated and apart of the Agency Plan Awaiting approval from HUD/TARC
3) Scheduled Preventive Maintenance.	NOT IN PLAN		Completed	Maintenance Plan is updated and apart of the Agency Plan Awaiting approval from HUD/TARC
4) UPCS Inspection Criteria for buildings/systems.	NOT IN PLAN		Completed	Maintenance Plan is updated and apart of the Agency Plan Awaiting approval from HUD/TARC
B. Implement the Maintenance Plan	NOT IN PLAN		Completed	Maintenance Plan is updated and apart of the Agency Plan Awaiting approval from HUD/TARC
C. Assess the effectiveness of the Maintenance Plan and adjust as needed.	NOT IN PLAN		Completed	Maintenance Plan is updated and apart of the Agency Plan Awaiting approval from HUD/TARC

Continuation of Operational Area: 5. PROPERTY MAINTENANCE

Targets and Strategies	Baseline as of:	Final Performance Target	Estimated Completion Date	Comments
5.6 Ensure 100% of dwelling units are inspected annually using UPCS and/or more stringent local code. [Reference: 24 CFR 901.30, 902.23, 902.43(a)(5)]	NO INSPECT. IN 00 & 01	CONDUCT ANNUAL INSPECT.	Completed	Executive Director inspected all units on 12/27/01 and will do so on an annual basis using the HUD inspection form
A. Conduct an analysis and determine the most stringent inspection code (Federal (UPCS), state or local housing or occupancy code).			Completed	With TARC's assistance the Executive Director developed inspection forms for units, site, buildings, etc.
B. Develop standardized inspection form for dwelling units using UPCS and/or more stringent local code.	FORM NOT MEET UPCS/ LOCAL	DEVELOP NEW FORM	Completed	With TARC's assistance the Executive Director developed inspection forms for units, site, buildings, etc.
C. Ensure that quality control inspections are completed.			Completed	Executive Director reviews all work orders (both completed and still pending)
D. Ensure that work identified by the inspections are entered on the WO tracking log/system.			Completed	Executive Director reviews all work orders (both completed and still pending)
E. Develop a unit inspection schedule.			Completed	Executive Director will inspect all units and property annually by the month of December
F. Address REAC PHAS inspection deficiencies and report progress to Board/HUD.			Completed	The appropriate report has been handed into HUD (Boston in Fall of 2001)

Operational Area: 6. RESIDENT SERVICES AND INITIATIVES

PHAS Performance Targets		Baseline as of:	1st qtr Performance Target	2nd qtr Performance Target	3rd qtr Performance Target	Final Performance Target
Indicator #:	Name:	12/31/00				
4	Resident satisfaction	4 points	TBD	TBD	TBD	6 points

3-5	Economic self sufficiency	Excluded			Excluded
Targets and Strategies					
	Baseline as of: 12/31/00	Final Performance Target	Estimated Completion Date	Comments	
6.1 Increase customer satisfaction survey results. [Reference: 24 CFR Part 984; PIH Notice 93-23].					
A. Analyze results of customer satisfaction survey results to determine areas of strengths and weaknesses.	PHA needs more interaction with residents	PHA to promote resident participation on the Board	9/30/02	The RASS survey in process. The Executive Director verified the addresses and scheduled the RASS meeting with the residents to answer any questions regarding RASS for July 11, 2002 to promote the survey.	
B. Develop a follow-up plan that includes: maintenance and repairs, communication; safety; services; development appearance; and overall satisfaction. Include resident input into the plan.	PHA needs more interaction with residents	PHA to promote resident participation on the Board	9/30/02	Executive Director has been regularly communicating with the residents via memos. Tenants regularly communicate to the Executive Director via email communication, plus she is in New Canaan twice a week with office hours. In early June the Executive Director contact the residents about the development of a Tenant Association. In the middle of June 2002 six residents from Millport Apartments contacted the office and informed the ED that they were interested in being officers for the Resident	

				Association and will set up a meeting with the other residents to elect officers, etc.
1) Implement the follow-up plan.	PHA needs more interaction with residents	PHA to promote resident participation on the Board	9/30/02	Executive Director has been regularly communicating with the residents via memos. Tenants regularly communicate to the Executive Director via email communication, plus she is in New Canaan twice a week with office hours. Previously the Board of Directors seeked resident's involvement on the Board but the only interest was a resident at the State subsidy project (Mill Apartments)

Operational Area: 7. CAPITAL FUNDS

PHAS Performance Targets		Baseline as of:	1st qtr Performance Target	2nd qtr Performance Target	3rd qtr Performance Target	Final Performance Target
Indicator #:	Name:					
3-2a	Funds unexpended					
3-2b	Funds unobligated					
3-2c	Quality of work					
3-2d	Contract administration					
3-2e	Budget controls					
Targets and Strategies		Baseline as of:	Final Performance Target	Estimated Completion Date	Lead staff for PHA and HUD	
7.1						

Operational Area: 8. SECURITY

PHAS Performance Targets		Baseline as of: 12/31/00	1 st qtr Performance Target	2 nd qtr Performance Target	3 rd qtr Performance Target	Final Performance Target
Indicator #:	Name:					
3-6a	Reporting and tracking crime	.0 pts			4.00	7.50
3-6b	Applicant screening	.0 pts			1.00	2.50
3-6c	Lease enforcement	.0 pts			1.00	2.50
3-6d	Grant management	Excluded			Excluded	Excluded
Targets and Strategies		Baseline as of: 12/31/00	Final Performance Target	Estimated Completion Date	Comments	
8.1 Establish and maintain awareness of security issues. [Reference: Public Housing Reform Act of 1998].						
A. Develop a system of communication which will enable the PHA to be aware of all law enforcement services active in the community.		PHA needs to increase awareness of law enforcement services active in the community	PHA establishes a method to regularly interact with residents on security issues and other resident concerns.	completed	Executive Director is communicating on a regular basis with the Social Service Department of the Town of New Canaan on any police activity on the property (which is rarely). Executive Director has been regularly communicating with the residents via memos. Tenants regularly communicate to the Executive Director via email communication, plus she is in New Canaan twice a week with office hours	
8.2 Board to adopt Resolution for tracking and reporting crime.		PHA needs to increase awareness of law enforcement services active in	PHA and Law Enforcement enter into a Memorandum of Agreement	9/30/02	Executive Director is working with TARC on developing a policy to present to the Board for adoption. Executive Director has a strong relationship with the town officials and meets with them to discuss security issues if	

	the community	for services.		necessary (which is rarely).
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Operational Area: 9. MANAGEMENT INFORMATION SYSTEMS

Targets and Strategies	Baseline as of: 12/31/00	Final Performance Target	Estimated Completion Date	Comments
9.1 Establish PHA capability for electronic record keeping and transmission of required reports.	PHA has adequate computer system, server, hardware and software.	Enhance computer skills of Executive Director and, if applicable, support staff	Completed	Executive Director has developed access to all necessary websites and obtained a laptop to transport to the New Canaan site office.
9.2 Resolve problems with PHA access and use of HUD reporting systems.				
1) Determine PHA access needs and status.	Executive Director needs training.	Enhanced computer knowledge and skills of the Executive Director.	Completed	Executive Director and the Chairperson has access to the REAC website
2) Obtain proper passwords, Ids and guidebooks. 3) HUD will provide Technical Assistance as needed.	Executive Director needs training in HUD reporting	Enhanced computer knowledge and skills of the Executive	Completed	Executive Director and the Chairperson has access to the REAC website

	systems and access.	Director.		
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Continuation of Operational Area:

Targets and Strategies	Baseline as of:	Final Performance Target	Estimated Completion Date	Lead staff for PHA and HUD

MILLPORT APARTMENTS C/O THE HOUSING AUTHORITY OF THE TOWN OF NEW CANAAN

PET POLICY

1.0 PET POLICY

1.1 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 to refrain from disturbing their neighbors.

1.2 PETS IN PUBLIC HOUSING

The MILLPORT APARTMENTS C/O NCHA allows for pet ownership in its developments with the written pre-approval of the MILLPORT APARTMENTS C/O NCHA. Residents are responsible for any damage caused by their pets, including the cost of fumigating or cleaning their units. In exchange for this right, resident assumes full responsibility and liability for the pet and agrees to hold the MILLPORT APARTMENTS C/O NCHA harmless from any claims caused by an action or inaction of the pet.

1.3 APPROVAL

Residents must have the prior written approval of the MILLPORT APARTMENTS C/O NCHA before moving a pet into their unit. Residents must request approval from the MILLPORT APARTMENTS C/O NCHA in writing before the Housing Authority will approve the request. At this time, residents must provide the Housing Authority with a copy of a certification of the pet's inoculations as well as a picture of the pet so it can be identified if it is running loose.

1.4 TYPES AND NUMBER OF PETS

The MILLPORT APARTMENTS C/O NCHA will allow only common household pets. This means only domesticated animals such as a cat, bird, rodent (including a rabbit), fish in aquariums or a turtle will be allowed in units. Common household pets do not include reptiles. If this definition conflicts with a state or local law or regulation, the state or local law or regulation shall govern.

All dogs must be spayed or neutered before they become six months old. A licensed veterinarian must verify this fact and documentation must be provided to MILLPORT APARTMENTS C/O NCHA prior to approval of pet ownership.

All cats must be spayed or neutered before they become six months old. A licensed veterinarian must verify this fact and documentation must be provided to MILLPORT APARTMENTS C/O NCHA prior to approval of pet ownership.

The following schedule details the number of pets permitted per unit size:

Unit Size	Pets
Two Bedrooms	2
Three Bedrooms	2
Four or More Bedrooms	2

Any animal deemed to be potentially harmful to the health or safety of others will not be allowed.

No animal may exceed 20 pounds in weight projected to full adult size.

1.5 INOCULATIONS

In order to be permitted at the MILLPORT APARTMENTS C/O NCHA, pets must be appropriately inoculated against rabies, distemper and other conditions prescribed by state and/or local ordinances. They must comply with all other state and local public health, animal control, and anti-cruelty laws including any licensing requirements. A certification signed by a licensed veterinarian or state or local official shall be annually filed with the MILLPORT APARTMENTS C/O NCHA to attest to the inoculations.

1.6 PET DEPOSIT

A pet deposit equal to \$150/pet or the Total Tenant Payment, whichever is the lesser of the two, is required at the time of registering a pet. The deposit is refundable when the pet or the family vacates the unit, less any amounts owed due to damage beyond normal wear and tear.

1.7 FINANCIAL OBLIGATION OF RESIDENTS

Any resident who owns or keeps a pet in their dwelling unit will be required to pay for any damages caused by the pet. Also, any pet-related insect infestation in the pet owner's unit will be the financial responsibility of the pet owner and the MILLPORT APARTMENTS C/O NCHA reserves the right to exterminate and charge the resident.

1.8 NUISANCE OR THREAT TO HEALTH OR SAFETY

The pet and its living quarters must be maintained in a manner to prevent odors and any other unsanitary conditions in the owner's unit and surrounding areas.

Repeated substantiated complaints by neighbors or MILLPORT APARTMENTS C/O NCHA personnel regarding pets disturbing the peace of neighbors through noise, odor, animal waste, or other nuisance may result in the owner having to remove the pet or move him/herself.

Pets who make noise continuously and/or incessantly for a period of 10 minutes or intermittently for one half hour or more to the disturbance of any person at any time of day or night shall be considered a nuisance.

1.9 DESIGNATION OF PET AREAS

All pets must be kept in the owner's apartment at all times. Pet owners must clean up after their pets and are responsible for disposing of pet waste.

With the exception of assistive animals no pets shall be allowed in the community room, public bathrooms, or office of the MILLPORT APARTMENTS.

1.10 MISCELLANEOUS RULES

Pets may not be left unattended in a dwelling unit for over 12 hours. If the pet is left unattended and no arrangements have been made for its care, the MILLPORT APARTMENTS C/O NCHA will have the right to enter the premises and take the uncared for pet to be boarded at a local animal care facility at the total expense of the resident.

Pet bedding shall not be washed in any common laundry facilities.

Residents must take appropriate actions to protect their pets from fleas and ticks.

Pets cannot be kept, bred or used for any commercial purpose.

Residents owning cats shall maintain waterproof litter boxes for cat waste. Refuse from litter boxes shall not accumulate or become unsightly or unsanitary. Litter shall be disposed of in an appropriate manner.

A pet owner shall physically control or confine his/her pet during the times when Housing Authority employees, agents of the Housing Authority or others must enter the pet owner's apartment to conduct business, provide services, enforce lease terms, etc.

If a pet causes harm to any person, the pet's owner shall be required to permanently remove the pet from the Housing Authority's property within 24 hours of written notice

from the Housing Authority. The pet owner may also be subject to termination of his/her dwelling lease.

A pet owner who violated any other conditions of this policy may be required to remove his/her pet from the development within 10 days of written notice from the Housing Authority. The pet owner may also be subject to termination of his/her dwelling lease.

The MILLPORT APARTMENTS C/O NCHA's grievance procedures shall be applicable to all individual grievances or disputes arising out of violations or alleged violations of this policy.

1.11 REMOVAL OF PETS

The MILLPORT APARTMENTS C/O NCHA, or an appropriate community authority, shall require the removal of any pet if the pet's conduct or condition is determined to be a nuisance or threat to the health or safety of other occupants of the site or of other persons in the community where the development is located.

In the event of illness or death of pet owner, or in the case of an emergency which would prevent the pet owner from properly caring for the pet, the MILLPORT APARTMENTS C/O NCHA has permission to call the emergency caregiver designated by the resident or the local Pet Law Enforcement Agency to take the pet and care for it until family or friends would claim the pet and assume responsibility for it. Any expenses incurred will be the responsibility of the pet owner.

**MILLPORT APARTMENTS C/O THE HOUSING AUTHORITY
OF THE TOWN OF NEW CANAAN**

RESIDENT ADVISORY BOARD LIST

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