

## **Substantial Amendment to the Consolidated Plan 2008 Action Plan for the Homelessness Prevention and Rapid Re-Housing Program (HPRP)**

Grantees eligible to receive funds under the Homelessness Prevention and Rapid Re-Housing Program (HPRP) are required to complete a substantial amendment to their Consolidated Plan 2008 Action Plan. This form sets forth the required format for this substantial amendment. A completed form is due to HUD within 60 days of the publication of the HUD HPRP notice.

To aid grantees in meeting this submission deadline, the HPRP Notice reduces the requirement for a 30-day public comment period to no less than 12 calendar days for this substantial amendment. With this exception, HPRP grantees are required to follow their Consolidated Plan's citizen participation process, including consultation with the Continuum of Care (CoC) in the appropriate jurisdiction(s). Grantees are also required to coordinate HPRP activities with the CoC's strategies for homeless prevention and ending homelessness. To maximize transparency, HUD strongly recommends that each grantee post its substantial amendment materials on the grantee's official website as the materials are developed.

A complete submission contains the following three documents:

- 1) A signed and dated SF-424,
- 2) A completed form HUD-40119 (this form), and
- 3) Signed and dated General Consolidated Plan and HPRP certifications.

For additional information regarding the HPRP program, visit the HUD Homelessness Resource Exchange ([www.hudhre.info](http://www.hudhre.info)). This site will be regularly updated to include HPRP resources developed by HUD and its technical assistance providers.

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The information collection requirements contained in this application have been submitted to the Office of Management and Budget (OMB) for review under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520). This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

*Information is submitted in accordance with the regulatory authority contained in each program rule. The information will be used to rate applications, determine eligibility, and establish grant amounts.*

Public reporting burden for this collection of information is estimated to be 16 hours, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information is required to obtain benefits. To the extent that any information collected is of a confidential nature, there will be compliance with Privacy Act requirements. However, the substantial amendment to the Consolidated Plan 2008 Action Plan does not request the submission of such information.

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)

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**A. General Information**

<b>Grantee Name</b>	City of Waterbury
<b>Name of Entity or Department Administering Funds</b>	Waterbury Development Corporation
<b>HPRP Contact Person</b> (person to answer questions about this amendment and HPRP)	Kathleen McNamara
<b>Title</b>	Community Planning and Development
<b>Address Line 1</b>	24 Leavenworth Street
<b>Address Line 2</b>	
<b>City, State, Zip Code</b>	Waterbury, CT 06702
<b>Telephone</b>	203-346-2607 Ext. 115
<b>Fax</b>	
<b>Email Address</b>	mcnamara@wdconline.org
<b>Authorized Official</b> (if different from Contact Person)	Michael J. Jarjura
<b>Title</b>	Mayor
<b>Address Line 1</b>	236 Grand Street
<b>Address Line 2</b>	
<b>City, State, Zip Code</b>	Waterbury, CT 06702
<b>Telephone</b>	203-574-6712
<b>Fax</b>	
<b>Email Address</b>	none
<b>Web Address where this Form is Posted</b>	<a href="http://www.waterburyct.org">www.waterburyct.org</a> <a href="http://www.wdconline.org">www.wdconline.org</a>

<b>Amount Grantee is Eligible to Receive*</b>	<b>\$931,128</b>
<b>Amount Grantee is Requesting</b>	<b>\$931,128</b>

\*Amounts are available at <http://www.hud.gov/recovery/homelesspreventrecov.xls>

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### **B. Citizen Participation and Public Comment**

- Briefly describe how the grantee followed its citizen participation plan regarding this proposed substantial amendment (limit 250 words).

Response:

The City is using its existing Citizen Participation Plan (CPP), as stated in our Consolidated Plan of 2008-2013, and, with the exception of the shortened commentary period for the substantial amendment allowed by HUD under HPRP, will fulfill all CPP substantial amendment requirements. In addition, the City through WDC will be coordinating the HPRP substantial amendment process with the local Continuum of Care (CoC) which is presently in the process of developing the City's Ten Year Plan to End Homelessness in partnership with the United Way of Greater Waterbury. The following is a time line for the development of the substantial amendment and fulfillment of substantial amendment requirements per CPP:

- 3/27/09 & 3/30/09 Meeting with Ten Year Plan Housing Subcommittee
  - 3/30/09 Meeting with COC Steering Committee
  - 4/2/09 Presentation of Substantial Amendment Timeline to the City's Citizen's Advisory Committee (CAC)
  - 3/27/09-4/8/09 Work with COC to draft substantial amendment
  - 4/10/09 Notice of public hearing (15 day advance required per CPP), summary of the substantial amendment and notice of 17 -day public commentary period in the Republican-American. Amendment placed on City and Waterbury Development Corporation (WDC) websites and at public distribution sites per CPP
  - 4/28/09 Public Hearing before Citizen Advisory Committee
  - 5/1/09 Approval by WDC Board of Directors
  - 5/11/09 Approval by Board of Aldermen
  - 5/15/09 Submission to HUD
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- Provide the appropriate response regarding this substantial amendment by checking one of the following options:
    - Grantee did not receive public comments.
    - Grantee received and accepted all public comments.
    - Grantee received public comments and did not accept one or more of the comments.

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- Provide a summary of the public comments regarding this substantial amendment. Include a summary of any comments or views not accepted and the reasons for non-acceptance.

Response:

### **C. Distribution and Administration of Funds**

Reminder: The HPRP grant will be made by means of a grant agreement executed by HUD and the grantee. The three-year deadline to expend funds begins when HUD signs the grant agreement. Grantees should ensure that sufficient planning is in place to begin to expend funds shortly after grant agreement.

1. Check the process(es) that the grantee plans to use to select subgrantees. Note that a subgrantee is defined as the organization to which the grantee provides HPRP funds.

- Competitive Process
- Formula Allocation
- Other (Specify): Sole Source

The City has a sub-recipient agreement with the WDC, which administers HUD Entitlement funds on behalf of the City. The City through WDC will employ two separate processes for the selection of grantees: a competitive process and a sole source process.

2. Briefly describe the process(es) indicated in question 1 above (limit 250 words).

Response:

To determine distribution of funds for services and financial assistance, a legal notice for Requests For Proposals (applications) will be placed in the Republican-American newspaper by May 15, 2009. Application forms will be developed by WDC staff who administer CDBG /ESG funds in consultation with the CoC staff. Applications will be posted on City and WDC websites. Additional advertisement of the process will take place through the United Way e-newsletter.

Applications will specify qualification criteria established by WDC and CoC. Potential sub-recipients will be expected to demonstrate capacity and experience in providing similar services, the ability to provide services within the required

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period per HPRP regulations, and the ability to utilize software as a tool to track customer outcomes. Applicants must have a DUNS number and must have successfully administered previous state or federal funds. Applicants will provide a narrative and budget as part of the application. Applicants will be required to attach financial statements and an immediate past fiscal year audit. They must not owe state, Federal or local taxes. The City through its award process will retain the right to decide upon the final awarded/contracted amount.

The second process used will be the sole source contract process. Sole source contract(s) will encompass HMIS and Data Analysis costs. HMIS is active in Waterbury and is directly linked to a statewide system using an online software package. Free technical assistance and training is currently available to all users. There is a high degree of data validity and existing users are pleased with the level of service provided. The most efficient use of funds would be to add any new users, which would encourage continued use beyond HPRP. Currently in Waterbury, we have four users: St. Vincent DePaul, Salvation Army, New Opportunities and Connecticut Outreach West. We anticipate adding at least five additional agencies. The current technical assistance provider, Connecticut Coalition to End Homelessness (CCEH), will be contracted for HPRP data compliance activities. By aligning with CCEH, we will continue to utilize the HMIS system to conduct data analysis and assess community needs

3. Briefly describe the process the grantee plans to use, once HUD signs the grant agreement, to allocate funds available to subgrantees by September 30, 2009, as required by the HPRP Notice (limit 250 words).

Response:

Applications will be available on the day of posting of the legal notice on May 15, 2009, and will be due on June 5, 2009. Upon receipt of applications, a special joint committee composed of members of the City's Citizen Advisory Committee (CAC) and CoC will review applications in order to make recommendations back to the CAC for approval. The CAC is the 17-member advisory board that makes recommendations concerning CDBG and ESG funding to the City. Members of the subcommittee will have experience in the field of homelessness, but will not be part of an organization that has applied for consideration. The Subcommittee will rank and rate all applications and recommend award amounts based upon the applicant's scope of service and established grant review criteria. Members of the Subcommittee will be familiar with the progress and development of Waterbury's Ten Year Plan to End Homelessness. A representative of the CoC holds a seat on the CAC. WDC staff will serve as staff support for the Subcommittee.

Grant award recommendations will be made by June 15, 2009. The CAC will hold a public meeting to approve the proposed grant recommendations on June 18,

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2009. The WDC Board of Directors will vote to approve on June 26, 2009. If a Board of Aldermen vote is requested/required, the funding decisions will be approved by the Board of Aldermen during their July meeting, which is tentatively scheduled for July 20, 2009 (Summer meetings may be subject to change). All recommendations will be finalized by the end of July. All contracts will be executed by September 29, 2009.

4. Describe the grantee's plan for ensuring the effective and timely use of HPRP grant funds on eligible activities, as outlined in the HPRP Notice. Include a description of how the grantee plans to oversee and monitor the administration and use of its own HPRP funds, as well as those used by its subgrantees (limit 500 words).

Response:

As stated in the response to Question 3, the City through WDC intends to have fully executed all contracts for service under HPRP by September 29, 2009. As detailed in prior responses, the amendment, application and decision process will be made in partnership with the Waterbury CoC. In the applications, each potential sub-recipient will be required to include a detailed description of their process for screening eligible clients.

The City will use the IDIS system to draw upon HPRP funds in the same manner as current grants and will adhere to Section VII: Other Federal Requirements located in the HPRP Notice, A through K, inclusive, dated March 18, 2009. Prior to execution of contracts, the City will hold a mandatory "Pre-Award Orientation" meeting with all HPRP sub-recipients to clarify the requirements of the program including data and reporting requirements, compliance with Fair Housing and Civil Rights Laws. Each sub-recipient will be provided with a program binder containing all of the above as well as information as to the WDC's monitoring plan for the HPRP program.

Questions related to Fair Housing will be directed to the City's Fair Housing Officer who is a WDC staff member and is familiar with housing relocation. WDC CDBG/ESG staff will be assigned to monitor all sub-recipients individually no less than semi-annually. All grantees will also be required to attend monthly meetings of the CoC and monthly HMIS subcommittee meetings. This will ensure coordination of services with CoC through the monitoring period. Both the City and WDC serve on the CoC. In addition, a member of the CoC serves on the City's CAC, so that regular communication between boards and service providers is provided.

In order to facilitate accurate and timely execution of quarterly reports by the WDC, all sub-recipients will meet as a group quarterly, in conjunction with the scheduled HPRP reporting periods and in compliance with formats prescribed by HUD to review information garnered from HMIS data.

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Organizations granted HPRP funds for the provision of rental assistance will be required to conduct initial and any appropriate follow-up inspections of housing units (change of tenancy) into which a program participant will be moving. Applications will be asked to identify how they will conduct such inspections in conformance with HPRP regulations and habitability standards (Appendix C), and how they will maintain records documenting performance of such inspections. Grant contracts will require inspection on an annual basis and upon change of tenancy. Additionally, Regulations (24 CFR, Part 35, Subparts A, B, M and R) under the Lead-Based Paint Poisoning Prevention act, as amended, will apply to families occupying units. assisted with HPRP. WDC staff will monitor compliance with habitability standards as part of their individual semi-annual monitoring schedule.

### **D. Collaboration**

1. Briefly describe how the grantee plans to collaborate with the local agencies that can serve similar target populations, which received funds under the American Recovery and Reinvestment Act of 2009 from other Federal agencies, including the U.S. Departments of Education, Health and Human Services, Homeland Security, and Labor (limit 250 words).

Response:

The City of Waterbury works with local agencies providing services to individuals and families at-risk of homelessness or who are homeless through its participation in the Waterbury Continuum of Care (the City and WDC hold two seats) which comprises approximately 40 local agencies. The Continuum of Care participates in the City's Annual Plan process for distribution of CDBG and ESG funds through its seat on the CAC. The City regularly funds approximately 20-25 public service agencies through its HUD Entitlement funds.

Recently the City of Waterbury has endorsed the development of the City's Ten Year Plan to End Homelessness which is being led through a partnership of the United Way and the City of Waterbury. This Plan is supported by a contract with the Connecticut Coalition to End Homelessness (CCEH). Approximately 30 agencies sit on the Plan's steering/ planning subcommittees.

HPRP funded services will create a referral flow to and from programs administered by others receiving ARRA funds, thus ensuring that everyone served obtains crucial services to stabilize their financial and housing status.

Many local agencies that receive ARRA funding from other Federal agencies currently participate in the Waterbury CoC or are presently participating in the Waterbury Ten Year Plan to End Homelessness, including: Northwest Regional Workforce Investment Board; the Department of Social Services; Waterbury

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Housing Authority; local Waterbury shelters; the Western Ct Mental Health Network; the City of Waterbury Department of Educations; and, local CDBG recipients.

Coordination with Waterbury public schools ensures that homeless children receive appropriate services through Title VII of the Homeless Education Act. The City and Waterbury Housing Authority will make available resources from NSP and other consolidated funding to create housing opportunities for those needing housing or relocation.

2. Briefly describe how the grantee plans to collaborate with appropriate Continuum(s) of Care and mainstream resources regarding HPRP activities (limit 250 words).

Response:

The implementation plan for the HPRP program was developed through coordination with the Waterbury CoC (see above response), the United Way of Greater Waterbury, the Waterbury Development Corporation, CCEH, and the City of Waterbury. In total, this collaboration represents well over 50 agencies or organizations.

In addition, the existing Greater Waterbury Family Economic Security Coalition (GWFESC) is comprised of social service, primary care providers, and early childhood education providers; Elementary School Family Resource Centers also currently meets and coordinates efforts to link families to mainstream resources.

The CoC is committed to systemic change to increase access and use of mainstream resources which are vital for households in crisis to get the support needed to function productively and independently. Case managers with the CoC member agencies receive training on how to assist households in applying/obtaining appropriate entitlements. To maximize the household's use of mainstream programs, program staff typically assess each individual/family's need for mainstream services and funds. Through the successful implementation of HMIS enrollment in SSI, the TANF, Medicaid, SNAP and other resources can be effectively tracked.

Mainstream partners include the Veteran's Administration, the Waterbury Housing Authority, the Department of Social Services, CT Legal Services, the Food Resource Committee (food pantries and soup kitchens) ,and the Greater Waterbury United Way. The United Way implements the Emergency Food and Shelter Program (FEMA) process for Waterbury and has recently established an emergency fund to support basic needs.



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3. Briefly describe how HPRP grant funds for financial assistance and housing relocation/stabilization services will be used in a manner that is consistent with the grantee's Consolidated Plan (limit 250 words).

Response:

As part of its strategy to prevent homelessness, Waterbury will utilize the HPRP grant funds to provide HPRP eligible activities such as housing location, flexible financial assistance, short/medium term rental assistance, and case management, while strengthening mechanisms for effective homeless planning, information sharing and service coordination, and database and tracking systems. These strategies correspond to the prevention and re-housing functions and goals directly related to the City of Waterbury's Consolidated Plan (page 109) and to the scope and purpose of HPRP.

The Waterbury Continuum of Care and the City of Waterbury have worked collaboratively to address the needs of the homeless and those at risk within the framework of the Consolidated Plan. Recently, the Continuum of Care and the City of Waterbury initiated a Ten Year Plan to End Homelessness to address these needs at a broader community stakeholder level and enhance collaboration among agencies. The Mayor and United Way of Greater Waterbury are leading the planning process. This initiative, together with the work of the Waterbury Continuum of Care over the past few years, supports the community's readiness to implement the HPRP grant along side the Consolidated Plan.

The City of Waterbury will implement HPRP relocation/stabilization activities in accordance with the existing Consolidated Plan in compliance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and as mandated by the State of Connecticut uniformed Relocation Act, Chapter 135-Connecticut General Statues.

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**E. Estimated Budget Summary**

HUD requires the grantee to complete the following table so that participants in the citizen participation process may see the grantee’s preliminary estimated amounts for various HPRP activities. Enter the estimated budget amounts for each activity in the appropriate column and row. The grantee will be required to report actual amounts in subsequent reporting.

<b>HPRP Estimated Budget Summary</b>			
	<b>Homelessness Prevention</b>	<b>Rapid Re-housing</b>	<b>Total Amount Budgeted</b>
Financial Assistance <sup>1</sup>	\$ 326,463	\$ 175,788	\$ 502,251
Housing Relocation and Stabilization Services <sup>2</sup>	\$ 236,404	\$ 127,294	\$ 363,698
<b>Subtotal</b> (add previous two rows)	<b>\$ 562,867</b>	<b>\$ 303,082</b>	<b>\$ 865,949</b>
Data Collection and Evaluation <sup>3</sup>			\$ 18,623
Administration (up to 5% of allocation)			\$ 46,556
<b>Total HPRP Amount Budgeted<sup>4</sup></b>			<b>\$ 931,128</b>

<sup>1</sup>Financial assistance includes the following activities as detailed in the HPRP Notice: short-term rental assistance, medium-term rental assistance, security deposits, utility deposits, utility payments, moving cost assistance, and motel or hotel vouchers.

<sup>2</sup>Housing relocation and stabilization services include the following activities as detailed in the HPRP Notice: case management, outreach, housing search and placement, legal services, mediation, and credit repair.

<sup>3</sup>Data collection and evaluation includes costs associated with operating HUD-approved homeless management information systems for purposes of collecting unduplicated counts of homeless persons and analyzing patterns of use of HPRP funds.

<sup>4</sup>This amount must match the amount entered in the cell on the table in Section A titled “Amount Grantee is Requesting.”

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**F. Authorized Signature**

By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete, and accurate to the best of my knowledge. I also provide the required assurances and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

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Signature/Authorized Official

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Date

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Title