

1.0	PHA Information PHA Name: Derby Housing Authority PHA Code: CT017 PHA Type: <input type="checkbox"/> Small <input type="checkbox"/> High Performing <input type="checkbox"/> Standard <input checked="" type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): 04/01/2011																										
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: _____ Number of HCV units: 278																										
3.0	Submission Type <input checked="" type="checkbox"/> 5-Year and Annual Plan <input type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only																										
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)																										
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2" style="width: 35%;">Participating PHAs</th> <th rowspan="2" style="width: 10%;">PHA Code</th> <th rowspan="2" style="width: 20%;">Program(s) Included in the Consortia</th> <th rowspan="2" style="width: 20%;">Programs Not in the Consortia</th> <th colspan="2" style="width: 15%;">No. of Units in Each Program</th> </tr> <tr> <th style="width: 5%;">PH</th> <th style="width: 5%;">HCV</th> </tr> </thead> <tbody> <tr> <td>PHA 1:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>PHA 2:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>PHA 3:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program		PH	HCV	PHA 1:						PHA 2:						PHA 3:					
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5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.																										
5.1	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 for the next five years: See attached sheet marked 5.1 Mission.																										
5.2	Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan. See attached sheet marked 5.2 Goals and Objectives.																										
6.0	PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: See attached sheet marked 6.0 PHA plan update. (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. See attached sheet marked 6.0 plan update (b).																										
7.0	Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i>																										
8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.																										
8.1	Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> , form HUD-50075.1, for each current and open CFP grant and CFFP financing.																										
8.2	Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i> , form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.																										
8.3	Capital Fund Financing Program (CFFP). <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.																										

9.0	<p>Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.</p> <p>See attached sheet marked 9.0 Housing Needs.</p>
9.1	<p>Strategy for Addressing Housing 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. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.</p> <p>See attached sheet marked 9.1 Strategy for addressing housing needs.</p>
10.0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <p>(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan.</p> <p>Currently, the Derby Housing Authority is cognizant of meeting the needs of future and current Housing Choice Voucher participants. Through screening prior to calling off of the waiting list; and through one on one, case by case interaction and outreach, the authority is able to provide any services these individuals may need. The Derby Housing Authority also has a Family Self-Sufficiency Program to further empower Housing Choice Voucher participants at setting goals for future education or first-time homeownership.</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification"</p> <p>The Derby Housing Authority will follow as substantial deviation/modification its intention that the authority will only revise its 5 year Agency and Annual PHA plan once every four (4) years. Under the Significant Amendment, the Derby Housing Authority has established a new program and new procedures for the HCV program. The Derby Housing Authority has established its family self-sufficiency program and adding EIV Enterprise Income Verification procedures and security awareness in the Administrative plan of the Housing Choice Voucher Program as part of the procedures for annual, interim and initial recertifications.</p>
11.0	<p>Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.</p> <p>(g) Challenged Elements</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>

This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

Instructions form HUD-50075

Applicability. This form is to be used by all Public Housing Agencies (PHAs) with Fiscal Year beginning April 1, 2008 for the submission of their 5-Year and Annual Plan in accordance with 24 CFR Part 903. The previous version may be used only through April 30, 2008.

1.0 PHA Information

Include the full PHA name, PHA code, PHA type, and PHA Fiscal Year Beginning (MM/YYYY).

2.0 Inventory

Under each program, enter the number of Annual Contributions Contract (ACC) Public Housing (PH) and Section 8 units (HCV).

3.0 Submission Type

Indicate whether this submission is for an Annual and Five Year Plan, Annual Plan only, or 5-Year Plan only.

4.0 PHA Consortia

Check box if submitting a Joint PHA Plan and complete the table.

5.0 Five-Year Plan

Identify the PHA's Mission, Goals and/or Objectives (24 CFR 903.6). Complete only at 5-Year update.

5.1 Mission. A statement of the mission of the public housing agency for serving the needs of low-income, very low-income, and extremely low-income families in the jurisdiction of the PHA during the years covered under the plan.

5.2 Goals and Objectives. Identify quantifiable goals and objectives that will enable the PHA to serve the needs of low income, very low-income, and extremely low-income families.

6.0 PHA Plan Update. In addition to the items captured in the Plan template, PHAs must have the elements listed below readily available to the public. Additionally, a PHA must:

- (a) Identify specifically which plan elements have been revised since the PHA's prior plan submission.
- (b) Identify where the 5-Year and Annual Plan may be obtained by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on its official website. PHAs are also encouraged to provide each resident council a copy of its 5-Year and Annual Plan.

PHA Plan Elements. (24 CFR 903.7)

1. **Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.** Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.

2. **Financial Resources.** A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.
3. **Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.
4. **Operation and Management.** A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.
5. **Grievance Procedures.** A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants.
6. **Designated Housing for Elderly and Disabled Families.** With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: 1) development name and number; 2) designation type; 3) application status; 4) date the designation was approved, submitted, or planned for submission, and; 5) the number of units affected.
7. **Community Service and Self-Sufficiency.** A description of: (1) Any programs relating to services and amenities provided or offered to assisted families; (2) Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; (3) How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. (Note: applies to only public housing).
8. **Safety and Crime Prevention.** For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: (i) A description of the need for measures to ensure the safety of public housing residents; (ii) A description of any crime prevention activities conducted or to be conducted by the PHA; and (iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.

9. **Pets.** A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing.
10. **Civil Rights Certification.** A PHA will be considered in compliance with the Civil Rights and AFFH Certification if it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction.
11. **Fiscal Year Audit.** The results of the most recent fiscal year audit for the PHA.
12. **Asset Management.** A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.
13. **Violence Against Women Act (VAWA).** A description of: 1) Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; 2) Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and 3) Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers

- (a) **Hope VI or Mixed Finance Modernization or Development.** 1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and 2) A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>
- (b) **Demolition and/or Disposition.** With respect to public housing projects owned by the PHA and subject to ACCs under the Act: (1) A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at: http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm
Note: This statement must be submitted to the extent that approved and/or pending demolition and/or disposition has changed.
- (c) **Conversion of Public Housing.** With respect to public housing owned by a PHA: 1) A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or

that the public housing agency plans to voluntarily convert; 2) An analysis of the projects or buildings required to be converted; and 3) A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>

- (d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.
- (e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

8.0 Capital Improvements. This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.

8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report. PHAs must complete the *Capital Fund Program Annual Statement/Performance and Evaluation Report* (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:

- (a) To submit the initial budget for a new grant or CFFP;
- (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
- (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

1. At the end of the program year, until the program is completed or all funds are expended;
2. When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
3. Upon completion or termination of the activities funded in a specific capital fund program year.

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

8.3 Capital Fund Financing Program (CFFP). Separate, written HUD approval is required if the PHA proposes to pledge any

portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm>

9.0 Housing Needs. Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. (Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).

9.1 Strategy for Addressing Housing Needs. Provide a 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. (Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).

10.0 Additional Information. Describe the following, as well as any additional information requested by HUD:

- (a) **Progress in Meeting Mission and Goals.** PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. (Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).
- (b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition of "significant amendment" and "substantial deviation/modification". (Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)

- (c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. (Note: Standard and Troubled PHAs complete annually).

11.0 Required Submission for HUD Field Office Review. In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h) and (i) shall be submitted electronically as an attachment to the PHA Plan.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*
- (d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*
- (f) Resident Advisory Board (RAB) comments.
- (g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only). See instructions in 8.1.*
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only). See instructions in 8.2.*

HOUSING AUTHORITY CITY OF DERBY

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Steven Nakano

Board of Commissioners
Rosemary Hughes, Chairperson
J.P. Rizzitelli, Vice Chairman
Pauline Monaco, Secretary
Joseph R. Romano, Treasurer
Darrell Cotter

5.1 Mission:

The Derby Housing Authority seeks out to increase Equal Opportunity and Access to decent, safe, affordable housing free from discrimination and to support community development, economic opportunity, self-sufficiency. To expand homeownership and educational opportunities, and to participate in community rebuilding through lower densities, modern housing and integration of socio-economic groups.

5.2 Goals and Objectives:

The Derby Housing Authority is looking into expanding the city's supply of assisted housing:

- a) Acquire or build units or developments.
- b) Looking into securing program specific vouchers.

Improving the quality of assisted housing:

- a) Increase landlord awareness through workshops.
- b) Educate participant in vacant unit surroundings.

Increase assisted housing choices:

- a) Implement a Housing Choice Voucher Homeownership program.
- b) Seek Housing Choice Voucher mobility counseling.
- c) Working with local realtors.

6.0 PHA Plan Update:

- a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission.

The Derby Housing Authority implemented a voluntary Housing Choice Voucher Family Self-Sufficiency Program.

- b) Identify the specific location (s) where the public may obtain copies of the 5-Year and Annual PHA Plan.

The 5 Year Agency and Annual Plan is available for public inspection/copies at the Main Administrative Office of the Derby Housing Authority.

However, one Deviation from this 5 Year Agency and Annual PHA Plan is that it is only revised once every four (4) years.

The Significant Amendment to the 5 Year Agency and Annual PHA Plan is that it has established the Family Self-Sufficiency Program and adding Enterprise Income Verification (EIV) as part of the procedures and security awareness in the Administrative plan of the Housing Choice Voucher (HCV) program for annual, interim and initial recertifications

9.1 Housing Needs:

- a) The Derby Housing Authority plans to address the situation of housing needs by reviewing income guidelines where all new admissions to the Housing Choice Voucher program are at seventy five (75) percent of the extremely low income level.
- b) In this current economic situation which has bestowed many property owners in the Derby city area; there is a large inventory of vacant housing than ever before. Statistics have shown that many families are leasing in not only downtown areas but also in the affluent residential areas of Derby.
- c) The Derby Housing Authority is also cognizant of reviewing the specific sampling of Elderly, Non-Elderly Disabled, Families, Families with Disabilities and various racial and ethnic groups from the Housing Choice Voucher Waiting List and housed. This method provides that no particular group is overlooked and everyone is eligible for subsidized housing.

Recently, The Housing Choice Voucher/Section 8 waiting list is closed and has been closed for the last 8 months. However, the waiting list had reopened in the previous PHA Plan year and the PHA does permit specific categories of families onto the waiting list.

Resident Advisory Board:

The Resident Advisory Board (RAB) for the Derby Housing Authority consists of two members, one who lives in one of the Elderly complexes (Lakeview Apartments) of the housing authority; the other (RAB) member is on the Housing Choice Voucher/Section 8 program. Mrs. Pauline Monaco attended the (RAB) meeting in where she received and reviewed the 5 year agency and Annual PHA Plan. Mrs. Monaco did not have any questions or comments, and stated that the elderly complexes are well taken care of and has no issues or concerns. Ms Jessica Matthews is also on the (RAB) from the Housing Choice Voucher Program. Ms. Matthews has also received and reviewed the 5 year Agency and Annual PHA Plan. Ms. Matthews had only one question which was in regards to the Homeownership program since she would like to purchase a house. The Derby Housing Authority's method of selection of its Resident Advisory

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Board (RAB) was by random selection from the tenant's report of the Housing Choice Voucher/Section 8 program and State Elderly Program. The term length of the RAB members is for four (4) years. The Derby Housing Authority received one response out of the mailings for HCV/Section 8. Therefore, the two RAB members are:

Mrs. Pauline Monaco: Elderly Housing.
Ms. Jessica Matthews: Housing Choice Voucher/ Section 8.

Derby Housing Authority

Measures to Affirmatively further Fair Housing

Opportunities

The Derby Housing Authority (DHA) the City of Derby and the State of Connecticut have adopted many measures to affirmatively further fair housing opportunities for classes protected under the Fair Housing Act, remove regulatory barriers to affordable housing, and encourage the development of affordable housing. These initiatives address the following specific steps:

- (1) Promote fair housing rights and fair housing choice within the City of Derby.

DHA Mission:

It is within the mission of the Derby Housing Authority to promote, develop and maintain affordable rental and home ownership housing opportunities that are well designed, consistent with market standards, cost effective to manage, and encourage freedom of choice. By providing an environment of choice, strengthened by essential support services, the Authority seeks to assist eligible households and individuals of low and moderate income in achieving household stability and economic self-sufficiency.

DHA Goals:

The Authority will use its role in the community to inform local landlords and businesses of the importance of diversity in housing and how to avoid unintentional discrimination under all applicable nondiscrimination requirements, such as the Fair Housing Act Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1937, and Title II of the Americans with Disability Act.

The Authority works with the City and other community organizations to increase the supply of wheelchair accessible housing both for rental and home-ownership opportunities and/or provided a better match between actual need and current supply. The key objective is to assist those with physical limitations to remain in the community and to be able to participate in the community in meaningful ways.

Measures to Affirmatively Further Fair Housing Opportunities

The measures to affirmatively further fair housing opportunities for classes protected under the Fair Housing Act include:

- The DHA has adopted a policy and statement to affirmatively further fair housing opportunities for classes protected under the Fair Housing Act.

- The DHA works with homeownership supportive services programs to assist and support DHA Housing Choice Voucher tenants to gain economic independence and achieve homeownership
- The DHA has established an array of community partnerships to assist and support DHA Housing Choice Voucher recipients so they may one day achieve homeownership
- Within the past five years, the City of Derby officials have convened or funded comprehensive studies, to review the rules, regulations, development standards, and processes of the jurisdiction to assess their impact on the supply of affordable housing.
- The State of Connecticut has a legal or administrative requirement that local governments undertake periodic self-evaluation of regulations and processes to assess their impact upon housing affordability and address these barriers to housing .
- The State of Connecticut has a technical assistance or education programs for local jurisdictions that includes assisting them in identifying regulatory barriers and in recommending strategies to local governments for their removal.
- The State of Connecticut provides significant financial assistance to local governments for housing, community development and/or transportation that includes funding prioritization or linking funding on the basis of local regulatory barrier removal activities.

X 

Steven nakano
Executive Director

6/12/2008

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Class: T290; TOWN OF DERBY

Ordered: 2 Times

Notes: NHR our web.

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Dates: 11/20/2010 11/20/2010

Signature of Approval:

Date:

To: Steve
Nakano
FROM: Judy S -

Ph: 203-789-5454
Fax: 203-865-8360

PUBLIC NOTICE
 As of November 15, 2010, the Housing Authority of the City of Derby (HAC) has developed its five-year and Annual PHA Plan in compliance with the Chiefly Housing and Work Responsibility (CHWRA) Act of 1998. It is available for review at the Authority's office located at 101 West Fitch Street, Derby, CT 03412. The Authority's hours are 9:30 am to 4:30 pm, Monday through Friday. In addition, a public hearing is scheduled to occur on Friday, January 1, 2011 at the Housing Authority's conference room 11:30 pm.
 2394759

Price
123.72

DERBY

PUBLIC NOTICE

As of November 15, 2010, The Housing Authority of the City of Derby (DHA) has developed its draft 5-year and Annual PHA Plan in compliance with the Quality Housing and Work Responsibility (QHWRA) Act of 1998. It is available for review at the Authority's office located at 101 West Fourth Street, Derby, CT 06418. The Authority's hours are 8:30 am to 4:30 pm, Monday through Friday. In addition, a public hearing is scheduled to occur on Friday, January 7, 2011 at the Housing Authority's conference room at 3:30 pm.

2394759

2. RENT DETERMINATION

INCOME, EXCLUSIONS FROM INCOME, DEDUCTIONS FROM INCOME

To determine annual income, the Derby Housing Authority counts the income of all family members, excluding the types and sources of income that are specifically excluded. Once the annual income is determined, the Derby Housing Authority subtracts out all allowable deductions (allowances) as the next step in determining the Total Tenant Payment.

INCOME

A. Annual income means all amounts, monetary or not, that:

1. Go to (or on behalf of) the family head or spouse (even if temporarily absent) or to any other family member, or
2. Are anticipated to be received from a source outside the family during the 12-month period following admission or annual reexamination effective date; and
3. Are not specifically excluded from annual income.

B. Annual income includes, but is not limited to:

1. The full amount, before any payroll deductions, of wages and salaries, overtime pay, commissions, fees, tips and bonuses, and other compensation for personal services.
2. The net income from the operation of a business or profession. Expenditures for business expansion or amortization of capital indebtedness are not used as deductions in determining net income. An allowance for depreciation of assets used in a business or profession may be deducted, based on straight-line depreciation, as provided in Internal Revenue Service regulations. Any withdrawal of cash or assets from the operation of a business or profession is included in income, except to the extent the withdrawal is reimbursement of cash or assets invested in the operation by the family.
3. Interest, dividends, and other net income of any kind from real or personal property. Expenditures for amortization of capital indebtedness are not used as deductions in determining net income. An allowance for depreciation of assets used in a business or profession may be deducted, based on straight-line depreciation, as provided in Internal Revenue Service regulations. Any withdrawal of cash or assets from an investment is included in income, except to the extent the withdrawal is reimbursement of cash or assets invested by the family. Where the family has net family assets in excess of \$5,000, annual income includes the greater of the actual income derived from all net family assets or a percentage of the value of such assets based on the current passbook savings rate, as determined by HUD.

4. The full amount of periodic amounts received from Social Security, annuities, insurance policies, retirement funds, pensions, disability or death benefits, and other similar types of periodic receipts, including a lump-sum amount or prospective monthly amounts for the delayed start of a periodic amount. (However, deferred periodic amounts from supplemental security income and Social Security benefits that are received in a lump sum amount or in prospective monthly amounts are excluded.)
5. Payments in lieu of earnings, such as unemployment and disability compensation, worker's compensation and severance pay. (However, lump sum additions such as insurance payments from worker's compensation are excluded.)
6. Welfare assistance.
 - a. If the welfare assistance payment includes an amount specifically designated for shelter and utilities that is subject to adjustment by the welfare assistance agency in accordance with the actual cost of shelter and utilities, the amount of welfare assistance income to be included as income consists of:
 - I. The amount of the allowance or grant exclusive of the amount specifically designated for shelter or utilities; plus
 - II. The maximum amount that the welfare assistance agency could in fact allow the family for shelter and utilities. If the family's welfare assistance is ratably reduced from the standard of need by applying a percentage, the amount calculated under this requirement is the amount resulting from one application of the percentage.
 - b. If the amount of welfare is reduced due to an act of fraud by a family member or because of any family member's failure to comply with requirements to participate in an economic self-sufficiency program or work activity, the amount of rent required to be paid by the family will not be decreased in such cases, the amount of income attributable to the family will include what the family would have received had they complied with the welfare requirements and/or had not committed an act of fraud.
 - c. If the amount of welfare assistance is reduced as a result of a lifetime time limit, the reduced amount is the amount that shall be counted.
7. Periodic and determinable allowances, such as alimony and child support payments, and regular contributions or gifts received from organizations or from persons not residing in the dwelling.
8. All regular pay, special pay, and allowances of a member of the Armed Forces. (Special pay to a member exposed to hostile fire is excluded.)

EXCLUSIONS FROM INCOME

Annual income does not include the following:

- A. Income from employment of children (including foster children) under the age of 18 years;
- B. Payments received for the care of foster children or foster adults (usually persons with disabilities, unrelated to the tenant family, who are unable to live alone);
- C. Lump-sum additions to family assets, such as inheritances, insurance payments (including payments under health and accident insurance and worker's compensation), capital gains and settlement for personal or property losses;
- D. Amounts received by the family specifically for, or in reimbursement of, the cost of medical expenses for any family member;
- E. Income of a live-in aide;
- F. The full amount of student financial assistance paid directly to the student or to the educational institution;
- G. The special pay to a family member serving in the Armed Forces who is exposed to hostile fire;
- H. The amounts received from the following programs:
 - 1. Amounts received under training programs funded by HUD;
 - 2. Amounts received by a person with a disability that are disregarded for a limited time for purposes of Supplemental Security Income eligibility and benefits because they are set aside for use under a Plan to Attain Self-Sufficiency (PASS);
 - 3. Amounts received by a participant in other publicly assisted programs that are specifically for or in reimbursement of out-of-pocket expenses incurred (special equipment, clothing, transportation, child care, etc.) and that are made solely to allow participation in a specific program;
 - 4. Amounts received under a resident service stipend. A resident service stipend is a modest amount (not to exceed \$200 per month) received by a resident for performing a service for the Housing Authority or owner, on a part-time basis, that enhances the quality of life in the development. Such services may include, but are not limited to, fire patrol, hall monitoring, lawn maintenance, resident initiative coordination. No resident may receive more than one such stipend during the same period of time;
 - 5. Incremental earnings and benefits resulting to any family member from participation in qualifying State or local employment training programs (including training programs not affiliated with a local government) and training of a family member as resident management staff. Amounts excluded by this provision must be received under employment training programs with clearly defined goals and objectives and are excluded only for the period during which the family member participates in the employment training program;

6. Temporary, non-recurring, or sporadic income (including gifts);
7. Reparation payments paid by a foreign government pursuant to claims filed under the laws of that government by persons who were persecuted during the Nazi era;
8. Earnings in excess of \$480 for each full-time student 18 years old or older (excluding the head of household and spouse);
9. Adoption assistance payments in excess of \$480 per adopted child;
10. Deferred periodic amounts from Supplemental Security Income and Social Security benefits that are received in a lump sum amount or in prospective monthly amounts;
11. Amounts received by the family in the form of refunds or rebates under State or local law for property taxes paid on the dwelling unit;
12. Amounts paid by a State agency to a family with a member who has a developmental disability and is living at home to offset the cost of services and equipment needed to keep the developmentally disabled family member at home; or
13. Amounts specifically excluded by any other Federal statute from consideration as income for purposes of determining eligibility or benefits.

These exclusions include:

- a. The value of the allotment of food stamps
- b. Payments to volunteers under the Domestic Volunteer Services Act of 1973
- c. Payments received under the Alaska Native Claims Settlement Act
- d. Income from submarginal land of the U.S. that is held in trust for certain Indian tribes
- e. Payments made under HHS's Low-Income Energy Assistance Program
- f. Payments received under the Job Training Partnership Act
- g. Income from the disposition of funds of the Grand River Band of Ottawa Indians
- h. The first \$2000 per capita received from judgment funds awarded for certain Indian claims
- i. Amount of scholarships awarded under Title IV including Work-Study
- j. Payments received under the Older Americans Act of 1965

- k. Payments from Agent Orange Settlement
- l. Payments received under the Maine Indian Claims Act
- m. The value of child care under the Child Care and Development Block Grant Act of 1990
- n. Earned income tax credit refund payments
- o. Payments for living expenses under the AmeriCorps Program

DEDUCTIONS FROM ANNUAL INCOME

The following deductions will be made from annual income:

- A. \$480 for each dependent
- B. \$400 for any elderly family or disabled family
- C. For any family that is not an elderly or disabled family but has a member (other than the head or spouse) who is a person with a disability, disability assistance expenses in excess of 3% of annual income. This allowance may not exceed the employment income received by family members who are 18 years of age or older as a result of the assistance to the person with disabilities.
- D. For any elderly or disabled family:
 - 1. That has no disability assistance expenses, an allowance for medical expenses equal to the amount by which the medical expenses exceed 3% of annual income.
 - 2. That has disability expenses greater than or equal to 3% of annual income, an allowance for disability assistance expenses computed in accordance with paragraph C, plus an allowance for medical expenses that equal the family's medical expenses;
 - 3. That has disability assistance expenses that are less than 3% of annual income, an allowance for combined disability assistance expenses and medical expenses that is equal to the total of these expenses less 3% of annual income.
- E. Child care expenses.

5. GRIEVANCE PROCEDURES: REVIEWS FOR APPLICANTS, INFORMAL HEARINGS FOR PARTICIPANTS

COMPLAINTS

The Derby Housing Authority will investigate and respond to complaints by participant families, owners, and the general public. The Derby Housing Authority may require that complaints other

than HQS violations be put in writing. Anonymous complaints are investigated whenever possible.

INFORMAL REVIEW FOR THE APPLICANT

A. Informal Review for the Applicant

The Derby Housing Authority will give an applicant for participation in the Section 8 Existing Program prompt notice of a decision denying assistance to the applicant. The notice will contain a brief statement of the reasons for the Derby Housing Authority decision. The notice will state that the applicant may request an informal review within 10 business days of the denial and will describe how to obtain the informal review.

B. When an Informal Review is not Required

The Derby Housing Authority will not provide the applicant an opportunity for an informal review for any of the following reasons:

1. A determination of the family unit size under the Derby Housing Authority subsidy standards.
2. A Derby Housing Authority determination not to approve an extension or suspension of a certificate or voucher term.
3. A Derby Housing Authority determination not to grant approval to lease a unit under the program or to approve a proposed lease.
4. A Derby Housing Authority determination that a unit selected by the applicant is not in compliance with HQS.
5. A Derby Housing Authority determination that the unit is not in accordance with HQS because of family size or composition.
6. General policy issues or class grievances.
7. Discretionary administrative determinations by the Derby Housing Authority.

C. Informal Review Process

The Derby Housing Authority will give an applicant an opportunity for an informal review of the Derby Housing Authority decision denying assistance to the applicant. The procedure is as follows:

1. The review will be conducted by any person or persons designated by the Derby Housing Authority other than the person who made or approved the decision under review or a subordinate of this person.

2. The applicant will be given an opportunity to present written or oral objections to the Derby Housing Authority decision.
3. The Derby Housing Authority will notify the applicant of the Derby Housing Authority decision after the informal review within 14 calendar days. The notification will include a brief statement of the reasons for the final decision.

D. Considering Circumstances

In deciding whether to terminate assistance because of action or inaction by members of the family, the Housing Authority may consider all of the circumstances in each case, including the seriousness of the case, the extent of participation or culpability of individual family members, and the effects of denial or termination of assistance on other family members who were not involved in the action or failure.

The Housing Authority may impose, as a condition of continued assistance for other family members, a requirement that family members who participated in or were culpable for the action or failure will not reside in the unit. The Housing Authority may permit the other members of a participant family to continue receiving assistance.

If the Housing Authority seeks to terminate assistance because of illegal use, or possession for personal use, of a controlled substance, or pattern of abuse of alcohol, such use or possession or pattern of abuse must have occurred within one year before the date that the Housing Authority provides notice to the family of the Housing Authority determination to deny or terminate assistance. In determining whether to terminate assistance for these reasons the Derby Housing Authority will consider evidence of whether the household member:

1. Has successfully completed a supervised drug or alcohol rehabilitation program (as applicable) and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol;
2. Has otherwise been rehabilitated successfully and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol; or
3. Is participating in a supervised drug or alcohol rehabilitation program and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol.

E. Informal Review Procedures for Denial of Assistance on the Basis of Ineligible Immigration Status

The applicant family may request that the Derby Housing Authority provide for an informal review after the family has notification of the INS decision on appeal, or in lieu of request of appeal to the INS. This request must be made by the applicant family within 30 days of receipt of the *Notice of Denial or Termination of Assistance*, or within 30 days of receipt of the INS appeal decision.

For applicant families, the Informal Review Process above will be utilized with the exception that the applicant family will have up to 30 days of receipt of the *Notice of*

Denial or Termination of Assistance, or of the INS appeal decision to request the review.

INFORMAL HEARINGS FOR PARTICIPANTS

A. When a Hearing is Required

1. The Derby Housing Authority will give a participant family an opportunity for an informal hearing to consider whether the following Derby Housing Authority decisions relating to the individual circumstances of a participant family are in accordance with the law, HUD regulations, and Derby Housing Authority policies:
 - a. A determination of the family's annual or adjusted income, and the use of such income to compute the housing assistance payment.
 - b. A determination of the appropriate utility allowance (if any) for tenant-paid utilities from the Derby Housing Authority utility allowance schedule.
 - c. A determination of the family unit size under the Derby Housing Authority subsidy standards.
 - d. A determination that a HCV Program family is residing in a unit with a larger number of bedrooms than appropriate for the family unit size under the Derby Housing Authority subsidy standards, or the Derby Housing Authority determination to deny the family's request for an exception from the standards.
 - e. A determination to terminate assistance for a participant family because of the family's action or failure to act.
 - f. A determination to terminate assistance because the participant family has been absent from the assisted unit for longer than the maximum period permitted under the Derby Housing Authority policy and HUD rules.
2. In cases described in paragraphs 16.3(A)(1)(d), (e), and (f), of this Section the Derby Housing Authority will give the opportunity for an informal hearing before the Derby Housing Authority terminates housing assistance payments for the family under an outstanding HAP contract.

B. When a Hearing is not Required

The Derby Housing Authority will not provide a participant family an opportunity for an informal hearing for any of the following reasons:

1. Discretionary administrative determinations by the Derby Housing Authority.
2. General policy issues or class grievances.

3. Establishment of the Derby Housing Authority schedule of utility allowances for families in the program.
4. A Derby Housing Authority determination not to approve an extension or suspension of a certificate or voucher term.
5. A Derby Housing Authority determination not to approve a unit or lease.
6. A Derby Housing Authority determination that an assisted unit is not in compliance with HQS. (However, the Derby Housing Authority will provide the opportunity for an informal hearing for a decision to terminate assistance for a breach of the HQS caused by the family.)
7. A Derby Housing Authority determination that the unit is not in accordance with HQS because of the family size.
8. A determination by the Derby Housing Authority to exercise or not exercise any right or remedy against the owner under a HAP contract.

C. Notice to the Family

1. In the cases described in paragraphs 16.3(A)(1)(a), (b), and (c), of this Section, the Derby Housing Authority will notify the family that the family may ask for an explanation of the basis of the Derby Housing Authority's determination, and that if the family does not agree with the determination, the family may request an informal hearing on the decision.
2. In the cases described in paragraphs 16.3(A)(1)(d), (e), and (f), of this Section, the Derby Housing Authority will give the family prompt written notice that the family may request a hearing within 10 business days of the notification. The notice will:
 - a. Contain a brief statement of the reasons for the decision; and
 - b. State that if the family does not agree with the decision, the family may request an informal hearing on the decision within 10 business days of the notification.

D. Hearing Procedures

The Derby Housing Authority and participants will adhere to the following procedures:

1. Discovery

- a. The family will be given the opportunity to examine before the hearing any Derby Housing Authority documents that are directly relevant to the hearing. The family will be allowed to copy any such document at the family's expense. If the Derby Housing Authority does not make the document(s) available for examination on request of the family, the Derby Housing Authority may not rely on the document at the hearing.

- b. The Derby Housing Authority will be given the opportunity to examine, at the Derby Housing Authority's offices before the hearing, any family documents that are directly relevant to the hearing. The Derby Housing Authority will be allowed to copy any such document at the Derby Housing Authority's expense. If the family does not make the document(s) available for examination on request of the Derby Housing Authority, the family may not rely on the document at the hearing.

Note: The term document includes records and regulations.

2. Representation of the Family

At its own expense, a lawyer or other representative may represent the family.

3. Hearing Officer

- a. The hearing will be conducted by any person or persons designated by the Derby Housing Authority, other than a person who made or approved the decision under review or a subordinate of this person.
- b. The person who conducts the hearing will regulate the conduct of the hearing in accordance with the Derby Housing Authority hearing procedures.

4. Evidence

The Derby Housing Authority and the family must have the opportunity to present evidence and may question any witnesses. Evidence may be considered without regard to admissibility under the rules of evidence applicable to judicial proceedings.

5. Issuance of Decision

The person who conducts the hearing must issue a written decision within 14 calendar days from the date of the hearing, stating briefly the reasons for the decision. Factual determinations relating to the individual circumstances of the family shall be based on a preponderance of the evidence presented at the hearing.

6. Effect of the Decision

The Derby Housing Authority is not bound by a hearing decision:

- a. Concerning a matter for which the Derby Housing Authority is not required to provide an opportunity for an informal hearing under this Section, or that otherwise exceeds the authority of the person conducting the hearing under the Derby Housing Authority hearing procedures.
- b. Contrary to HUD regulations or requirements, or otherwise contrary to Federal, State, or local law.

- c. If the Derby Housing Authority determines that it is not bound by a hearing decision, the Derby Housing Authority will notify the family within 14 calendar days of the determination, and of the reasons for the determination.

E. Considering Circumstances

In deciding whether to terminate assistance because of action or inaction by members of the family, the Housing Authority may consider all of the circumstances in each case, including the seriousness of the case, the extent of participation or culpability of individual family members, and the effects of denial or termination of assistance on other family members who were not involved in the action or failure.

The Housing Authority may impose, as a condition of continued assistance for other family members, a requirement that family members who participated in or were culpable for the action or failure will not reside in the unit. The Housing Authority may permit the other members of a participant family to continue receiving assistance.

If the Housing Authority seeks to terminate assistance because of illegal use, or possession for personal use, of a controlled substance, or pattern of abuse of alcohol, such use or possession or pattern of abuse must have occurred within one year before the date that the Housing Authority provides notice to the family of the Housing Authority determination to deny or terminate assistance. In determining whether to terminate assistance for these reasons the Derby Housing Authority will consider evidence of whether the household member:

1. Has successfully completed a supervised drug or alcohol rehabilitation program (as applicable) and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol;
2. Has otherwise been rehabilitated successfully and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol; or
3. Is participating in a supervised drug or alcohol rehabilitation program and is no longer engaging in the illegal use of a controlled substance or abuse of alcohol.

F. Informal Hearing Procedures for Denial of Assistance on the Basis of Ineligible Immigration Status

The participant family may request that the Derby Housing Authority provide for an informal hearing after the family has notification of the INS decision on appeal, or in lieu of request of appeal to the INS. This request must be made by the participant family within 30 days of receipt of the *Notice of Denial or Termination of Assistance*, or within 30 days of receipt of the INS appeal decision.

For the participant families, the Informal Hearing Process above will be utilized with the exception that the participant family will have up to 30 days of receipt of the *Notice of Denial or Termination of Assistance*, or of the INS appeal decision.

13. VIOLENCE AGAINST WOMEN ACT (VAWA)

The Derby Housing Authority has implemented as prescribed by the United States Department of Housing and Urban Development recognizes the Violence Against Women and Department of Justice Reauthorization Act of 2005 (Pub. L. 109-162) (VAWA). More generally to set forth the Housing Authority's policies and procedures regarding Domestic Violence, Dating Violence and stalking, as hereinafter defined.

This policy shall be applicable to the administration by the HA of all federally subsidized public housing and Housing Choice Voucher/Section 8 rental assistance under the United States Housing Act of 1937 (42 U.S.C. 1437 et seq). Notwithstanding its title, this policy is gender-neutral, and its protections are available to males who are victims of domestic violence, dating violence or stalking as well as female victims of such violence.

"The Derby Housing Authority during a Housing Choice Voucher/Section 8 briefing provides each new participant with a packet containing information regarding their rights under the VAWA act along with information on outreach agencies that will help support any immediate resources for protection and emergency housing in conjunction with the Derby Housing Authority. This information is also reiterated during a participant's recertification and is provided in both English and Spanish; please see Attachment."

GOALS AND OBJECTIVES

This policy has the following principal goals and objectives:

- a. Maintaining compliance with all applicable legal requirements imposed by VAWA;
- b. Ensuring the physical safety of victims of actual or threatened domestic violence, dating violence, or stalking who are assisted by the HA;
- c. Providing and maintaining housing opportunities for victims of domestic violence, dating violence, or stalking;
- d. Creating and maintaining collaborative arrangements between the HA, law enforcement authorities, victim service providers, and others to promote the safety and well-being of victims of actual and threatened domestic violence, dating violence and stalking, who are assisted by the HA; and
- e. Taking appropriate action in response to an incident or incidents of domestic violence, dating violence, or stalking, affecting individuals assisted by the HA.

OTHER HA POLICIES AND PROCEDURES

This Policy shall be referenced in and attached to the HA's Five-year Public Housing Agency Plan and shall be incorporated in and made a part of the HA's Admissions Standards and

Continued Occupancy Policy. The HA's annual public housing agency plan shall also contain information concerning the HA's activities, services or programs relating to domestic violence, dating violence, and stalking.

To the extent any provisions of this policy shall vary or contradict any previously adopted policy or procedure of the HA, the provisions of this Policy shall prevail.

DEFINITIONS

As used in this Policy:

- A. *Domestic Violence* – The term “domestic violence” includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabiting with or has cohabited with the victim as a spouse, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction.
- B. *Dating Violence* – means violence committed by a person – who is or has been in a social relationship of a romantic or intimate nature with the victim; and where the existence of such a relationship shall be determined based on a consideration of the following factors:
 - (i) The length of the relationship
 - (ii) The type of relationship
 - (iii) The frequency of interaction between the persons involved in the relationship.
- C. *Stalking* – means (A) (i) to follow, pursue, or repeatedly commit acts with the intent to kill, injure, harass, or intimidate another person; and (ii) to place under surveillance with the intent to kill, injure, harass or intimidate another person; and (B) in the course of, or as a result of, such following, pursuit, surveillance or repeatedly committed acts, to place a person in reasonable fear of the death of, or serious bodily injury to, or to cause substantial emotional harm to – (i) that person; (ii) a member of the immediate family of that person; or (iii) the spouse or intimate partner of that person;
- D. *Immediate Family Member* – means, with respect to that person – (A) a spouse, parent, brother, sister, or child of that person, or an individual to whom that person stands in loco parentis; (B) or any other person living in the household of that person and related to that person by blood or marriage.
- E. *Perpetrator* – means person who commits an act of domestic violence, dating violence or stalking against a victim.

ADMISSION AND SCREENING

Non-Denial of Assistance. The HA will not deny admission to the Section 8 rental assistance program to any person because that person is or has been a victim of domestic violence, dating violence, or stalking, provided that such person is otherwise qualified for such admission.

TERMINATION OF TENANCY OR ASSISTANCE

A. *VAWA Protections.* Under VAWA, persons assisted under the Section 8 rental assistance program have the following specific protections, which will be observed by the HA:

1. An incident or incidents of actual or threatened domestic violence, dating violence, or stalking will not be considered to be a "serious or repeated" violation of the lease by the victim or threatened victim of that violence and will not be good cause for terminating the tenancy or occupancy rights of or assistance to the victim of that violence.
2. In addition to the foregoing, tenancy or assistance will not be terminated by the HA as a result of criminal activity, if that criminal activity is directly related to domestic violence, dating violence or stalking engaged in by a member of the assisted household, a guest or another person under the tenant's control, and the tenant or an immediate family member is the victim or threatened victim of this criminal activity. However, the protection against termination of tenancy or assistance described in this paragraph is subject to the following limitations:
 - a. Nothing contained in this paragraph shall limit any otherwise available authority of the HA or a Section 8 owner or manager to terminate tenancy, evict, or to terminate assistance, as the case may be, for any violation of a lease or program requirement not premised on the act or acts of domestic violence, dating violence, or stalking in question against the tenant or a member of the tenant's household. However, in taking any such action, neither the HA nor a Section 8 manager or owner may apply a more demanding standard to the victim of domestic violence, dating violence or stalking than that applied to other tenants.
 - b. Nothing contained in this paragraph shall be construed to limit the authority of the HA or a Section 8 owner or manager to evict or terminate from assistance any tenant or lawful applicant if the owner, manager or the HA, as the case may be, can demonstrate an actual and imminent threat to other tenants or to those employed at or providing service to the property, if the tenant is not evicted or terminated from assistance.

B. *Removal of Perpetrator.* Further, notwithstanding anything in paragraph 12.6 A.2. Or Federal, State or local law to the contrary, the HA or a Section 8 owner or manager, as the case may be, may bifurcate a lease, or remove a household member from a lease, without regard to whether the household member is a signatory to a lease, in order to evict, remove, terminate occupancy rights, or terminate assistance to any individual who is a tenant or lawful occupant and who engages in acts of physical violence against family members or others. Such action against the perpetrator of such physical violence may be taken without evicting; removing, terminating assistance to, or otherwise penalizing the victim of such violence who is also the tenant or a lawful occupant. Such eviction, removal, termination of occupancy rights, or termination of assistance shall be effected in accordance with the procedures prescribed by law applicable to terminations of tenancy and evictions by the HA. Leases used for dwelling units occupied by

families assisted with Section 8 rental assistance administered by the HA, shall contain provisions setting forth the substance of this paragraph.

VERIFICATION OF DOMESTIC VIOLENCE, DATING VIOLENCE OR STALKING

A. *Requirement for Verification.* The law allows, but does not require, to verify that an incident or incidents of actual or threatened domestic violence, dating violence, or stalking claimed by a tenant or other lawful occupant is bona fide and meets the requirements of the applicable definitions set forth in this policy. Subject only to waiver as provided in paragraph 12.7. C., the HA shall require verification in all cases where an individual claims protection against an action involving such individual proposed to be taken by the HA. Section 8 owners or managers receiving rental assistance administered by the HA may elect to require verification, or not to require it as permitted under applicable law.

Verification of a claimed incident or incidents of actual or threatened domestic violence, dating violence or stalking may be accomplished in one of the following three ways:

1. *HUD-approved form* -- by providing to the HA or the requesting Section 8 owner or manager a written certification, on a form approved by the U.S. Department of Housing and Urban Development (HUD), that the individual is a victim of domestic violence, dating violence or stalking that the incident or incidents in question are bona fide incidents of actual or threatened abuse meeting the requirements of the applicable definition(s) set forth in this policy. The incident or incidents in question must be described in reasonable detail as required in the HUD-approved form, and the completed certification must include the name of the perpetrator.
 2. *Other documentation* -- by providing to the HA or to the requesting Section 8 owner or manager documentation signed by an employee, agent, or volunteer of a victim service provider, an attorney, or a medical professional, from whom the victim has sought assistance in addressing the domestic violence, dating violence or stalking, or the effects of the abuse, described in such documentation. The professional providing the documentation must sign and attest under penalty of perjury (28 U.S.C. 1746) to the professional's belief that the incident or incidents in question are bona fide incidents of abuse meeting the requirements of the applicable definition(s) set forth in this policy. The victim of the incident or incidents of domestic violence, dating violence or stalking described in the documentation must also sign and attest to the documentation under penalty of perjury.
 3. *Police or court record* -- by providing to the HA or to the requesting Section 8 owner or manager a Federal, State, tribal, territorial, or local police or court record describing the incident or incidents in question.
- B. *Time allowed to provide verification/failure to provide.* An individual who claims protection against adverse action based on an incident or incidents of actual or threatened domestic violence, dating violence or stalking, and who is requested by the HA to provide verification, must provide such verification within 14 business days (*i.e.*, 14 calendar days, excluding Saturdays, Sundays, and federally-recognized holidays) after receipt of the request for

verification. Failure to provide verification, in proper form within such time will result in loss of protection under VAWA and this policy against a proposed adverse action.

- C. *Waiver of verification requirement.* The Director of the HA may, with respect to any specific case, waive the above-stated requirements for verification and provide the benefits of this policy based on the victim's statement or other corroborating evidence. Such waiver may be granted in the sole discretion of the Director. Any such waiver must be in writing. Waiver in particular instance or instances shall not operate as precedent for, or create any right to, waiver in any other case or cases, regardless of similarity in circumstances.

CONFIDENTIALITY

- A. *Right of confidentiality.* All information (including the fact that an individual is a victim of domestic violence dating violence or stalking) provided to the HA or to a Section 8 owner or manager in connection with a verification required under section 12.7 of this policy or provided in lieu of such verification where a waiver of verification is granted, shall be retained by the receiving party in confidence and shall neither be entered in any shared database nor provided to any related entity, except where disclosure is:

1. requested or consented to by the individual in writing, or
2. required for use in connection with termination of Section 8 assistance, as permitted in VAWA, or
3. otherwise required by applicable law.

- B. *Notification of rights.* All tenants of public housing and tenants participating in the Section 8 rental assistance program administered by the HA shall be notified in writing concerning their right to confidentiality and the limits on such rights to confidentiality.

TRANSFER TO A NEW RESIDENCE

Portability. A Section 8-assisted tenant will not be denied portability to a unit located in another jurisdiction (notwithstanding the term of the tenant's existing lease has not expired, or the family has not occupied the unit for 12 months) so long as the tenant has complied with all other requirements of the Section 8 program and has moved from the unit in order to protect a health or safety of an individual member of the household who is or has been the victim of domestic violence, dating violence or stalking and who reasonably believes that the tenant or other household member will be imminently threatened by harm from further violence if the individual remains in the present dwelling units.

RELATIONSHIP WITH SERVICE PROVIDERS

It is the policy of the HA to cooperate with organizations and entities, both private and governmental, that provide shelter and/or services to victims of domestic violence. If the HA staff become aware that an individual assisted by the HA is a victim of domestic violence, dating

violence or stalking, the HA will refer the victim to such providers of shelter or services as appropriate. Notwithstanding the foregoing, this Policy does not create any legal obligation requiring the HA either to maintain a relationship with any particular provider of shelter or services to victims or domestic violence or to make a referral in any particular case.

NOTIFICATION

The HA shall provide written notification to applicants, tenants, and Section 8 owners and managers, concerning the rights and obligations created under VAWA relating to confidentiality, denial of assistance and, termination of tenancy or assistance.

RELATIONSHIP WITH OTHER APPLICABLE LAWS

Neither VAWA nor this Policy implementing it shall preempt or supersede any provision of Federal, State or local law that provides greater protection than that provided under VAWA for victims of domestic violence, dating violence or stalking.

ATTACHMENT VAWA INFORMATION

<p>Home</p> <p>Contact Umbrella</p> <p>Contact BGHS</p>  <p>Safety Alert! Use a safe computer. Always remember that computer use can be monitored. Don't put your safety at risk by viewing this site from an unsafe computer! Click here to learn more!</p> <p>Special Programs</p> <p>Do You Know Someone Who is a Victim of Elder Abuse? Click here to learn about the C.H.E.R.I.S.H. Program <i>A Safe Haven for Elders</i></p>	<h1>The Umbrella</h1> <p><i>Leading the Fight Against Domestic Violence in Our Communities...</i></p>  <p>24-Hour Crisis Hotline (203) 736-9944</p> <p>Domestic Violence is the single greatest cause of injury to women. In the last 20 years, groups like Birmingham Group Health Services' The Umbrella have spearheaded the fight against this epidemic and worked tirelessly to help women and children affected by domestic violence become survivors.</p> <p>Domestic violence services at The Umbrella revolve around several key themes: respite for victims and their children, quality services based on individual and family needs, and a continuous commitment to safety and confidentiality.</p>	<p>Domestic Violence Myths & Facts</p> <p>Domestic Violence Screening Quiz</p> <p>Emergency Shelter & Crisis Services</p> <p>Court Advocacy Services</p> <p>Victim & Family Counseling</p> <p>Education & Outreach</p> <p>Volunteer/Training Opportunities</p> <p>Survivor Stories</p> <p>2007 Domestic Violence Community Census Report: National Census Connecticut Census</p> <p>Wish List</p>
 <p>A Community Educator is available to speak to, or present professional workshops for, your group/business/school/organization.</p>	<h2>Umbrella Services</h2> <p>The Umbrella offers a wide range of crisis and other services for victims of domestic violence and their children. From offering a 24-hour crisis hotline and support groups, to providing emergency shelter and advocacy, The Umbrella's trained staff are there to empower survivors of domestic violence to take back and re-build their lives. All services are free and are available to individuals in both Fairfield and New Haven Counties who have had their lives disrupted by domestic violence.</p> <h2>Emergency Shelter & Crisis Services</h2> <p>The Umbrella offers a temporary emergency domestic violence shelter for women and children who are fleeing from physical and psychological abuse. Individuals/families can stay at the shelter for up to 90 days and receive supportive services such as counseling, medical attention, court advocacy, and financial, and/or housing referrals in a safe, anonymous, and confidential environment. Tutoring and counseling services are also offered to children who stay at the shelter.</p>	

[Click here to learn more.](#)

Domestic Violence Education

The Umbrella D.O.V.E program offers educational classes for women who are involved with DCF or have been arrested due to domestic violence. [Click here to view and/or print our informational brochure.](#)

*My Sister's Place & My Sister's Ally
The Ultimate Thrift Shopping Experience!*

The Umbrella program is funded in part by the Office of Victim Services, Superior Court Operations Division, State of Connecticut Judicial Branch, Victims of Crime Act Victim Assistance Grant Program.

In addition to our emergency shelter, The Umbrella also provides a 24-hour/7-day-per-week crisis hotline, (203) 736-9944, as well as a walk-in crisis center located at 435 East Main Street, Ansonia, CT. The walk-in crisis center is open Monday - Friday from 8:30am to 5:00pm.

Family Violence Victim Advocate Program

The Umbrella's Family Violence Victim Advocate Program was specifically designed to provide advocacy for victims of domestic violence both in the court system and in the community. The Umbrella's Family Violence Victim Advocate meets with victims after arrests have been made, ensuring that their concerns, needs, and fears are being appropriately addressed. Victims are given information, resources, and help in planning their safety.

The Family Violence Victim Advocate is also able to assist individuals in securing protective orders after an arrest has been made. In addition, The Umbrella staff can assist individuals in obtaining temporary restraining orders without an arrest, and/or advocate for clients in a variety of areas of the legal system.

Victim and Family Counseling Services

The Umbrella offers individual, family, and group counseling for victims of domestic violence and their children. Parenting workshops are also available for adults and children.

Beyond Shelter Program

Funded by a partnership grant between The Umbrella, TEAM, Inc. and A.C.T. (Area Congregations Together), the Beyond Shelter program provides coordinated services to newly housed families and their landlords in order to prevent a cycle of homelessness. The program focuses on preventing the recurrence of homelessness through early intervention, skill building, and follow-up services that foster housing stability and teach families the skills necessary to retain housing.

Among other things, the Beyond Shelter program connects families with a Housing Stability Coordinator who helps to identify and resolve potential problems; provides information about landlord/tenant rights and responsibilities; assists the family with food, clothing, transportation, money management, and parenting issues; and assists with securing household items.

For more information about the Beyond Shelter program, contact The Umbrella at (203) 736-2601.

Community Education & Outreach

The Umbrella has always been at the forefront of educating the public about the complex issues of domestic violence and its effects on individuals, families, children, and ultimately, the community. The Umbrella has developed a variety of presentations and professional workshops which address these topics and can be customized for any group. Special programs such as TAPP (Teenage Abuse Prevention Program) have also been created to specifically address local middle and high school audiences. Schools, businesses and groups of all types may contact our Community Educator at (203) 736-2601, ext. 357, or at moore@bghealth.org, to request a presentation from The Umbrella at any time.

Volunteer & Training Opportunities

As part of our community education and outreach efforts, The Umbrella has developed various training programs for police officers, care providers, universities, and persons interested in becoming Umbrella volunteers and/or interns. If you are interested in attending or hosting a training, or becoming an Umbrella volunteer or intern, please contact us at (203) 736-2601.

For more information about The Umbrella, our programs and services, or about domestic violence, contact The Umbrella at (203) 736-2601 today!

Member:

Connecticut Coalition Against Domestic Violence

www.ctcadv.org



www.ncadv.org



Valley United Way

www.valleyunitedway.org

You are the
1246
person to visit this web page!

For questions or concerns regarding this website, contact the webmaster:

rcreea@bghealth.org.

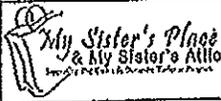
Página Principal de
BGHS

Contacto A La UMBRELLA



¡Atención Importante De Seguridad!
Tenga en cuenta que el abusador le puede monitorear lo que ud hace en su computador y en el internet. Haga Clic aquí para obtener mas información

Programas Especiales



La Umbrella

Eliminando la batalla en contra de la violencia doméstica en nuestras comunidades...



Línea de crisis
las 24 horas
(203) 736-9944

El maltrato físico y emocional son las causas principales de sufrimiento de las mujeres. En los últimos 20 años, el programa de la Umbrella de Birmingham Group Health Services se ha encargado de hacerle frente a esta batalla en contra de esta epidemia. La Umbrella ha trabajado incansablemente para ayudar a que mujeres y niños afectados por la violencia doméstica se conviertan en sobrevivientes.

Los servicios de violencia doméstica de la Umbrella giran en torno a los siguientes temas: respeto por las víctimas y sus hijos, calidad de los servicios basados en las necesidades individuales y de la familia, y compromiso continuo con la seguridad y confiabilidad.

Programas Y Servicios

Mitos Y Realidades Sobre La Violencia Doméstica

Albergue De Emergencia Y Servicios De Crisis

Servicios De Defensoría En Los Tribunales

Consejería Para Víctimas Y Familias

Educación Dirigida A La Comunidad

Centro De Mediación Familiar

Capacitaciones Y Oportunidades Para Voluntarios Y Practicantes

Donaciones

Servicios De La Umbrella

La Umbrella ofrece una amplia gama de servicios de crisis para víctimas de la violencia doméstica y sus hijos. La Umbrella cuenta con una línea de crisis las 24 horas del día, grupos de apoyo, albergue temporal y defensoría. Los trabajadores de la Umbrella están capacitados para motivar y apoyar a las personas sobrevivientes de la violencia doméstica a reconstruir sus vidas. Todos los servicios son gratis y están disponibles para individuos del condado de Fairfield y de New Haven que hayan sido afectados por la violencia doméstica.

Albergue De Emergencia Y Servicios De Crisis

La Umbrella ofrece albergue temporal y de emergencia para aquellas mujeres y niños que están huyendo del abuso físico y emocional. Estas personas/familias pueden permanecer en el albergue hasta 90 días y durante este tiempo reciben servicios de apoyo como lo son la atención médica, defensoría en los tribunales, ayuda financiera y referidos al departamento de vivienda. Estos servicios son completamente confidenciales. También se ofrecen servicios como tutoría y consejería a los niños que están en el albergue.

Además de albergue temporal, la Umbrella también tiene una línea de crisis las

24 horas al día los 7 días a la semana, (203) 736-9944. Adicionalmente, la Umbrella tiene un centro de crisis localizado en 435 East Main Street, Ansonia, CT. Este centro de crisis está abierto de lunes a viernes de 8:30am a 5:00pm.

Programa De Defensoría Para Las Familias Víctimas De Violencia

El programa de la Umbrella de defensoría para las familias víctimas de la violencia fue diseñado con el propósito de abogar por las víctimas de la violencia doméstica tanto en los tribunales como en la comunidad. La defensora de familia de la Umbrella se reúne con las víctimas después de que se haya hecho un arresto, y se asegura de que sus preocupaciones, necesidades y miedos sean manejados apropiadamente. A las víctimas se les ofrece información acerca de los recursos que existen en la comunidad y se les ayuda con un plan de seguridad.

La defensora de las víctimas también está disponible para asistir con el proceso de las órdenes de protección. Adicionalmente, el personal de la Umbrella puede asistir a las personas con la obtención de las órdenes de restricción cuando no ha habido un arresto, y/o pueden informar a los clientes de las diversas áreas relacionadas con el sistema legal.

Servicio De Consejería Para Las Víctimas Y Sus Familias

La Umbrella ofrece consejería individual, familiar y en grupo a las víctimas de la violencia doméstica y a sus hijos.

Programa "Vida Después Del Albergue"

Este programa está financiado por una subvención otorgada a la colaboración conjunta del programa de la Umbrella, TEAM, Inc y ACT (Area Congregations Together). El programa "Vida Después del Albergue" ofrece servicios coordinados a las familias que se mudan a un nuevo lugar y a sus propietarios con el objetivo de evitar el ciclo de las personas que se quedan sin vivienda. Este programa se centra en la prevención de la pérdida de vivienda por medio de una intervención temprana, de un desarrollo de destrezas y de un plan de seguimiento que fomente la preservación del hogar y la adquisición de habilidades para conservar sus viviendas.

Entre otras cosas, este programa de "Vida Después del Albergue" conecta a las familias con coordinadores de la vivienda que ayudan a identificar y a resolver los problemas potenciales; se provee información acerca de los derechos y responsabilidades de los arrendatarios; se asiste a las familias con comida, ropa, transporte, manejo del dinero, temas de paternidad y también se ofrecen artículos y muebles para la casa.

Para más información acerca de este programa, contacte a la Umbrella al teléfono (203)736-2601 ext 381.

Entrenando Y Ayudando A La Comunidad

La Umbrella ha estado siempre a la vanguardia de la educación al público acerca de los asuntos relacionados con la violencia doméstica y sus efectos en las personas, niños, familias y en la comunidad. La Umbrella ha desarrollado una serie de talleres y/o presentaciones en los cuales se manejan tópicos que pueden ser adaptados a diversos grupos. Programas especiales como TAPP (Teenage Abuse Prevention Program - Programa de Prevención del Abuso en Adolescentes) ha sido creado específicamente para

audiencias como colegios de nivel superior. Escuelas, empresas, grupos de todo tipo pueden contactar al educador de la comunidad de la Umbrella para estas presentaciones al (203) 736-2601 ext 381.

Capacitación y Oportunidades Para Voluntarios

Como parte de nuestro programa de educar y llegar a la comunidad, la Umbrella ha desarrollado diferentes programas de capacitación para oficiales de la policía, agencias de salud, universidades y personas interesadas en ser voluntarios y/o practicantes. Si ud esta interesado en atender o en patrocinar una capacitación, o si quiere ser uno de los voluntarios o practicantes, por favor, contáctenos al teléfono (203)736-2601, ext 381.

Para más información acerca de la Umbrella, nuestros programas y servicios, o si desea información sobre la violencia doméstica, contáctenos hoy a la Umbrella al (203) 736-2601, ext 381.

Programa afiliado a:

Connecticut Coalition Against Domestic Violence



www.ncadv.org



Valley United Way

www.valleyunitedway.org

Ud es la persona número

80

que visita nuestra página!

Si ud experimenta alguna dificultad técnica o tiene preguntas sobre esta página de Internet, por favor contacte a: rvrea@bghealth.org.
Última modificación: 11/10/09

rvrea@bghealth.org

For questions or concerns regarding this website, contact the webmaster:

Early Detection
& Reporting

Timely Intervention

Prevention

An Initiative of the Family Violence Task Force

[Home](#) [Elder Abuse](#) [Elder Issues](#) [Fraud Alert](#) [Resources](#) [Calendar](#)

The C.H.E.R.I.S.H. Program



The CHERISH program is an innovative new sheltering program designed to expand the activities of the Elder Response Team, and is made possible through funding from the Hewitt Foundation.

Providing a safe place for abused seniors to stay is the central goal of the CHERISH program. By partnering with assisted living communities, retirement homes, and skilled nursing facilities, CHERISH is able to provide a safe environment, as well as ensure that clients receive nourishing meals, medication management, and assistance with activities of daily living if required.

In addition, CHERISH offers counseling services, and facilitates access to support services, medical assistance, housing, financial resources, and support groups. In cases where an arrest has taken place, CHERISH advocates with the court system to ensure that the family is provided with a comprehensive system of care. When appropriate, support is also provided to the caregiver or offending family member so that the family can heal and learn healthy coping, communication, and life skills.

CHERISH...

Caring

Home for

Elderly

Receiving

Insight

Safety and

Healing

[Click here](#) to view an
Important 10-second
Elder Abuse PSA!

Participating Agencies...

In addition to the Elder Response Team Member Agencies, the following are participating CHERISH Program agencies:

Benchmark Assisted Living
www.Benchmarkquality.com

Contact Us...

24-Hour Confidential Hotline:
203-736-9944

Phone:
203-736-2601

E-mail:

South Central CT Agency On Aging
www.agencyonaging-scc.org

Western CT Agency On Aging
www.wcaaa.org

Brighton Gardens of Woodbridge
<http://www.sunriseseniorliving.com>

Home Care Services by EAC Chores and More
<http://www.eacchoresandmore.com>

Connecticut In-Home Care Assistance
www.cthomecare.com

jramia@bcghealth.org

Mailing Address:
The CHERISH Program
c/o The Umbrella
P.O. Box 658
435 East Main Street
Ansonia, CT 06401

[-back to top-](#)

You are the



person to visit this web page.

This website was created by [Out-Source Communications](#) and
funded by a grant from the [Katharine Matthies Foundation](#).
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**PHA Certifications of Compliance with the PHA Plans and Related Regulations:
Board Resolution to Accompany the PHA 5-Year and Annual PHA Plan**

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the 5-Year and/or Annual PHA Plan for the PHA fiscal year beginning 04/01/2011, hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA certifies that there has been no change, significant or otherwise, to the Capital Fund Program (and Capital Fund Program/Replacement Housing Factor) Annual Statement(s), since submission of its last approved Annual Plan. The Capital Fund Program Annual Statement/Annual Statement/Performance and Evaluation Report must be submitted annually even if there is no change.
4. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
5. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
6. The PHA certifies that it will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
7. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
8. For PHA Plan that includes a policy for site based waiting lists:
 - The PHA regularly submits required data to HUD's 50058 PIC/IMS Module in an accurate, complete and timely manner (as specified in PIH Notice 2006-24);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
 - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
 - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).
9. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
10. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
11. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
12. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.

13. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
14. The PHA will provide the responsible entity or HUD any documentation that the responsible entity or HUD needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58 or Part 50, respectively.
15. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under Section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
16. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
17. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act, the Residential Lead-Based Paint Hazard Reduction Act of 1992, and 24 CFR Part 35.
18. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments), 2 CFR Part 225, and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
19. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.
20. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.
21. The PHA provides assurance as part of this certification that:
 - (i) The Resident Advisory Board had an opportunity to review and comment on the changes to the policies and programs before implementation by the PHA;
 - (ii) The changes were duly approved by the PHA Board of Directors (or similar governing body); and
 - (iii) The revised policies and programs are available for review and inspection, at the principal office of the PHA during normal business hours.
22. The PHA certifies that it is in compliance with all applicable Federal statutory and regulatory requirements.

DERBY HOUSING AUTHORITY

CT017

PHA Name

PHA Number/HA Code

- 5-Year PHA Plan for Fiscal Years 20¹¹ - 20¹⁶
- Annual PHA Plan for Fiscal Years 20¹¹ - 20¹⁶

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

Name of Authorized Official	Title
Rosemary Hughes	Board Chairperson
Signature <i>Rosemary Hughes</i>	Date 01/05/2011

HOUSING AUTHORITY OF THE CITY OF DERBY

Derby, Connecticut

Report on Examination of

Financial Statements and Supplemental Data

Twelve Months Ended March 31, 2010

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HOUSING AUTHORITY OF THE CITY OF DERBY

**45 Minerva Street
Derby, Connecticut 06418
(203) 735-6652
Fax (203) 734-0204**

Management Discussion and Analysis Year Ended March 31, 2010

As management of the Housing Authority of the City of Derby, we offer readers of the Authority's financial statements this narrative overview and analysis of the financial activities of the Authority for the year ended March 31, 2010.

FINANCIAL HIGHLIGHTS

Net assets of the Authority decreased \$195,478 as of March 31, 2010 from the prior year.

Total expenses of the Authority increased by \$156,248 from prior year results.

OVERVIEW OF THE HOUSING AUTHORITY OF THE CITY OF DERBY

The Housing Authority of the City of Derby was created in 1947 to provide and promote safe and sanitary housing for low-income persons residing in Derby, Connecticut. The Authority is a municipal corporation located in Derby, Connecticut and was established under Chapter 52 of the Connecticut Statutes.

A five member Board of Commissioners appointed by the mayor governs the Authority.

OVERVIEW OF THE FINANCIAL STATEMENTS

The Authority's financial statements consist of two parts – management's discussion and analysis (this section) and the basic financial statements. The basic financial statements include the Authority-wide financial statements and notes to the financial statements.

The Authority-wide financial statements provide information about the Authority's overall financial position and results of operations. These statements, which are presented on the accrual basis, consist of the Statement of Net Assets, the Statement of Revenues, Expenses and Changes in Fund Net Assets and the Statement of Cash Flows.

The Basic financial statements also include a "Notes to the Financial Statements" section that provides additional information that is essential to a full understanding of the data provided in the Authority-wide statements.

The remainder of this overview section of management's discussion and analysis explains the structure and contents of each of these statements.

The Authority-wide statements report information about the Authority as a whole using accounting methods similar to those used by private sector companies. The Statement of Net Assets includes all of the Authority's assets and liabilities. All of the current year's revenues and expenses are accounted for in the Statement of Revenues, Expenses and Changes in Fund Net Assets regardless of when cash is received or paid.

The Authority-wide statements report the Authority's net assets and how they changed. Net assets – the difference between the Authority's assets and liabilities – are one way to measure the Authority's financial position.

The combining financial statements provide more detailed information about the Authority's most significant activities and not the Authority as a whole. These statements are divided into groupings of related accounts that are used to maintain control over resources that have been segregated for specific activities or objectives.

AN OVERVIEW OF THE AUTHORITY-WIDE FINANCIAL POSITION AND OPERATIONS

The Authority's overall financial position and operations for the past two years are summarized below based on the information included in the current and prior financial statements.

	2010	2009	Increase (Decrease)
Current Assets	\$ 1,617,152	\$ 2,091,869	\$ (474,717)
Non-Current Assets			
Capital Assets, Net of Depreciation	<u>1,461,295</u>	<u>1,194,123</u>	<u>267,172</u>
Total Assets	<u>3,078,447</u>	<u>3,285,992</u>	<u>(207,545)</u>
Current Liabilities	90,641	100,827	(10,186)
Non-Current Liabilities	<u>21,719</u>	<u>23,600</u>	<u>(1,881)</u>
Total Liabilities	<u>112,360</u>	<u>124,427</u>	<u>(12,067)</u>
Net Assets			
Invested in Capital Assets	1,461,295	1,194,123	267,172
Restricted	1,277,803	1,335,177	(57,374)
Unrestricted	<u>226,989</u>	<u>632,265</u>	<u>(405,276)</u>
Total Net Assets	<u>\$ 2,966,087</u>	<u>\$ 3,161,565</u>	<u>\$ (195,478)</u>

The Authority's current assets at March 31, 2010 were \$1,617,152, a decrease of \$474,717 from March 31, 2009. The change in current assets was the result of a decrease in cash of \$475,079.

The Authority's total assets at March 31, 2010 were \$3,078,447, a decrease of \$207,545 from March 31, 2009. The change in total assets consisted primarily of the \$474,717 decrease in current assets, less the \$267,172 increase in capital assets resulting from the net effect of capital asset additions of \$405,573 less depreciation expense of \$138,401.

Cash and Investments

Total cash and investments decreased by \$475,079 as of March 31, 2010 compared with March 31, 2009.

The Authority's investments are carried at actual cash value.

Capital Assets

As of March 31, 2010, the Authority's investment in capital assets was \$1,461,295 (net of accumulated depreciation.) This investment in capital assets includes land, buildings and equipment.

The following is a summary of capital assets at year end:

	2010	2009	Increase (Decrease)
Land	\$ 150,132	\$ 150,132	\$ 0
Buildings	4,061,026	3,668,594	392,432
Furniture, equipment & machinery - Dwellings	234,471	223,958	10,513
Furniture, equipment & machinery - Administration	46,293	43,665	2,628
Leasehold improvements	79,695	79,695	0
	<u>4,571,617</u>	<u>4,166,044</u>	<u>405,573</u>
Accumulated depreciation	<u>(3,110,322)</u>	<u>(2,971,921)</u>	<u>(138,401)</u>
	<u>\$ 1,461,295</u>	<u>\$ 1,194,123</u>	<u>\$ 267,172</u>

Long-Term Debt

The Authority has no long-term debt at this time.

RESULTS OF OPERATIONS

The results of operations for the Authority are presented below:

	2010	2009	Increase (Decrease)
Operating Revenue			
Tenant revenue	\$ 477,564	\$ 466,701	\$ 10,863
Grants and subsidies	2,584,714	2,194,336	390,378
Investment income	7,353	42,001	(34,648)
Other	35,815	10,444	25,371
Total Operating Revenues	<u>3,105,446</u>	<u>2,713,482</u>	<u>391,964</u>
Operating Expenses			
Housing Assistance Payments	2,397,055	2,203,195	193,860
Administration	356,942	381,085	(24,143)
Tenant Services	43,495	22,600	20,895
Utilities	88,339	89,819	(1,480)
Maintenance	204,506	250,117	(45,611)
Insurance	24,104	20,045	4,059
General	48,082	45,181	2,901
Depreciation	138,401	132,634	5,767
Total Operating Expenses	<u>3,300,924</u>	<u>3,144,676</u>	<u>156,248</u>
Net Operating Income	<u>\$ (195,478)</u>	<u>\$ (431,194)</u>	<u>\$ 235,716</u>

Net assets of the Authority decreased to \$2,966,087 as of March 31, 2010, a decrease of \$195,478 from 2009.

Operating revenues of the Authority's activities are generated principally from HUD operating subsidies. In 2010, the Authority's revenues for its activities totaled \$3,105,446. Of this total, \$2,566,152 or 83% is from HUD operating subsidies. Operating expense of the Authority's activities consist primarily of housing assistance payments.

The total expenses total \$3,300,924, of which \$2,397,055, or 73% was housing assistance payments.

Total operating expenses increased \$156,248 primarily due to an increase in Housing Assistance Payments of \$193,860.

Change in net assets for the year ended March 31, 2010 was \$(195,478). Factors contributing to these results included:

Grants and subsidies increased \$390,378 from the prior year. Housing Assistance Payment Grant Revenues increased \$332,128 from the prior year while Administrative Fee Revenues increased \$36,588. The Authority received a HUD FSS Coordinator grant

of \$38,550 in 2010. Also, the PHA received a State of CT Resident Service Coordinator grant of \$18,562 in 2010.

Tenant revenue increased \$10,863 from 2009 to 2010.

Housing assistance payments increased \$193,860, from \$2,203,195 in 2009 to \$2,397,055 in 2010. Unit months under lease for the Housing Choice Voucher program increased from 3,022 in 2009 to 3,128 in 2010.

CURRENTLY KNOWN FACTS, DECISIONS OR CONDITIONS

The following factors are known to have an impact on the Authority's operations:

1. The state of the United States economy, including its impact on tenant rental revenue. Tenant rental revenue is based upon tenant income. A decline in tenant income can result in a decline in tenant rental revenue.
2. The United States has a new presidential administration. The administration and the United States Congress may be willing to increase the amount available in the United States budget for domestic housing subsidies and grants.

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Independent Auditor's Report

Board of Commissioners
Housing Authority of the
City of Derby
Derby, Connecticut

Hartford Office
Office of Public Housing
330 Main Street, First Floor
Hartford, CT 06106-1860

We have audited the accompanying financial statements of the business-type activities, which is the major fund of the Housing Authority of the City of Derby as of and for the year ended March 31, 2010, which comprises the Housing Authority of the City of Derby's basic financial statements as listed in the table of contents. These financial statements are the responsibility of the Housing Authority of the City of Derby's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; the Single Audit Act of 1996 and OMB Circular A-133 "Audits of States and Local Governments"; and requirements of the *Audit Guide for Audits of DECD Programs*, issued in May 2009. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Housing Authority of the City of Derby's internal control over financial reporting. Accordingly, we express no such opinion. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinions.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the business-type activities which represent the major fund of the Housing Authority of the City of Derby as of March 31, 2010, and the changes in financial position and cash flows for the year then ended in conformity with accounting principles generally accepted in the United States of America.

In accordance with *Government Auditing Standards*, we have also issued our report dated November 29, 2010 on our consideration of the Housing Authority of the City of Derby's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on the internal control over financial reporting or on compliance. That report is an integral

part of an audit performed in accordance with *Government Auditing Standards* and should be considered in assessing the results of our audit.

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis on pages 1 through 5 be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplemental information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Our audit was conducted for the purpose of forming an opinion on the financial statements of the business-type activities that comprise the Housing Authority of the City of Derby's basic financial statements as a whole. The accompanying financial and statistical information on pages 23 through 33, inclusive of the schedule of expenditures of federal awards on page 31 as required by U. S. Office of Management and Budget Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*, and the financial data schedule on pages 23 through 25 required by the United States Department of Housing and Urban Development, are presented for purposes of additional analysis and are not a required part of the basic financial statements of the Housing Authority of the City of Derby. The schedule of expenditures of federal awards and the financial data schedule are the responsibility of management and were derived from and relate directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

This report is intended for the information of the United States Department of Housing and Urban Development, the Board of Commissioners, management, the State of Connecticut Department of Economic and Community Development, and the Connecticut Housing Finance Authority. However, this report is a matter of public record and its distribution is not limited.

Buel CPA, P.C.

Gilboa, New York
November 29, 2010

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Report on Internal Control Over Financial Reporting and on
Compliance and Other Matters Based on an Audit of Financial
Statements Performed in Accordance with
Government Auditing Standards

Board of Commissioners
Housing Authority of the
City of Derby
Derby, Connecticut

Hartford Office
Office of Public Housing
330 Main Street, First Floor
Hartford, CT 06106-1860

We have audited the financial statements of the business-type activities, which is the major fund of the Housing Authority of the City of Derby as of and for the year ended March 31, 2010, which comprises the Housing Authority of the City of Derby's basic financial statements and have issued our report thereon dated November 29, 2010. We conducted our audit in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, and the requirements of the *Audit Guide for Audits of DECD Programs*, issued in May 2009.

Internal Control Over Financial Reporting

In planning and performing our audit, we considered the Housing Authority of the City of Derby's internal control over financial reporting as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Housing Authority of the City of Derby's internal control over financial reporting. Accordingly, we do not express an opinion on the effectiveness of the Housing Authority of the City of Derby's internal control over financial reporting.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis.

Our consideration of internal control over financial reporting was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control over financial reporting that might be deficiencies, significant deficiencies or material weaknesses. We did not identify any deficiencies in internal control over financial reporting that we consider to be material weaknesses, as defined above.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Housing Authority of the City of Derby's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards* and which are described in the accompanying schedule of findings and questioned costs as item 2009-1.

We noted certain matters that we reported to management of the Housing Authority of the City of Derby in a separate letter dated November 29, 2010.

This report is intended solely for the information and use of management, the Board of Commissioners, the United States Department of Housing and Urban Development, the State of Connecticut Department of Economic and Community Development, and the Connecticut Housing Finance Authority, and is not intended to be and should not be used by anyone other than these specified parties. However, this report is a matter of public record and its distribution is not limited.

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Gilboa, New York
November 29, 2010

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Report on Compliance With Requirements Applicable to Each Major
Program and on Internal Control Over Compliance in Accordance
With OMB Circular A-133

Board of Commissioners
Housing Authority of the
City of Derby
Derby, Connecticut

Hartford Office
Office of Public Housing
330 Main Street, First Floor
Hartford, CT 06106-1860

Compliance

We have audited the Housing Authority of the City of Derby's compliance with the types of compliance requirements described in the *U. S. Office of Management and Budget (OMB) Circular A-133 Compliance Supplement* that are applicable to each of its major federal programs for the year ended March 31, 2010. The Housing Authority of the City of Derby's major federal programs are identified in the summary of auditor's results section of the accompanying schedule of audit findings and questioned costs. Compliance with the requirements referred to above is the responsibility of the Housing Authority of the City of Derby's management. Our responsibility is to express an opinion on the Housing Authority of the City of Derby's compliance based on our audit.

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local Governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program identified in the accompanying schedule of findings and questioned costs occurred. An audit includes examining, on a test basis, evidence about the Housing Authority of the City of Derby's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination on the Housing Authority of the City of Derby's compliance with those requirements.

In our opinion, the Housing Authority of the City of Derby complied, in all material respects, with the compliance requirements referred to above that are applicable to each of its major federal programs identified in the accompanying schedule of findings and questioned costs for the year ended March 31, 2010.

Internal Control Over Compliance

The management of the Housing Authority of the City of Derby is responsible for establishing and maintaining effective internal control over compliance with the compliance requirements referred to above. In planning and performing our audit, we considered the Housing Authority

of the City of Derby's internal control over compliance with the requirements that could have a direct and material effect on a major federal program in order to determine our auditing procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with OMB Circular A-133, but not for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, we do not express an opinion on the effectiveness of the Housing Authority of the City of Derby's internal control over compliance.

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. A *material weakness in internal control over compliance* is a deficiency, or combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis.

Our consideration of internal control over compliance was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be deficiencies, significant deficiencies, or material weaknesses in internal control over compliance. We did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above.

This report is intended solely for the information and use of management, the Board of Commissioners, the United States Department of Housing and Urban Development, the State of Connecticut Department of Economic and Community Development, and the Connecticut Housing Finance Authority, and is not intended to be and should not be used by anyone other than these specified parties. However, this report is a matter of public record and its distribution is not limited.

Bual CPA, P.C.

Gilboa, New York
November 29, 2010

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

STATEMENT OF NET ASSETS
PROPRIETARY FUNDS
as of March 31, 2010

Business-Type Activity
Enterprise Fund

ASSETS

Current Assets:

Cash and Cash Equivalents	\$333,775
Restricted Cash and Cash Equivalents	1,277,803
Receivables, Net	76
Prepaid Expenses	5,498
Total Current Assets	<u>\$1,617,152</u>

Non-Current Assets:

Capital assets:

Land	\$150,132
Buildings	4,061,026
Furniture, Equipment and Machinery	280,764
Leasehold Improvements	79,695
Less Accumulated Depreciation	<u>(3,110,322)</u>
Total Non-Current Assets	<u>\$1,461,295</u>

Total Assets

\$3,078,447

LIABILITIES

Current Liabilities:

Accounts Payable	\$14,129
Due to Other Governments	76,512
Total Current Liabilities	<u>\$90,641</u>

Non-Current Liabilities:

Other	1,489
Accrued Liabilities	<u>\$20,230</u>
Total Non-Current Liabilities	<u>\$21,719</u>
Total Liabilities	<u>\$112,360</u>

NET ASSETS

Invested in Capital Assets, Net of Related Debt	\$1,461,295
Restricted Net Assets	1,277,803
Unrestricted Net Assets	<u>226,989</u>
Total Net Assets	<u>\$2,966,087</u>

Total Liabilities and Net Assets

\$3,078,447

The Notes to the Financial Statements are an integral part of the financial statements.

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

STATEMENT OF REVENUE, EXPENSES, AND CHANGES IN FUND NET ASSETS
PROPRIETARY FUNDS
for the year ended March 31, 2010

	<u>Business-Type Activity</u> <u>Enterprise Fund</u>
OPERATING REVENUES:	
Tenant Revenue	\$477,564
Government Operating Grants	2,584,714
Other Revenue	35,815
Total Operating Revenues	<u>\$3,098,093</u>
OPERATING EXPENSES:	
Administrative Expenses	\$356,942
Tenant Services	43,495
Utilities	88,339
Ordinary Maintenance & Operation	204,506
Insurance Premiums	24,104
General Expenses	48,082
Housing Assistance Payments	2,376,568
HAP Portability-in	20,487
Depreciation Expense	138,401
Total Operating Expenses	<u>\$3,300,924</u>
Operating Income/(Loss)	<u>(\$202,831)</u>
NONOPERATING REVENUES/(EXPENSES):	
Interest and Investment Revenue	\$7,353
Total Nonoperating Revenue/(Expenses)	<u>\$7,353</u>
Change in Net Assets	<u>(\$195,478)</u>
Total Net Assets - Beginning	3,161,565
Prior Year Adjustments	0
Total Net Assets - Ending	<u><u>\$2,966,087</u></u>

The Notes to the Financial Statements are an integral part of the financial statements.

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

STATEMENT OF CASH FLOWS
for the year ended March 31, 2010

INCREASE (DECREASE) IN CASH AND CASH EQUIVALENTS

Cash flows from operating activities:		
Cash received from providing services	\$508,474	
Cash operating grants received from other governments	2,581,797	
Cash payments for goods and services	(2,759,291)	
Cash payments to employees and benefits	(372,252)	
Cash payments in lieu of property taxes	(35,587)	
Net cash used by operating activities	(\$76,859)	(\$76,859)
Cash flows from noncapital financing activities:		
Net cash provided by noncapital financing activities		\$0
Cash flows from capital and related financing activities:		
Payments for capital acquisitions	(\$405,573)	
Net cash used by capital and related financing activities	(\$405,573)	(\$405,573)
Cash flows from investing activities:		
Receipts of interest	\$7,353	
Net cash provided by investing activities	\$7,353	\$7,353
Net decrease in cash and cash equivalents		(\$475,079)
Cash and cash equivalents March 31, 2009		2,086,657
Cash and cash equivalents March 31, 2010		\$1,611,578
Reconciliation of operating income to net cash provided by operating activities:		
Operating loss		(\$202,831)
Adjustments to reconcile operating income to net cash provided by operating activities:		
Depreciation expense	\$138,401	
Increase in receivables	(76)	
Increase in prepaid expenses	(286)	
Decrease in accounts payable	(2,077)	
Decrease in accrued wages/taxes payable	(5,009)	
Decrease in accrued pension & OPEB liability	(3,370)	
Increase in FSS escrow	1,489	
Increase in accrued PILOT	3,294	
Decrease in deferred revenue	(6,394)	
Total adjustments	125,972	125,972
Net cash used by operating activities		(\$76,859)

The Notes to Financial Statements are an integral part of the financial statements.

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

NOTES TO THE FINANCIAL STATEMENTS
March 31, 2010

NOTE 1. Summary of Significant Accounting Policies and Organization:

Organization – The Housing Authority of the City of Derby ("The Authority") was established pursuant to the laws of the State of Connecticut to provide low rent housing for qualified individuals in accordance with rules and regulations prescribed by the Department of Housing and Urban Development and the State of Connecticut Department of Economic and Community Development.

Reporting Entity - The Authority is governed by a Board appointed by the City and has governance responsibilities over all activities related to low rent housing within the City of Derby. The Authority receives funding from federal and state government sources and must comply with the applicable requirements of those funding sources. The Authority is not included in any other Governmental "reporting entity" as defined in Section 2100 "Codification of Governmental Accounting and Financial Reporting Standards" since the Board members, while they are appointed by the City have decision making authority, the power to designate management, the responsibility to significantly influence operations, and primary accountability for fiscal matters.

The criteria used in determining the scope of the entity for financial reporting purposes are as follows:

- The ability of the Board to exercise supervision of a component unit's financial independency.
- The Board's governing authority extends to financial decision making authority and is primarily accountable for decisions.
- The Board appoints the management of the agency who is responsible for the day-to-day operations, and this management reports directly to the Board.
- The ability of the Board to significantly influence operations through budgetary approvals, signing and authorizing contracts, exercising control over facilities, and approving the hiring or retention of key managerial personnel.
- The ability of the Board to have absolute authority over all funds of the agency and to have accountability in fiscal matters.
- The activity of a component unit is for the benefit of the reporting entity and/or its residents, and is conducted within the geographic boundaries of the reporting entity.

Basis of Accounting - The accompanying financial statements of the Authority have been prepared in conformity with generally accepted accounting principles (GAAP) for governments as prescribed by the Governmental Accounting Standards Board (GASB) which is the standard-setting body for establishing governmental accounting and financial reporting principles. The Authority has determined that the applicable measurement focus (flow of economic resources) and accounting basis (accrual) is similar to that of a commercial enterprise. As such, the use of proprietary funds best reflects the activities of the Authority. Entities using this method observe all Financial Accounting Standards Board (FASB) Statements and Interpretations in the preparation of financial statements, unless the GASB has specifically addressed the accounting issue in one of its own pronouncements. GASB-20- "Accounting and Financial Reporting for

See Independent Auditor's Report.

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

NOTES TO THE FINANCIAL STATEMENTS
March 31, 2010

NOTE 1. Summary of Significant Accounting Policies and Organization (Continued):

Proprietary Funds and Other Governmental Entities That Use Proprietary Fund Accounting" addresses the applicability of the various FASB's, and allows several options in the use of the FASB's. The Authority has elected to use Alternative 2 of GASB-20 which states that "a proprietary activity may also apply all FASB Statements and Interpretations issued after November 30, 1989, except for those that conflict with or contradict GASB pronouncements". Also, the Authority has elected to not follow FASB-106, FASB-112, and FASB-132, which all deal with pension reporting. Instead, the Authority follows GASB-27-"Accounting for Pensions by State and Local Governmental Employers." Significant accounting policies are as follows:

- Buildings and equipment are carried at cost, less accumulated depreciation. Donated assets are carried at fair market value at the date of donation, less accumulated depreciation. Maintenance and repairs are charged to operations. Gains and losses from the sale of equipment are included in income. Depreciation is calculated on a straight-line basis utilizing the assets' estimated useful lives.
- Premiums and discounts on bonds are recognized as income or expense in the year sold.
- Collection losses on accounts receivable are charged against income using the allowance method.
- The Authority is a non-profit corporation which is subsidized by the Federal Government. The Authority is not subject to Federal or State income taxes, nor is it required to file Federal and State income tax returns.
- Subsidies received from the Department of Housing and Urban Development or other grantor agencies are recorded as revenues for operating and capital expenditures.
- Cash and cash equivalents are considered to be cash on hand, demand deposits, and short-term investments with original maturities of three months or less from the date of acquisition.
- Investments are limited to Certificates of Deposit, are classified as Held to Maturity, and are stated at cost. Accrued interest is recorded as of the balance sheet date, and the corresponding interest income is recorded in the period earned.
- Inventories of materials are valued at lower of cost or market, cost being determined on a first-in, first-out basis. In addition, an allowance for obsolete inventory has been recorded if applicable.
- Interest expense on notes and bonds and interest income on the related debt proceeds are capitalized during the project development period through the date of full availability in accordance with regulations from the Department of Housing and Urban Development.

See Independent Auditor's Report.

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

NOTES TO THE FINANCIAL STATEMENTS
March 31, 2010

NOTE 1. Summary of Significant Accounting Policies and Organization (Continued):

- Certain conditions may exist as of the date the financial statements are issued, which may result in a loss to the Authority but which will only be resolved when one or more future events occur or fail to occur. The Authority's management and its legal counsel assess such contingent liabilities, and such assessment inherently involves an exercise of judgment. In assessing loss contingencies related to legal proceedings that are pending against the Authority or unasserted claims that may result in such proceedings, the Authority's legal counsel evaluates the perceived merits of any legal proceedings or unasserted claims as well as the perceived merits of the amount of relief sought or expected to be sought therein. If the assessment of a contingency indicates that it is probable that a material loss has been incurred and the amount of the liability can be estimated, then the estimated liability would be accrued in the Authority's financial statements. If the assessment indicates that a potentially material loss contingency is not probable but is reasonably possible, or is probable but cannot be estimated, then the nature of the contingent liability, together with an estimate of the range of possible loss if determinable and material, would be disclosed. Loss contingencies considered remote are generally not disclosed unless they involve guarantees, in which case the nature of the guarantee would be disclosed.
- Costs related to environmental remediation are charged to expense. Other environmental costs are also charged to expense unless they increase the value of the property and/or provide future economic benefits, in which event they are capitalized. Liabilities are recognized when the expenditures are considered probable and can be reasonably estimated. Measurement of liabilities is based on currently enacted laws and regulations, existing technology, and undiscounted site-specific costs. Generally, such recognition coincides with the Authority's commitment to a formal plan of action.
- Interfund payables and receivables usually arise when one program acts as a common paymaster, particularly for expenditures which are properly spread over more than one program. The Authority is not involved in internal sales activity, and thus no elimination is required on the statement of income and expenses. Gross interfund receivables for each program are reflected as a current asset under the caption "Interprogram - due from." Gross interfund payables for each program are reflected as a current liability under the caption "Interprogram - due to." The interfund accounts are eliminated on the combined statement of net assets.
- The Authority's policy for defining operating activities in the statement of revenues, expenses, and changes in fund net assets are those that generally result from exchange transactions such as the payment received for services and payment made for the purchase of goods and services. Certain other transactions are reported as non-operating activities. These non-operating activities include net investment income.

Use of Estimates - The financial statements include some amounts that are based on management's best estimates and judgments. The most significant estimates relate to allowance for uncollectible accounts receivable, inventory obsolescence, depreciation, intangible asset valuations and useful lives, employee benefit plans, environmental accruals, taxes, contingencies, and costs to complete long-term contracts. These estimates may be adjusted as more current information becomes available, and any adjustment could be significant.

See Independent Auditor's Report.

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

NOTES TO THE FINANCIAL STATEMENTS
March 31, 2010

NOTE 2. Summary of Significant State of Connecticut Accounting Policies:

The financial statements of the Authority have been prepared in accordance with generally accepted accounting principles. The budgetary financial format for the State of Connecticut differs in some respects from generally accepted accounting principles. Under the state basis of accounting, the public housing operations are not considered to be a self-sustaining activity, and therefore, provisions for depreciation of structures and equipment, and leave accruals are not recorded in the financial statements. In addition, the state basis of accounting expenses a periodic provision for Repairs, Maintenance, and Replacements regardless of actual expenditures for the period.

See "Projects No. E-11, 49, and 191 Administration Fund Operating Statement" on pages 26-30 of the Supplementary Data section of this report for differences between the budgetary basis and generally accepted accounting principles.

NOTE 3. Deposits:

All cash and demand deposits are not entirely insured or collateralized. The Department of Housing and Urban Development requires financial institutions to secure the Housing Authority's deposits by pledging government securities as collateral. The Housing Authority may waive the collateral requirements for deposits that are fully insured up to \$250,000.00 by the Federal Deposit Insurance Corporation (FDIC).

Deposits are valued at cost plus interest and categorized as either:

- A - Insured or collateralized with securities held by the entity or by its agent in the entity's name;
- B - Collateralized with securities held by the pledging financial institution's trust department or agency in the entity's name;
- C - Uncollateralized

Deposits at March 31, 2010 were not entirely covered by Federal Deposit Insurance or by collateral held in the Authority's custodial bank or agency in the Authority's name. Total deposits are categorized as follows:

	Bank Balances	Category			Carrying Amount
		A	B	C	
Cash	\$ 1,656,581	\$ 779,307	\$ 602,398	\$ 274,876	\$ 1,611,578
Investments	\$ -	\$ -	\$ -	\$ -	\$ -
Total	\$ 1,656,581	\$ 779,307	\$ 602,398	\$ 274,876	\$ 1,611,578

Custodial credit risk is the risk that in the event of a bank failure, the Authority's deposits may not be returned to it. As of March 31, 2010, \$274,876 of the Authority's bank balances were exposed to custodial credit risk.

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HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

NOTES TO THE FINANCIAL STATEMENTS
March 31, 2010

NOTE 4. Accounts receivable:

The Authority provides an allowance for doubtful accounts equal to the estimated uncollectable amounts. The Authority's estimate is based on historical collection experience and a review of the current status of tenant accounts receivable. It is reasonably possible that the Authority's estimate of the allowance for doubtful accounts will change. Tenant accounts receivable with credit balances have been included as a current liability in Deferred revenues in the accompanying Statement of Net Assets.

NOTE 5. Fixed Assets:

Property and equipment are recorded at cost. Expenditures for major additions and improvements are capitalized, and minor replacements, maintenance, and repairs are charged to expense as incurred. When property and equipment are retired or otherwise disposed of, the cost and accumulated depreciation are removed from the accounts and any resulting gain or loss is included in the results of operations for the respective period. Depreciation is provided over the estimated useful lives of the related assets using the straight-line method for financial statement purposes. The estimated useful lives for significant property and equipment categories are as follows:

Vehicles	3 to 10 years
Machinery and equipment	3 to 15 years
Appliances, furniture, and fixtures	5 to 10 years
Buildings and improvements	10 to 40 years

The changes in fixed assets, net of accumulated depreciation, are as follows:

	Non-Depr	Depreciable				Totals
	Land	Buildings	Furn, Eq & Mach Dwelling	Furn, Eq & Mach Admin	Leasehold Imp	
Fixed Assets @ 03/31/09	\$150,132	\$3,668,594	\$223,958	\$43,665	\$79,695	\$4,166,044
Additions	0	392,432	10,513	2,628	0	405,573
Disposals	0	0	0	0	0	0
Fixed Assets @ 03/31/2010	\$150,132	\$4,061,026	\$234,471	\$46,293	\$79,695	\$4,571,617
Accumulated Depr @ 03/31/2010	150,132	(2,876,710)	(129,295)	(38,731)	(65,586)	(3,110,322)
Fixed Assets Net of Accum Depr @ 03/31/2010	\$150,132	\$1,184,316	\$105,176	\$7,562	\$14,109	\$1,461,295

Depreciation expense for the year ending March 31, 2010 is \$138,401.

NOTE 6. Equity:

For certain housing programs, the Authority must make annual provisions for various future operating and/or capital activities. These provisions are appropriated from retained earnings, and are reflected on the Statement of Net Assets as "Restricted Net Assets".

As a condition of the Annual Contributions Contract with HUD, restrictions exist with the Section 8 Vouchers program on the distribution of retained earnings.

See Independent Auditor's Report.

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

NOTES TO THE FINANCIAL STATEMENTS
March 31, 2010

NOTE 7. Commitments:

The Authority has engaged various vendors and service providers to support the Authority operations.

NOTE 8. Concentration of risk:

The risk of loss in the operation of a housing authority is significant. The primary risk is related to that of tenant injuries or death. Additionally, there is a risk of loss to the physical plant in the event of any catastrophe. The Authority has addressed these risks through the purchase of a liability insurance policy with a limit of \$1,000,000, a boiler and machinery policy with a limit of \$508,871, an employee dishonesty policy with a limit of \$100,000, and a public officials liability policy with a limit of \$10,000,000. Vehicles are insured in accordance with state law, and all real property is insured for its estimated replacement value of \$5,038,717.

NOTE 9. Contingencies:

The Authority receives significant assistance from the Federal government in the form of grants and entitlements. Receipt of grants is generally conditioned upon compliance with terms and conditions of the grant agreements and applicable Federal regulations, including the expenditure of resources for eligible purposes. Substantially all grants are subject to either the Federal Single Audit Act or to financial and compliance audits by grantor agencies of the Federal government or their designees. Disallowances by Federal program officials as a result of these audits may become liabilities of the Authority.

The Authority is a defendant in legal proceedings pertaining to matters incidental to the performance of routine operations. In addition the Authority is party to other claims and litigation which its legal counsel has advised are not probable of adverse court decisions. Management, based on consultation with its legal counsel, believes that the ultimate settlement of claims for any losses will not exceed its insurance coverage.

NOTE 10. Commitments and contingencies related to voluntary non-exchange transactions' purpose restrictions:

The Authority has contracted with HUD for increments of Section 8 Vouchers. These vouchers are used to fund housing assistance payments to eligible landlords on behalf of income eligible tenants, as well as to provide management fee income to the Authority. The Authority has committed to the various landlords to make housing assistance payments on behalf of the Section 8 program participants.

See Independent Auditor's Report.

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

NOTES TO THE FINANCIAL STATEMENTS
March 31, 2010

NOTE 11. Pension plan:

Municipal Employees' Retirement Fund

Substantially all full-time employees participate in the Municipal Employees' Retirement Fund (MERF), a multiple-employer public employee retirement system (PERS) established by the State of the Connecticut and administered by the State Retirement Commission to provide pension benefits for the employees of participating members. MERF is considered to be a part of the State of Connecticut financial reporting entity and is included in the State's financial reports as a pension trust fund.

At July 1, 2008, the MERS membership consisted of:

Retirees & Beneficiaries	5,455
Terminated Vested	541
Active Vested	6,084
Active Non-Vested	2,721

Plan provisions are set by Statute of the State of Connecticut. MERS provides retirement benefits, as well as death and disability benefits. Annual cost of living increases are paid to disabled members and non-disabled retired members. For those retiring after December 31, 2001, annual cost of living increases will be between 2.5% and 6.0%. Benefits vest after 5 years of continuous service. Members who retire after age 55 with 5 years of service or after 25 years of service, irrespective of age, are entitled to an annual retirement benefit, payable monthly for life, in an amount for each year of service equal to:

- If not covered by Social Security: 2% of the average of earnings for the three (3) highest paid years of service.
- If covered by Social Security: 1-1/2% of the average of earnings for the three highest paid years of service not in excess of the year's breakpoint, plus 2% of the average of earnings for the three highest paid years of service in excess of the year's breakpoint. The year's breakpoint for 2008 is \$48,800.

Covered employees are required by the State statute to contribute 2-1/4% of earnings upon which Social Security tax is paid plus 5% of the earnings on which no Social Security tax is paid. Each participating member is required to contribute the amounts necessary to finance the remaining costs of the plan.

The "pension benefit obligation" is a standardized disclosure measure of the present value of pension benefits, adjusted for the effects of projected salary increases estimated to be payable in the future as a result of employee service to date. The measure, which is the actuarial present value of credited projected benefits, is intended to help users assess the System's funding status on a going-concern basis, assess progress made in accumulating sufficient assets to pay benefits when due, and make comparisons among PERS and employers. The System does not make separate measures of assets and pension benefit obligation for individual employers. The pension benefit obligation at July 1, 2008 for the System as a whole, determined through an actuarial valuation performed as of that date, was \$1,721,841,285. The Systems net assets available for benefits on that date (value at market) were \$1,779,098,599 or \$57,257,314 greater than the pension benefit obligation.

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HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

NOTES TO THE FINANCIAL STATEMENTS
March 31, 2010

NOTE 11. Pension plan (Continued):

The following contributions were made for the plan year ending June 30, 2009 in accordance with actuarially determined contribution requirements based on an actuarial valuation performed as of July 1, 2008:

Employer contribution	\$35,936,510
Employee contribution	\$14,794,457
Employer contribution as a percentage of covered payroll	8.7%
Employee contribution as a percentage of covered payroll	3.6%

Ten-year historical trend information showing the System's progress in accumulating sufficient assets to pay benefits when due is presented in the System's comprehensive annual financial report.

NOTE 12. Post-employment benefits:

The authority is liable for the payment of medicare part B and dental insurance premiums for a former employee for a 7 year period expiring in February 2016. Currently, the monthly payments total \$280.74, with a 6 year remaining estimated cost of \$20,230, which is reflected on the Statement of Net Assets as a non-current accrued liability.

NOTE 13. Long-term liabilities:

The authority is liable for post-employee benefits as described in Note 12 above, and for Family Self-Sufficiency (FSS) escrow balances funded through the Housing Choice Voucher program. Details of these liabilities are as follows:

	<u>Post-employment Benefits</u>	<u>Family Self-Sufficiency</u>
Balance as of March 31, 2009	\$23,600	\$ 0
Additions	0	1,489
Reductions	<u>(3,370)</u>	<u>0</u>
Balance as of March 31, 2010	\$20,230	\$ 1,489

See Independent Auditor's Report.

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

STATEMENT OF NET ASSETS
as of March 31, 2010

Line Item #	Account Description	HC Vouchers 14,871	Component Units	State / Local	Elimination	TOTAL
Assets						
Current Assets						
Cash:						
111	Cash - Unrestricted	\$315,354	\$0	\$16,932	\$0	\$332,286
112	Cash - Restricted - Modernization and Development	220,000	0	812,714	0	1,032,714
113	Cash - Other Restricted	245,089	0	0	0	245,089
114	Cash - Tenant Security Deposits	1,489	0	0	0	1,489
100	Total Cash	\$781,932	\$0	\$829,646	\$0	\$1,611,578
124	Accounts Receivable - Other Government	0	0	2,917	0	2,917
126.1	Allowance for Doubtful - Tenants	0	0	(2,841)	0	(2,841)
120	Total Receivables, Net	0	0	76	0	76
142	Prepaid Expenses and Other Assets	744	0	4,754	0	5,498
144	Interprogram Due From	77,483	0	0	(77,483)	0
150	Total Current Assets	\$860,169	\$0	\$834,476	(\$77,483)	\$1,617,162
Noncurrent Assets						
Capital Assets:						
161	Land	0	0	150,132	0	\$150,132
162	Buildings	0	0	4,081,028	0	4,081,028
163	Furniture, Equipment & Machinery - Dwellings	0	0	234,471	0	234,471
164	Furniture, Equipment & Machinery - Administration	46,293	0	0	0	46,293
165	Leasehold Improvements	0	0	79,695	0	79,695
166	Accumulated Depreciation	(38,731)	0	(3,071,591)	0	(3,110,322)
167	Construction in Progress	0	0	0	0	0
160	Total Capital Assets, Net of Accum Depr	\$7,562	\$0	\$1,453,733	\$0	\$1,461,295
190	Total Assets	\$867,721	\$0	\$2,288,209	(\$77,483)	\$3,078,447
Liabilities and Equity/Net Assets						
Liabilities						
Current Liabilities:						
312	Accounts Payable < 90 Days	\$1,420	\$0	\$12,709	\$0	\$14,129
321	Accrued Wage/Payroll Taxes Payable	0	0	0	0	0
333	Accounts Payable - Other Government	0	0	76,512	0	76,512
342	Deferred Revenue	0	0	0	0	0
347	Interprogram Due To	0	0	77,483	(77,483)	0
310	Total Current Liabilities	\$1,420	\$0	\$166,704	(\$77,483)	\$90,641
Noncurrent Liabilities:						
353	Non-current Liabilities - Other	1,489	0	0	0	1,489
357	Accrued Pension and OPEB Liability	10,115	0	10,115	0	20,230
350	Total Noncurrent Liabilities	\$11,804	\$0	\$10,115	\$0	\$21,719
300	Total Liabilities	\$13,024	\$0	\$176,819	(\$77,483)	\$112,380
Equity/Net Assets:						
508.1	Investment in Capital Assets, Net of Related Debt	\$7,562	\$0	\$1,453,733	\$0	\$1,461,295
511.1	Restricted Net Assets	465,089	0	812,714	0	1,277,803
512	Unrestricted Net Assets	382,046	0	(155,057)	0	226,989
513	Total Equity/Net Assets	\$854,697	\$0	\$2,111,390	\$0	\$2,966,087
600	Total Liabilities and Equity/Net Assets	\$867,721	\$0	\$2,288,209	(\$77,483)	\$3,078,447

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS
for the year ended March 31, 2010

Line Item #	Account Description	HC Vouchers 14.871	Component Units	State / Local	Elimination	TOTAL
Revenue:						
70300	Net Tenant Rental Revenue	\$0	\$0	\$458,844	\$0	\$458,844
70400	Tenant Revenue - Other	0	0	18,720	0	18,720
70500	Total Tenant Revenue	\$0	\$0	\$477,564	\$0	\$477,564
70600	HUD PHA Operating Grants	2,566,152	0	0	0	2,566,152
70800	Other Government Grants	0	0	18,562	0	18,562
71100	Investment Income - Unrestricted	1,336	0	0	0	1,336
71400	Fraud Recovery	5,134	0	0	0	5,134
71500	Other Revenue	21,628	0	9,053	0	30,681
72000	Investment Income - Restricted	0	0	6,017	0	6,017
70000	Total Revenue	\$2,594,250	\$0	\$511,196	\$0	\$3,105,446
Expenses						
Administrative:						
91100	Administrative Salaries	\$107,868	\$0	\$92,443	\$0	\$200,311
91200	Auditing Fees	2,585	0	2,585	0	5,130
91500	Employee Benefit Contributions - Administrative	34,461	0	30,264	0	64,715
91600	Office Expenses	10,407	0	22,605	0	33,012
91700	Legal Expense	3,141	0	9,947	0	13,088
91800	Travel	149	0	1,064	0	1,213
91900	Other	30,605	0	8,868	0	39,473
91000	Total Operating - Administrative	189,196	0	167,746	0	356,942
Tenant Services:						
92100	Tenant Services - Salaries	20,789	0	0	0	20,789
92300	Employee Benefit Contributions - Tenant Services	3,040	0	0	0	3,040
92400	Tenant Services - Other	1,104	0	18,562	0	19,666
92500	Total Tenant Services	24,933	0	18,562	0	43,495
Utilities:						
93100	Water	0	0	19,154	0	19,154
93200	Electricity	0	0	29,266	0	29,266
93300	Gas	0	0	21,614	0	21,614
93800	Other Utilities Expense	0	0	18,306	0	18,306
93000	Total Utilities	0	0	88,339	0	88,339
Ordinary Maintenance & Operation:						
94100	Ordinary Maintenance and Operations - Labor	0	0	50,810	0	50,810
94200	Ordinary Maintenance and Operations - Materials and Other	0	0	19,930	0	19,930
94300	Ordinary Maint and Operations - Contract Costs	0	0	108,733	0	108,733
94500	Employee Benefit Contributions - Ordinary Maintenance	0	0	16,173	0	16,173
93000	Total Maintenance	0	0	195,646	0	195,646
Insurance Premiums:						
96110	Property Insurance	0	0	6,970	0	6,970
96120	Liability Insurance	1,741	0	6,128	0	7,869
96130	Workmen's Compensation	3,674	0	2,599	0	6,273
96140	All Other Insurance	0	0	2,992	0	2,992
916100	Total Insurance Premiums	5,415	0	18,689	0	24,104
Other General Expenses:						
96200	Other General Expenses	0	0	6,360	0	6,360
96300	Payments in Lieu of Taxes	0	0	38,881	0	38,881
96400	Bad Debt - Tenant Rents	0	0	2,841	0	2,841
96000	Total Other Operating Expenses	0	0	48,082	0	48,082

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

STATEMENT OF REVENUE, EXPENSES AND CHANGES IN NET ASSETS
for the year ended March 31, 2010

Line Item #	Account Description	HC Vouchers 14.871	Component Units	State / Local	Elimination	TOTAL
96900	Total Operating Expenses	\$219,544	\$0	\$537,064	\$0	\$756,608
97000	Excess Revenue over Operating Expenses	\$2,374,706	\$0	(\$25,888)	\$0	\$2,348,838
97100	Extraordinary Maintenance	0	0	8,860	0	8,860
97300	Housing Assistance Payments	2,376,568	0	0	0	2,376,568
97350	HAP Portability - In	20,487	0	0	0	20,487
97400	Depreciation Expense	3,401	0	135,000	0	138,401
90000	Total Expenses	\$2,620,000	\$0	\$680,924	\$0	\$3,300,924
10010	Operating Transfer In	0	0	155,334	0	155,334
10020	Operating Transfer Out	0	(155,334)	0	0	(155,334)
10100	Total Other Financing Sources (Uses)	\$0	(\$155,334)	\$155,334	\$0	\$0
10000	Excess (Deficiency) of Revenue Over (Under) Expenses	(\$26,750)	(\$155,334)	(\$14,394)	\$0	(\$196,478)
11030	Beginning Equity	880,447	155,334	2,126,784	0	3,161,565
	Equity as of March 31, 2010	\$864,697	\$0	\$2,111,390	\$0	\$2,966,087
11190	Unit Months Available	3,336		1,272	0	4,608
11210	Number of Unit Months Leased	3,128		1,248	0	4,376
Administrative Fee Equity:						
11170-001	Administrative Fee Equity - Beginning Balance	\$562,282				\$562,282
11170-010	Administrative Fee Revenue	\$238,877				\$238,877
11170-021	FSS Coordinator Grant	38,550				38,550
11170-040	Investment Income	1,336				1,336
11170-045	Fraud Recovery Revenue	2,567				2,567
11170-050	Other Revenue	21,628				21,628
11170-080	Total Admin Fee Revenues	\$300,758				\$300,758
11170-080	Total Operating Expenses	\$219,544				\$219,544
11170-090	Depreciation	3,401				3,401
11170-095	Housing Assistance Payment Portability In	20,487				20,487
11170-110	Total Expenses	\$243,432				\$243,432
11170-002	Net Administrative Fee	\$57,326				\$57,326
11170-003	Administrative Fee Equity - Ending Balance	\$609,608				\$609,608
11170	Administrative Fee Equity	\$609,608				\$609,608
Housing Assistance Payments Equity:						
11180-001	Housing Assistance Payments Equity - Beginning Balance	\$328,165				\$328,165
11180-010	Housing Assistance Payment Revenues	\$2,280,925				\$2,280,925
11180-015	Fraud Recovery Revenue	2,567				2,567
11180-030	Total HAP Revenues	\$2,293,492				\$2,293,492
11180-080	Housing Assistance Payments	\$2,376,568				\$2,376,568
11180-100	Total Housing Assistance Payments Expenses	\$2,376,568				\$2,376,568
11180-002	Net Housing Assistance Payments	(\$83,076)				(\$83,076)
11180-003	Housing Assistance Payments Equity - Ending Balance	\$245,089				\$245,089
11180	Housing Assistance Payments Equity	\$245,089				\$245,089

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

PROJECT NO. E-11, 47, 191 ADMINISTRATION FUND
BALANCE SHEET - ASSETS
as of March 31, 2010

	Budgetary Basis	GAAP Basis	Difference
ASSETS			
Cash:			
Checking	\$27,406	\$27,406	\$0
Reserve - Savings and Investments	802,166	802,165	(1)
Petty Cash Fund	25	25	0
Change Fund	50	50	0
Total Cash	\$829,647	\$829,646	(\$1)
Accounts Receivable:			
Tenants	\$0	\$0	\$0
Vacated tenants	0	0	0
Less: Allowance for collection loss	(2,841)	(2,841)	0
Net Tenant Accounts Receivable	(2,841)	(2,841)	0
Sundry Accounts Receivable	0	2,917	2,917
Total Receivables	(\$2,841)	\$76	\$2,917
Other Current Assets:			
Prepaid Expenses and Other Assets	\$4,754	\$4,754	\$0
Inventories, Net of Allowance for Obsolete	0	0	0
Interprogram - Due From	0	0	0
Total Other Current Assets	4,754	4,754	0
Total Current Assets	\$831,560	\$834,476	\$2,916
Fixed Assets:			
Development Cost	\$3,133,817	\$0	(\$3,133,817)
Furniture and Equipment	4,820	0	(4,820)
Grants/Loans	332,033	0	(332,033)
RSC Expenses	37,929	0	(37,929)
Incomplete Contracts	394,589	0	(394,589)
Land	0	150,132	150,132
Buildings	0	4,061,026	4,061,026
Furn, Equip & Mach - Dwellings	0	234,471	234,471
Furn, Equip & Mach - Admin	0	0	0
Leasehold Improvements	0	79,695	79,695
Accumulated Depreciation	0	(3,071,591)	(3,071,591)
Total Fixed Assets	\$3,903,188	\$1,453,733	(\$2,449,455)
TOTAL ASSETS	\$4,734,748	\$2,288,209	(\$2,446,539)

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

PROJECT NO. E-11, 47, 191 ADMINISTRATION FUND
BALANCE SHEET - LIABILITIES AND EQUITY
as of March 31, 2010

	Budgetary Basis	GAAP Basis	Difference
<u>LIABILITIES</u>			
Current Liabilities:			
Accounts Payable	\$10,527	\$10,527	\$0
Payroll Wages/Deductions Payable	2,182	2,182	0
PILOT Payable	76,512	76,512	0
Deferred Revenue	0	0	0
Interprogram - Due To	77,483	77,483	0
Total Current Liabilities	<u>\$166,704</u>	<u>\$166,704</u>	<u>\$0</u>
Noncurrent Liabilities:			
Accrued OPEB Liability	\$10,115	\$10,115	\$0
Total Noncurrent Liabilities	<u>\$10,115</u>	<u>\$10,115</u>	<u>\$0</u>
Total Liabilities	<u>\$176,819</u>	<u>\$176,819</u>	<u>\$0</u>
<u>EQUITY</u>			
Contributed Capital:			
Capital Grant	\$3,058,807	\$0	(\$3,058,807)
Valuation of Fixed Assets	4,820	0	(4,820)
Contribution by the Municipality	75,010	0	(75,010)
Gifts & Donations	373	0	(373)
Capital Grant - Rehabilitation	302,033	0	(302,033)
Rehabilitation Loan Liquidation	30,000	0	(30,000)
RSC Grant Authorized	45,027	0	(45,027)
RSC Grant Unissued	(10,016)	0	10,016
Investment in Capital Assets	0	1,453,733	1,453,733
Total Contributed Capital	<u>\$3,506,054</u>	<u>\$1,453,733</u>	<u>(\$2,052,321)</u>
Reserved Fund Balance:			
Retained Earnings Appropriated for RM&R	\$812,714	\$812,714	\$0
Undesignated Fund Balance/Retained Earnings:			
Unappropriated Retained Earnings	\$239,161	(\$155,057)	(\$394,218)
Total Equity	<u>\$4,557,929</u>	<u>\$2,111,390</u>	<u>(\$2,446,539)</u>
TOTAL LIABILITIES AND EQUITY	<u>\$4,734,748</u>	<u>\$2,288,209</u>	<u>(\$2,446,539)</u>

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

PROJECT NO. E-11, 47, 191 ADMINISTRATION FUND
OPERATING STATEMENT
for the year ended March 31, 2010

No. of Dwelling Units - 106	Budgetary Basis		GAAP	Difference
	Budget	Actual	Basis	
INCOME				
Rent income - Base	\$319,440	\$319,440	\$319,440	\$0
Rent income - Excess of base	140,462	144,934	144,934	0
RSC Grant	0	0	18,562	18,562
Total rental income	\$459,902	\$464,374	\$482,936	\$18,562
Less: Dwelling vacancy loss	(4,915)	(5,530)	(5,530)	0
Net rental income	\$454,987	\$458,844	\$477,406	\$18,562
Sales and Service to Tenants	17,569	18,720	18,720	0
Interest income	28,934	6,017	6,017	0
Other income	4,915	9,053	9,053	0
Gross Income	\$506,405	\$492,634	\$511,196	\$18,562
EXPENSE				
Salaries - Office	\$71,097	\$92,443	\$92,443	\$0
Compensated Absences	0	0	0	0
Resident service coordinator	0	0	18,562	18,562
Legal and other services	3,500	11,931	11,931	0
Accounting fees	6,400	6,116	6,116	0
Office supplies	3,200	1,634	1,634	0
Rents	1,500	2,400	2,400	0
Travel	5,000	1,064	1,064	0
Other office expense	22,150	21,906	21,906	0
Pensions and other funds	22,000	34,455	34,455	0
Payroll taxes	20,000	11,972	11,972	0
Total Management Expenses	\$154,847	\$183,921	\$202,483	\$18,562
Water	\$15,000	\$19,154	\$19,154	\$0
Electricity	30,000	29,265	29,265	0
Gas	31,012	21,613	21,613	0
Cable TV	17,569	18,306	18,306	0
Total Utility Expenses	\$93,581	\$88,338	\$88,338	\$0
Salaries - Maintenance	\$50,454	\$50,810	\$50,810	\$0
Compensated Absences	0	0	0	0
Materials and supplies	12,000	19,691	19,691	0
Contractual services	50,605	108,212	108,212	0
Maintenance shop & equip. exp.	13,000	240	240	0
Total Maintenance Expenses	\$126,059	\$178,953	\$178,953	\$0

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

PROJECT NO. E-11, 47, 191 ADMINISTRATION FUND
OPERATING STATEMENT (Continued)
for the year ended March 31, 2010

	Budgetary Basis		GAAP Basis	Difference
	Budget	Actual		
No. of Dwelling Units - 106				
Refuse Removal	\$1,600	\$520	\$520	\$0
Insurance	24,100	18,688	18,688	0
PILOT - Municipality	37,898	38,881	38,881	0
State service charge	6,360	6,360	6,360	0
Interest expense	0	0	0	0
Depreciation expense	0	0	135,000	135,000
Total Other Expenses	\$69,958	\$64,449	\$199,449	\$135,000
Provision for R. M. & R.	\$60,400	\$60,400	\$0	(\$60,400)
Extraordinary Maintenance	0	0	8,860	8,860
Provision for collection loss	1,500	1,500	2,841	1,341
Total Provisions	\$61,900	\$61,900	\$11,701	(\$50,199)
Extraordinary income	\$0	\$0	\$0	\$0
Total Extraordinary income	\$0	\$0	\$0	\$0
Total Operating Expenses	\$506,345	\$577,561	\$680,924	\$103,363
Net Gain (Loss) for the Period	\$60	(\$84,927)	(\$169,728)	(\$84,801)

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

PROJECT NO. E-11, 47, 191 ADMINISTRATION FUND
ANALYSIS OF RETAINED EARNINGS
for the year ended March 31, 2010

	Budgetary Basis	GAAP Basis	Difference
<u>ANALYSIS OF UNAPPROPRIATED RETAINED EARNINGS</u>			
Retained Earnings as of March 31, 2009	\$168,754	\$170,467	\$1,713
Net Operating Gain/(Loss) FYE March 31, 2010	(84,927)	(169,728)	(84,801)
Depreciation Addback	0	135,000	135,000
Provision for RM&R	0	(60,400)	(60,400)
RM&R Expenditures	0	34,698	34,698
Increase in Fixed Assets	0	(420,428)	(420,428)
Transfer in of Business Activities Equity	155,334	155,334	0
Retained Earnings as of March 31, 2010	<u>\$239,161</u>	<u>(\$155,057)</u>	<u>(\$394,218)</u>

**ANALYSIS OF RETAINED EARNINGS APPROPRIATED FOR REPAIRS, MAINTENANCE
AND REPLACEMENTS**

Retained Earnings Appropriated for RM&R as of March 31, 2009	\$787,012	\$787,012	\$0
Provision for RM&R	60,400	60,400	0
Charges to R/E for RM&R:			
Countertops & Cabinets, Shades	(\$6,786)	(\$6,786)	\$0
New Office Building: Survey, Engineering, Testing, Documents, Plaque	(130)	(130)	0
Floors	(2,250)	(2,250)	0
Environmental Remediation	(3,450)	(3,450)	0
Appliances	(3,727)	(3,727)	0
Ramps - ADA	(15,325)	(15,325)	0
Repairs	(2,660)	(2,660)	0
Materials for Tenant Service Office	(370)	(370)	0
Total Charges to R/E for RM&R	<u>(\$34,698)</u>	<u>(\$34,698)</u>	<u>\$0</u>
Retained Earnings Appropriated for RM&R as of March 31, 2010	<u>\$812,714</u>	<u>\$812,714</u>	<u>\$0</u>

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
for the year ended March 31, 2010

<u>Fiscal</u> <u>Year</u>	<u>Federal Grantor</u> <u>U.S.</u> <u>Department of HUD</u>	<u>Federal</u> <u>CFDA</u> <u>Number</u>	<u>Expenditure</u>
<u>Section 8 Lower Income HAP</u>			
2010	Housing Choice Vouchers	14.871	<u>\$2,566,152</u>

Notes to the Schedule of Expenditures of Federal Awards

NOTE 1 - SIGNIFICANT ACCOUNTING POLICIES:

The accompanying Schedule of Expenditures of Federal Awards (the Schedule) summarizes activity of the Government's federal award programs. The Schedule has been prepared on the accrual basis of accounting.

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

SCHEDULE OF EXPENDITURES OF STATE FINANCIAL ASSISTANCE
for the year ended March 31, 2010

Fiscal Year	State Grantor	State ID Number	Program Amount	Balance Beginning Year	Receipts/ Revenue Recognized	Disbursements Expenditure	Balance End of Year
DEPARTMENT OF ECONOMIC AND COMMUNITY DEVELOPMENT:							
<u>Resident Service Coordinator Grants</u>							
2010	RSC 10/07-06/08	*	\$17,183.00	(\$766.00)	(\$766.00)	\$0.00	\$0.00
	RSC 07/08-06/09		24,994.00	(5,627.83)	0.00	5,627.83	0.00
	RSC 07/09-06/10		20,033.00	0.00	10,017.00	12,934.34	2,917.34
			<u>\$62,210.00</u>	<u>(\$6,393.83)</u>	<u>\$9,251.00</u>	<u>\$18,562.17</u>	<u>\$2,917.34</u>

* \$766.00 refunded to DECD

Notes to the Schedule of Expenditures of State Financial Assistance

NOTE 1 - SIGNIFICANT ACCOUNTING POLICIES:

The accompanying Schedule of Expenditures of State Financial Assistance (the Schedule) summarizes activity of the Authority's state award programs. The Schedule has been prepared on the accrual basis of accounting.

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

ACTIVITIES OF THE HOUSING AUTHORITY
for the year ended March 31, 2010

The Housing Authority had 384 units in management. The Housing Authority was also administering the DHA Development Corp. which was a component unit of the Housing Authority until it's dissolution.

Federal Financed Units:	<u>Units</u>
Vouchers	<u>278</u>
Total Federal Financed Units	<u>278</u>
State Financed Units:	
State Elderly E-11,47,191	<u>106</u>
Total State Financed Units	<u>106</u>
Total State and Federal Financed Units	<u>384</u>

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

SUMMARY SCHEDULE OF PRIOR AUDIT FINDINGS
for the year ended March 31, 2010

#2009-1: Unallowed Investments

Statement of Condition -

The housing authority had State Elderly program investments at Merrill Lynch that were not FDIC insured or supported by a collateralization agreement leaving approximately \$710,929 subject to custodial credit risk as of March 31, 2009.

Criteria -

CHFA requires that all state program funds be deposited in banks not to exceed the FDIC insurance limit, invested in U.S. Treasuries, or invested in the CT State Treasurers Investment Fund.

Effect of Condition -

The housing authority bears the risk that it may lose any or all of the investment in the unallowed account type.

Cause of Condition -

The housing authority stated that funds in this account were previously invested in various bank CD's, which were fully FDIC insured. Due to the need for the funds in the near future for use in the construction of a new building, the CD's are not being renewed when they mature, but were left in the above investment for draws without penalty.

Recommendation -

We recommend that the housing authority transfer the funds to an allowed investment type until such time they are required to meet building construction obligations.

THIS FINDING REMAINS OPEN.

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

SUMMARY OF ADJUSTING JOURNAL ENTRIES
for the year ended March 31, 2010

	FDS Report Line Number	Debit	Credit
<u>STATE/LOCAL - GAAP BASIS:</u>			
Tenant Services - Other	92400	\$2,125.83	
Administrative Salaries	91100		\$1,823.96
Employee Benefits - Admin	91500		301.87
To re-allocate 06/30/09 RSC grant expenditures.			
Tenant Services - Other	92400	\$5,909.09	
Administrative Salaries	91100		\$5,070.00
Employee Benefits - Admin	91500		839.09
To re-allocate 06/30/10 RSC grant expenditures.			
Accounts Receivable - Other Government	124	\$2,917.34	
Other Government Grants	70800		\$2,917.34
To record additional income due from 06/30/10 RSC grant.			
<u>STATE/LOCAL - DECD BASIS:</u>			
RSC Expenses	1508	\$2,125.83	
Salaries - Office	4120		\$1,823.96
Pensions and Other Funds	4160		127.68
Payroll Taxes	4161		174.19
To re-allocate 06/30/09 RSC grant expenditures.			
RSC Expenses	1508	\$5,909.09	
Salaries - Office	4120		\$5,070.00
Pensions and Other Funds	4160		380.25
Payroll Taxes	4161		458.84
To re-allocate 06/30/10 RSC grant expenditures.			

HOUSING AUTHORITY OF THE CITY OF DERBY
Derby, Connecticut

SCHEDULE OF AUDIT FINDINGS AND QUESTIONED COSTS
for the year ended March 31, 2010

1. Summary of the auditor's results:

Financial Statements:

Type of auditor's report issued: **Unqualified**

Internal control over financial reporting:

Material weakness(es) identified? _____ yes X no

Significant deficiency/deficiencies identified that are not considered to be material weaknesses? _____ yes X no

Noncompliance material to financial statement noted? _____ yes X no

Federal Awards:

Internal control over major programs:

Material weakness(es) identified? _____ yes X no

Significant deficiency/deficiencies identified that are not considered to be material weakness(es)? _____ yes X no

Type of auditor's report issued on compliance for major programs: **Unqualified**

Any audit findings disclosed that are required to be reported in accordance with section 510(a) of Circular A-133? _____ yes X no

Identification of major programs:

CFDA Number(s)	Name of Federal Programs or Cluster
<u>#14.871</u>	<u>Section 8 Housing Choice Vouchers</u>

Dollar threshold used to distinguish between type A and B programs: \$300,000

Audit qualified as low-risk auditee? X yes _____ no

2. Findings relating to the financial statements which are required to be reported in accordance with GAGAS:

See Finding #2009-1 on the Summary Schedule of Prior Audit Findings.

3. Findings and questioned costs for Federal awards which shall include audit findings as defined under § 510(a):

NONE

HOUSING AUTHORITY OF THE CITY OF DERBY

45 Minerva Street
Derby, Connecticut 06418
(203) 735-6652
Fax (203) 734-0204

CORRECTIVE ACTION PLAN

January 28, 2010

**Connecticut Housing Finance Authority
Department of Housing and Urban Development**

The Housing Authority of the City of Derby respectfully submits the following corrective action plan for the year ended March 31, 2009.

Audit Firm: Buel CPA, P.C.
126 Maybie Road
Gilboa, NY 12076
(518) 827-7499 Phone
(518) 827-7470 Fax

Audit Period: April 1, 2008 through March 31, 2009

The findings from the March 31, 2009 schedule of findings and questioned costs are discussed below. The findings are numbered consistently with the number assigned in the schedule.

Finding #2009-1: Unallowed Investments

Statement of Condition –

The Housing Authority had State Elderly program investments at Merrill Lynch that were not FDIC insured or supported by a collateralization agreement leaving approximately \$710,929 subject to custodial credit risk as of March 31, 2009.

Criteria –

CHFA requires that all state program funds be deposited in banks not to exceed the FDIC insurance limit, invested in U.S. Treasuries, or invested in the CT State Treasurers Investment Fund.

Cause of Condition –

The Housing Authority stated that the funds in this account were previously invested in various bank CD's, which were fully FDIC insured. Due to the need for the funds in the near future for use in the construction of a new building, the CD's are not being renewed when they mature, but were left in the above investment for draws without penalty.

Effect of Condition –

The Housing Authority bears the risk that it may lose any or all of the investment in the unallowed account type.

Recommendation –

We recommend that the Housing Authority transfer the funds to an allowed investment type until such time they are required to meet building construction obligations.

CORRECTIVE ACTION: The Housing Authority of the City of Derby has been using the funds to meet building construction obligations as needed. In addition, we will transfer the unused portion of said funds to an allowed investment type.

UPDATE: As of March 31, 2010, the authority had reduced the unallowed investment type to \$274,876 and will continue to remove funds from this account until exhausted.

If there are questions regarding this corrective action plan, please contact Mr. Steven Nakano, Executive Director at (203) 735-6652.