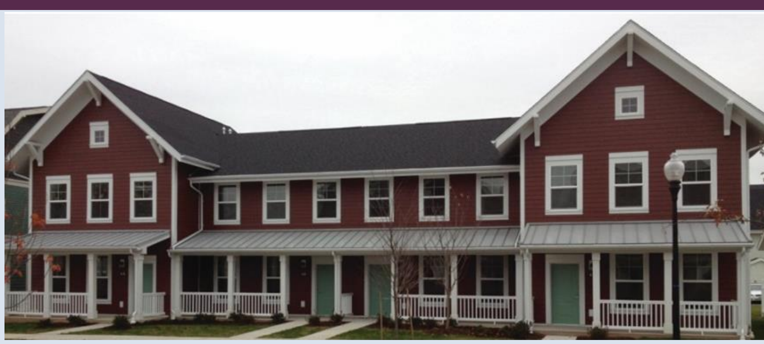
Making a Difference…

2017 MOVING TO WORK ANNUAL REPORT

Submitted to HUD on: December 29, 2017



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I. INTRODUCTION

In 2001, Elm City Communities/Housing Authority of the City of New Haven (ECC/HANH) was awarded Moving to Work (MTW) status as part of the federal MTW Demonstration Program (MTW), administered by the U.S. Department of Housing and Urban Development (HUD). ECC/HANH is one of 39 housing authorities nationwide selected for participation in MTW. During ECC/HANH's MTW term, in lieu of the standard Public Housing Authority (PHA) Annual Plan and Five-Year Plan documents, ECC/HANH is required to develop and submit to HUD MTW Annual Plans that articulate ECC/HANH's key policies, objectives, and strategies for administration of its federal housing programs to most effectively address local needs, in accordance with the terms of the ECC/HANH MTW Agreement. The 2017 MTW Annual Report states ECC/HANH' MTW goals and objectives, our current status toward achieving these goals and objectives.

What Is Moving to Work?

Congress established the MTW Demonstration Program in 1996. The MTW Demonstration Program is a pilot project that provides greater flexibility to HUD and to MTW PHAs to design and test innovative local approaches for housing assistance programs that more effectively address the housing needs of low-income families in our local communities. The purpose of the MTW Program, as established by Congress, is to identify innovative local approaches for providing and administering housing assistance that accomplish three primary goals:

1. To reduce costs and achieve greater cost effectiveness in federal expenditures.
2. To give incentives to families with children where the head of household is working, is seeking to work, or is preparing to work by participating in job training, educational programs, or programs that assist people to obtain employment and become economically self-sufficient.
3. To increase housing choice for low-income families.

Through the MTW Program, MTW agencies may request exemptions or waivers from existing regulations in order to pursue strategies that may result in more effective operations and services to low-income families, according to local needs and conditions. The MTW Program also provides greater budget flexibility, as MTW agencies may pool funding from several HUD programs in order to allocate resources according to local determinations of the most effective use of funds in order to address local needs.

The MTW Program also provides greater flexibility in planning and reporting. MTW agencies may be exempted from routine program measures, such as HUD's Public Housing Assessment System (PHAS) and Section Eight Management Assessment Program (SEMAP), if these measures do not accurately reflect the agency's performance. ECC/HANH has elected exemption from PHAS and SEMAP reporting.

ECC/HANH Participation in MTW

ECC/HANH's MTW program and flexibility includes, and is limited to, the following HUD programs: ECC/HANH's Public Housing Program (LIPH Operating Fund subsidy), Public Housing Capital Fund Program (Capital Fund Program formula grants), and Section 8 (Housing Choice Voucher) Program for vouchers on yearly Annual Contributions Contract (ACC) cycles.

According to the MTW Agreement, ECC/HANH's MTW program does not include HUD grant funds committed to specific grant purposes, namely: ECC/HANH's HOPE VI grants for Monterey Place, ECC/HANH's HOPE VI grants for Quinnipiac Terrace/Riverview, any future HOPE VI Revitalization grants, Rental Assistance Demonstration (RAD) grants and other competitive grant funds awarded for specific purposes. These grant-funded programs committed to specific purposes require ECC/HANH to provide periodic reports to HUD. Although these grant-funded programs are not included in ECC/HANH's MTW program, ECC/HANH has included information, where relevant, regarding these grant-funded programs in this MTW Annual Report for FY 2017.

ECC/HANH's original MTW Agreement with HUD became effective retroactively to October 1, 2000. The initial seven-year term of ECC/HANH's MTW status expired on September 30, 2008. HUD proposed a new, revised MTW Agreement that would provide MTW status to ECC/HANH for 10 years. ECC/HANH executed the Amended and Restated Moving to Work Agreement on May 2, 2008. On April 15, 2016, HUD communicated its intention to extend MTW agreements for an additional 10 years beyond the current extension date or until 2028.

ECC/HANH made the agreement available for public review and comment for a 30-day period and conducted a public hearing at the end of the review period. The public hearing was conducted on February 25, 2008. The ECC/HANH Board of Commissioners approved the Amended and Restated MTW Agreement through Resolution No. 02-22/08-R on February 26, 2008. The Amended and Restated MTW Agreement governs ECC/HANH's MTW status through 2028.

ECC/HANH's redevelopment plans require flexible use of Section 8 and 9 funds to develop affordable housing for families at or below 80% of AMI; therefore, on May 2, 2008, ECC/HANH has executed the Second Amendment to its Restated and Amended Moving to Work Agreement with HUD which clarifies such authority.

ECC/HANH's MTW program is the product of an extensive planning process, conducted from 1998-2000, to establish long-term plans for improving our agency's operations and for transforming our public housing stock. During 2006-2007, ECC/HANH engaged in a planning process in order to update and reinvigorate our agency's plans. As a result of this planning process, ECC/HANH developed a Three-Year Strategic Plan for FY 2007-2009. During 2009-2010, ECC/HANH again engaged in a planning process to re-evaluate and provide continuity to the original Three-Year Strategic plan. In 2015, ECC/HANH updated its strategic plan and issued the "Elm City Communities Strategic Plan: 2016-2018 Plan."

The MTW planning process provides the agency with a mechanism for updating its long-term strategy on an annual basis by enabling ECC/HANH to take stock of the progress of its ongoing activities and by addressing new concerns by establishing new goals and objectives for FY 2017. The 2017 Annual MTW Plan sets forth a short- and long-term vision for the agency for the next 10 years. The agency's long-term vision centers on streamlining its processes to become more effective and innovative, as well as promoting the economic self-sufficiency and housing choice of residents and program participants. The agency recognizes that its long-term viability rests with the economic well-being of its residents and the variety of housing choices that it is able to provide. The long-term plan is focused on the operational sustainability and capacity of the agency to meet the needs of the present day and to be positioned to succeed over the long term. The long-term vision also calls for the agency to develop relationships with local non-profit organizations to enhance the delivery of its programs, as well as looking to develop commercial ventures that will both expand housing choices, in addition to making the agency more efficient.

ECC/HANH's 2017 MTW Annual Report was made available for public review on November 1, 2017, and a public hearing was held on December 4, 2017. On December 19, 2017, the Board of Commissioners passed Resolution #12-146/16-R approving the 2017 MTW Annual Report. The 2017 MTW Annual Report was submitted to HUD on December 29, 2017.

Short-Term Strategic Plan

Deliver Cost-Effective Solutions

1. Expand the rent simplification model
2. Investment in technology to add additional functionality – e.g., on-line applications for housing; on-line ability to check waitlist status; electronic payments to vendors and landlords
3. Provide services to area PHAs
4. Invest in energy efficiency through ESCO
5. Complete RAD conversion opportunities within housing portfolio

Expand Housing Choice

1. Complete revitalization of West Rock community through Rockview and Ribicoff Cottages redevelopment
2. Increase market homeownership opportunities in West Rock
3. Partner with non-PHA entities to increase the supply of affordable housing
4. Complete planning and redevelopment of Farnam Court/Fair Haven and Westville Manor
5. Continued modernization and capital investment in current housing portfolio
6. Continue progress toward meeting goal of 10% UFAS compliant units agency wide

Help Families Reach Self-Sufficiency

1. Fully implement MTW CARES initiative to move families toward self-sufficiency with program evaluation and documentation of impact findings.
2. Support residents' entrepreneurial endeavors
3. Offer cost-effective training programs with increasing resident participation
4. Work with local school system to support children's academic progress and attainment

Long-Term Strategic Plan

Deliver Cost-Effective Solutions

1. Streamline administrative functions in LIPH and HCV program operations through transition to paperless systems and electronic files
2. Continue progress of streamlined administration of HCV program through introduction of HQ self-certification program for model landlords
3. Explore regional provision of housing authority services on a fee-for-service basis
4. Complete disposition and/or conversion of remaining non-performing assets
5. Continue investment in technology to reduce administrative burden and create model wired and wireless communities
6. Continue investment in energy efficiency initiatives

Help Families Reach Self-Sufficiency

1. Develop transitional models of assistance that move families toward self-sufficiency and away from subsidized housing in progressive steps
2. Expand resident-owned business initiative to increase the number of ECC/HANH contracts executed with such business enterprises and support for these businesses successfully competing for non-HANH work
3. Expand cost-effective training programs and increase resident participation
4. Expand supportive services programming—especially critical for the effective management of Elderly/Disabled developments—to provide needed supports to families as they move toward self-sufficiency
5. Expand linkages with local school system to support children's academic progress and attainment

Expand Housing Choice

1. Complete final revitalization effort of HANH's LIPH housing stock through revitalization/redevelopment or disposition of remaining poor-performing assets
2. Address the housing crisis experienced by the otherwise ineligible re-entry population by assisting with housing choices for individuals who engage in a comprehensive service approach to re-entry
3. Develop of home ownership options (West Rock and Quinnipiac Terrace redevelopments)
4. Promote housing opportunities for income-eligible local workforce through LIPH and HCV programs
5. Promote development opportunities in non-HANH developments through use of housing choice vouchers to create mixed-income, mixed-finance viable housing opportunities for participants

Overview of MTW Initiatives

Label	Description	MTW Goal	Approved	Status
1.1	Development of Mixed-Use Development of 122 Wilmot Road	Increase Housing Choice	FY 2009	Closed[1]
1.2	Local Total Development Cost (TDC) Limits	Cost Effectiveness Increase Housing Choice	FY 2009	Ongoing
1.3	Fungibility of MTW Funds	Cost Effectiveness	FY 2012	Ongoing
1.4 + 1.10	Defining Income Eligibility for the Project-Based Voucher Programs	Cost Effectiveness Housing Choice	FY 2012	Ongoing
1.5	HCV Preference and Set-Aside for Victims of Foreclosures	Increase Housing Choice	FY 2009	Ongoing
1.6	Deconcentration of Poverty (Promote Expanded Housing Opportunities for HCV and PBV Programs)	Increase Housing Choice	FY 2008	Ongoing
1.7	Tenant-Based Vouchers for Supportive Housing for the Homeless	Increase Housing Choice	FY 2010	Ongoing
1.8	Farnam Court Transformation Plan	Increase Housing Choice	FY 2011	Ongoing
1.9	Increase the Allowed Percentage of Project Based Voucher (PBV) Units from 75 Percent to 100 Percent in a Mixed-Finance Development	Increase Housing Choice Cost Effectiveness	FY 2012	Moved[2]
1.10	Income Skewing for PBVs in Mixed Finance	Cost Effectiveness	FY 2012	Moved[3]
1.11	Increase the Percentage of Housing Choice Voucher Budget Authority for the Agency that is Permitted to Project-Base from 20 Percent up to 25 Percent	Increase Housing Choice	FY 2013	Ongoing
1.12	Development of Replacement Public Housing Units with MTW Block Grant Funds	Increase Housing Choice	FY 2013	Ongoing
1.13	Creation of a Commercial Business Venture at 122 Wilmot Road	Cost Effectiveness	FY 2013	Closed[4]
1.14	Redevelopment of 99 Edgewood Avenue (Dwight Gardens)	Increase Housing Choice	FY 2013	Closed[5]
1.15	RAD Finance Development for Rockview Phase II Rental	Increase Housing Choice	FY 2014	Ongoing
1.16	Crawford Manor Transformation Plan	Increase Housing Choice	FY 2014	On Hold
1.17	Westville Manor Transformation Plan	Increase Housing Choice	FY 2014	Ongoing
2.1	Family Self-Sufficiency (FSS) Program	Increase Family Self-Sufficiency	FY 2007	Ongoing
2.2	Incremental Earned Income Exclusion	Increase Family Self-Sufficiency	FY 2008	Ongoing
2.3	CARES (Caring About Resident Economic Self-Sufficiency)	Increase Family Self-Sufficiency	FY 2012	Ongoing
2.4	Teacher in Residence	Increase Family Self-Sufficiency	FY 2015	Ongoing
3.1	Rent Simplification	Cost Effectiveness	FY 2007	Ongoing
3.2	UPCS Inspections	Cost Effectiveness	FY 2008	Closed[6]
3.3	Revised HQS Inspection Protocol	Cost Effectiveness	FY 2011	Closed[7]
3.4	Mandatory Direct Deposit for Housing Choice Voucher Landlords	Cost Effectiveness	FY 2010	Closed[8]
3.5	HCV Rent Simplification/Cost Stabilization Measures	Cost Effectiveness	FY 2014	Ongoing
N/A	Fulton Park Modernization	Increase Housing Choice	FY 2011	On Hold
N/A	LIPH Income Targeting: Marketing Initiatives for Higher Income Eligible Families	Cost Effectiveness	FY 2008	Closed

[1] Project completed
[2] Moved to "MTW Initiatives Requiring Funding Flexibility Only"
[3] Moved to join Initiative 1.4
[4] Project completed
[5] Project not being pursued
[6] Initiative no longer requires MTW flexibility
[7] Initiative was revised and relaunched as item 3.5
[8] Initiative does not require MTW flexibility

MTW Initiatives Requiring Funding Flexibility Only

Description	MTW Objective	Status
1.9: Increase the Allowed Percentage of Project Based Voucher (PBV) Units from 75 Percent to 100 Percent in a Mixed-Finance Development	Increase Housing Choice Cost Effectiveness	Ongoing
Project Modernization – Various Projects	Increase Housing Choice	Ongoing
Vacancy Reduction – Various Projects	Increase Housing Choice	Ongoing
Resident-Owned Business Development	Increase Family Self-Sufficiency	Ongoing
SEHOP Capital Improvement Program	Increase Family Self-Sufficiency	Ongoing
Prison/Community Reentry	Increase Family Self-Sufficiency	Ongoing
Resident Services for Elderly/Disabled	Increase Family Self-Sufficiency	Ongoing
Cap on Project-Based Units in a Project	Increase Housing Choice Cost Effectiveness	Closed[9]
Creation of New Instrumentality Entities to Support ECC/HANH Goals and Strategic Planning activities	Cost Effectiveness	Ongoing

[9] Closed out in FY 2012 and replaced by the initiative "1.9: Increase the Allowed Percentage of Project-Based Units from 75 Percent to 100 Percent in a Mixed-Finance Development.

II. GENERAL HOUSING AUTHORITY OPERATING INFORMATION

Annual MTW Report
II.4.Report.HousingStock

A. MTW Report: Housing Stock Information

New Housing Choice Vouchers that were Project-Based During the Fiscal Year			
Property Name	Anticipated Number of New Vouchers to be Project-Based *	Actual Number of New Vouchers that were Project-Based	Description of Project
Wilmot Crossing	34	34	34 converted ACC units
Eastview Terrace	53	53	53 converted ACC units
Farnam/Fair Haven	93	0	93 new construction ACC units
Monterey Place I	42	42	42 converted ACC units
Monterey Place II	7	7	7 converted ACC units
Monterey Place III	45	45	45 converted ACC units
Monterey Place IV	42	42	42 converted ACC units
Monterey Place V	17	17	17 converted ACC units
Monterey Place 2R	28	28	28 converted ACC units
Edith B. Johnson	95	95	95 converted ACC units
William Griffin	4	4	4 converted ACC units

Anticipated Total Number of New Vouchers to be Project-Based *	Actual Total Number of New Vouchers that were Project-Based	Anticipated Total Number of Project-Based Vouchers Committed at the End of the Fiscal Year *	Anticipated Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year *
460	367	612	612
		Actual Total Number of Project-Based Vouchers Committed at the End of the Fiscal Year	**Actual Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year**
		519	499

* From the Plan

Other Changes to the Housing Stock that Occurred During the Fiscal Year
N/A

General Description of Actual Capital Fund Expenditures During the Plan Year

MTW Plan Year 2017: Capital Fund Program Expenditure Overview

The MTW advantage allows ECC/HANH to focus essential Capital Funds on the most critical renovation needs for a selection of communities and enable ECC/HANH to align itself with the MTW Strategic plan goals of creating Housing of Choice and increasing Accessibility in housing for residents. Our use of CFP monies have helped the Agency plan for future Organizational Sustainability by evaluation of and design for our existing residential communities. Through planning efforts we have prioritized an energy saving initiative through replacement of obsolete building systems in LIPH properties now and in plans for energy efficient design in all renovation projects. The fungibility of funds with MTW status equips ECC/HANH to reduce Total Development Costs through economies of scale.

MTW Plan Year 2017 faced an aging portfolio with multiple needs beyond the reach of the CFP funding, alone. The climate of reductions in funding continued. CFP funding for 2016 was $3,706,271, and FY 2017 faced a further reduction to $3,350,860 for a rapidly aging portfolio. ECC/HANH development efforts had committed $906,137 of the 2016 CFP funds to payment of Bond Debt Service for the redevelopment of Brookside. Administration costs for CFP 2016 were $370,627, which left only $2,429,506 for allocation to projects portfolio-wide.

Nevertheless, the ECC/HANH goal through MTW is to provide Housing of Choice. Given the funding limitations our goal was to address the urgent Operations' needs within the LIPH portfolio. Our objectives were:

- Reduce life-safety conditions and code non-compliance

- Improve accessibility
- Reduce vacancy
- Provide best allocation of CFP funds in coordination with ECC/HANH Operations and The Glendower Group, ECC/HANH's development entity.

Planning and Development met with Operations to determine the projects with the highest Life-Safety urgency, and divided the projects in phases to spread the allocations over several AMPs and provide a fair distribution of the monies. The list was vetted, approved and project managers assigned. This list is as published in the 2017 MTW Plan.

The following heating projects at two high-rise communities were completed on schedule and in time for the heating season. All heating system components were at or beyond their Estimated Useful Life and in need of replacement:

- George Crawford Manor Completion of Boiler Replacement initiated in FY 2016 ($478,508.26);
- George Crawford Manor In-Unit Heating Replacement ($1,719,902.45);
- Winslow Celentano Completion of Boiler Replacement initiated in FY 2016 ($204,152.29)

In addition to the residents in the two high rise communities having timely access to heat and hot water, the new system components are energy efficient and will provide savings on the Operations end.

During the year, in coordination with the Glendower Group, Inc. ECC/HANH determined to apply for the RAD program at thirteen (13) Public Housing properties. CFP projects in the planning stages were deferred to be addressed with the overall RAD program scope of work in order to economize on design, construction and management costs. This included the following projects:

- Energy Performance Contract, $500,000
- Charles McQueeney Kitchens, Baths, Interiors, $100,000 (Phase 5)
- Winslow-Celentano Compactor Replacement, $175,000
- Winslow-Celentano Exterior Building Lighting, $60,000
- Robert T. Wolfe Cracked Sanitary Sewer, $100,000
- Robert T. Wolfe Accessible Main Entrance, $20,000

The following project at a proposed RAD development, however, was completed with CFP funding due to Life-Safety urgency:

- Matthew Ruoppolo Manor Generator Replacement ($140,410.50)

The outcome is all emergency panels for elevator function and medical equipment use in the common areas is functional for the benefit of the Elderly and Disabled population we serve at Ruoppolo.

Interim in-unit heating upgrades at Westville Manor have been determined to be more economically addressed through Operations, especially since Westville Manor is planned for a future redevelopment. Larger building system replacement at Westville Manor shall be included in the redevelopment scope of work.

In response to the goals to advance accessibility, and reduce vacancy, one 4-bedroom unit was converted for UFAS/ADA compliance at Waverly Townhouses, $131,984. The project spanned two years and the larger portion of the cost was a FY 2016 expenditure. The outcome was that a resident with a longstanding reasonable accommodation was able to be satisfied with a code compliant accessible unit within her family development.

During FY 2017, ECC/HANH continued to supplement its own staffing efforts with abatement and renovation contractors to bring vacant units back on line and expended $37,023 in CFP funds and $40,506.85 in MTW funds. CFP Funds provided permanent housing to 12 families and safer housing to 4 other families. This included:

- Completion and final payment at one vacant 2-bedroom fire damaged Valley Townhouses unit started in FY 2016
- Hazardous materials abatement in:
  - 4 vacancies at Crawford
  - 1 vacancy at Robert T. Wolfe
  - 2 vacancies and 1 occupied unit at McConaughy Terrace
  - 3 vacancies and 1 occupied unit at Westville Manor
  - 1 vacancy and 1 occupied unit at Winslow-Celentano
  - 1 occupied unit at Constance Baker Motley

Planned major work in additional vacancies is deferred and incorporated into RAD conversion scopes of work for the thirteen (13) developments. The following Capital Funds were expended for soft costs for planning, design, contract administration, testing and monitoring—($258,873). The architectural, engineering and environmental consulting services support the multiple LIPH and RAD conversion projects, listed above. Also included in expenditures were Green Physical Needs Assessments that were performed in earlier fiscal years--($86,030); and to support the administration costs of salaries-benefits (CFP only)—($217,966)

These project soft costs have also been essential in the planning and design for the RAD conversion program projects.

The Crawford Manor bathroom upgrades (grab bars) and the start of the McConaughy Terrace Sewer Replacement, were deferred due to the unavailability of sufficient funds. These represent an ongoing need and continue to stay on the ECC/HANH radar for future projects.

The outcomes of the construction work and decisions made in 2017 reflect the MTW Short Term Strategic plan goals to further increases in Housing of Choice and Accessibility, to ensure Organizational Sustainability through development of housing through the Glendower Group, Inc. and ensure Cost Effectiveness through reducing Total Development Costs and replacement of obsolete building systems.

Approved and Actual Capital Expenditures in FY 2017:

PROJECT DESCRIPTION	APPROVED CAPITAL EXPENDITURES PLANNED DURING FY 2017	ACTUAL CAPITAL EXPENDITURES DURING FY 2017	CFP TOTAL	MTW TOTAL	RHF TOTAL	ESTIMATED TOTAL PROJECT COST	COMMENTS
Agency wide UFAS Compliance	$180,000.00	$131,984.00	$131,984.00	$0.00	$0.00	$180,000.00	Completed one 4-bdrm unit started in FY 2016. Expected larger portion of contract to be paid in previous year. End result was a resident with a longstanding Reasonable Accommodation request was able to be housed in her own development.
Agency wide Vacancy Reduction	$200,000.00	$1,631.55	$1,631.55	$0.00	$0.00	$200,000.00	Completed one 2-bdrm unit started in FY 2016; other planned vacant units now in RAD conversion scopes. Fire damage unit was renovated and a family was housed.
Agency wide Needs Assessments	$25,000.00	$86,030.00	$86,030.00	$0.00	$0.00	$25,000.00	Completed agency wide needs assessments initiated in prior years. Expected larger portion of contract to be spent in previous year. Needs assessments completed to assess the needs of the ECC/HANH portfolio in order to provide safe, sanitary and decent housing in good repair. RAD physical needs assessments were the foundation of our efforts to make application to the RAD Program. We are currently applying for 13 developments to be in the RAD program.
AMP Environmental Remediation	$200,000.00	$75,898.25	$35,391.40	$40,506.85	$0.00	$200,000.00	Completed hazardous materials remediation in 11 vacant and 4 occupied units. More vacancy abatement deferred to forthcoming RAD conversion scopes. Of the vacant units, all were renovated and 11 families were housed.

Crawford Bathroom Upgrades w Grab bars	$206,250.00	$0.00	$0.00	$0.00	$0.00	$1,635,000.00	Deferred due to unavailability of sufficient funds. The provision of grab bars throughout Crawford was estimated over $1 million due to the abatement required at each location. Instead of addressing this piecemeal, the heating projects at Crawford were put forward so that the heating could be fully addressed.
Crawford Boiler Replacement	$50,000.00	$478,508.26	$478,508.26	$0.00	$0.00	$945,000.00	Completed boiler and hot water heater replacement started in FY 2016. Expected larger portion of contract to be completed in previous year.
Crawford In-Unit Heating	$787,250.00	$1,719,902.45	$1,719,902.45	$0.00	$0.00	$787,250.00	Initial budget planning underestimated the cost of abating and replacing radiators in 109 units, including relocation costs for residents to be out of their units temporarily during phased construction. Project was completed, and each resident now has individual control of their own heat, which will ultimately provide greater savings and comfort.
McConaughy Sewers	$500,000.00	$0.00	$0.00	$0.00	$0.00	$2,000,000.00	Deferred due to unavailability of sufficient funds.
McConaughy In-Unit Heating	$456,000.00	$0.00	$0.00	$0.00	$0.00	$456,000.00	Contract awarded; work starting FY 2018. 40 obsolete furnaces will be replaced. New energy efficient gas furnaces are more safely installed with chimney liners. Residents will face the cold with a reliable heating system.
McQueeney Kitchens, Baths, Interiors; Bldg Interior (to be included in RAD conversion)	$100,000.00	$0.00	$0.00	$0.00	$0.00	$1,000,000.00	Being incorporated into forthcoming RAD conversion development scope for economies in design and construction costs.

Ruoppolo Generator Replacement	$25,000.00	$140,410.50	$140,410.50	$0.00	$0.00	$145,000.00	Replacement of Emergency Generator ensured power to the Elderly and Disabled community in a highrise development, providing elevator service, lights and power for medical equipment in a power outage. Expected larger portion of the contract to be paid in prior FY.
Westville In-Unit Heating	$257,388.00	$0.00	$0.00	$0.00	$0.00	$257,388.00	Large system replacement deferred pending forthcoming RAD scope determination. On an interim basis, Operations was able to replace furnaces more economically.
Winslow-Celentano Compactor (to be included in RAD conversion)	$175,000.00	$0.00	$0.00	$0.00	$0.00	$175,000.00	Winslow-Celentano Compactor is to be included in the RAD conversion scope of work for economies in design and construction costs.
Winslow-Celentano Building Lighting (to be included in RAD conversion)	$60,000.00	$0.00	$0.00	$0.00	$0.00	$60,000.00	Winslow-Celentano Building Lighting is to be included in RAD conversion scope of work for economies in design and construction costs.
Winslow-Celentano Boiler Replacement	$50,000.00	$204,152.29	$204,152.29	$0.00	$0.00	$585,000.00	New energy efficient system was installed with redundancy. End result is that hot water and hydronic heat is reliable to a highrise building serving an Elderly and Disabled community. Expected larger portion of the contract to be paid in prior FY.
Wolfe Cracked Sanitary Sewer, Community Room (to be included in RAD conversion)	$100,000	$0.00	$0.00	$0.00	$0.00	$100,000.00	Being incorporated into forthcoming RAD conversion development scope for economies in design and construction costs.
Wolfe Accessible Main Entrance (to be included in RAD conversion)	$20,000	$0.00	$0.00	$0.00	$0.00	$20,000.00	Being incorporated into forthcoming RAD conversion development scope for economies in design and construction costs.

IQC A&E	$250,000	$129,733.84	$129,733.84		$0.00	$250,000.00	Planning & Development procured the services of 5 separate Architect and Engineering firms to be able to respond quickly to design and construction management needs in LIPH and future RAD properties. Having a stable of architects ensures receiving economical design fees. Some anticipated costs now in RAD conversion budgets.
IQC Environmental	$250,000	$129,139.00	$129,139.00	$0.00	$0.00	$250,000.00	Environmental testing, scopes and abatement monitoring for multiple projects. Having multiple firms available keeps design costs down, and allows ECC/HANH to respond rapidly to environmental urgencies. Residents live in healthier environments. Some anticipated costs now in RAD conversion budgets.
Brookside Bond Debt Service	$906,138	$906,137.50	$662,669.50	$0.00	$243,468.00	$5,718,018.00	CFFP bond debt from the Brookside redevelopment project is made in accordance with HUD payment schedule. The Bond enabled renovations at a large family development which otherwise would not have been fully funded.
Energy Performance Contract	$500,000	$0.00	$0.00	$0.00	$0.00	$5,278,227.00	Energy performance improvements are being incorporated into forthcoming RAD conversion development scope. Knowledge of anticipated savings are incorporated into our planned Operations budgets.
Administration Salaries-Benefits (CFP only)	$0.00	$217,965.96	$217,965.96	$0.00	$0.00	$0.00	Salaries cover a portion of 2 staff persons' salaries.

Total Approved and Actual Capital Expenditures in FY 2017:

	APPROVED CAPITAL EXPENDITURES PLANNED DURING FY 2017	ACTUAL CAPITAL EXPENDITURES DURING FY 2017	CFP TOTAL	MTW TOTAL	RHF TOTAL	ESTIMATED TOTAL PROJECT COST
TOTALS	$5,298,026.00	$4,221,493.60	$3,937,518.75	$40,506.85	$243,468.00	$20,266,883.00

Overview of Other Housing Owned and/or Managed by the PHA at Fiscal Year End

Housing Program *	Total Units	Overview of the Program
N/A	0	N/A
Total Other Housing Owned and/or Managed	0	

II.5.Report.Leasing

B. MTW Report: Leasing Information

Actual Number of Households Served at the End of the Fiscal Year

Housing Program:	Number of Households Served* Planned	Number of Households Served* Actual
Number of Units that were Occupied/Leased through Local Non-Traditional MTW Funded Property-Based Assistance Programs **	N/A	N/A
Number of Units that were Occupied/Leased through Local Non-Traditional MTW Funded Tenant-Based Assistance Programs **	N/A	N/A
Port-In Vouchers (not absorbed)	N/A	N/A
Total Projected and Actual Households Served	0	0

* Calculated by dividing the planned/actual number of unit months occupied/leased by 12.
** In instances when a Local, Non-Traditional program provides a certain subsidy level but does not specify a number of units/Households Served, the PHA should estimate the number of Households served.

Housing Program:	Unit Months Occupied/Leased****

	Planned	Actual
Number of Units that were Occupied/Leased through Local Non-Traditional MTW Funded Property-Based Assistance Programs ***	N/A	N/A
Number of Units that were Occupied/Leased through Local Non-Traditional MTW Funded Tenant-Based Assistance Programs ***	N/A	N/A
Port-In Vouchers (not absorbed)	N/A	N/A
Total Projected and Annual Unit Months Occupied/Leased	0	0

Explanation for differences between planned and actual households served: N/A

*** In instances when a local, non-traditional program provides a certain subsidy level but does not specify a number of units/Households Served, the PHA should estimate the number of households served.
**** Unit Months Occupied/Leased is the total number of months the housing PHA has occupied/leased units, according to unit category during the year.

	Average Number of Households Served Per Month	Total Number of Households Served During the Year
Households Served through Local Non-Traditional Services Only	N/A	N/A

Reporting Compliance with Statutory MTW Requirements: 75% of Families Assisted are Very Low-Income

HUD will verify compliance with the statutory objective of "assuring that at least 75 percent of the families assisted by the Agency are very low-income families" is being achieved by examining public housing and Housing Choice Voucher family characteristics as submitted into the PIC or its successor system utilizing current resident data at the end of the agency's fiscal year. The PHA will provide information on local, non-traditional families provided with housing assistance at the end of the PHA fiscal year, not reported in PIC or its successor system, in the following format:

Fiscal Year:	2011	2012	2013	2014	2015	2016	2017	2018
Total Number of Local, Non-Traditional MTW Households Assisted	N/A	N/A	N/A	N/A	N/A	N/A	N/A	X
Number of Local, Non-Traditional MTW Households with Incomes Below 50% of Area Median Income	N/A	N/A	N/A	N/A	N/A	N/A	N/A	X
Percentage of Local, Non-Traditional MTW Households with Incomes Below 50% of Area Median Income	N/A	N/A	N/A	N/A	N/A	N/A	N/A	X

Reporting Compliance with Statutory MTW Requirements: Maintain Comparable Mix

In order to demonstrate that the statutory objective of "maintaining a comparable mix of families (by family size) are served, as would have been provided had the amounts not been used under the demonstration" is being achieved, the PHA will provide information in the following formats:

Baseline for the Mix of Family Sizes Served

Family Size:	Occupied Number of Public Housing units by Household Size when PHA Entered MTW	Utilized Number of Section 8 Vouchers by Household Size when PHA Entered MTW	Non-MTW Adjustments to the Distribution of Household Sizes *	Baseline Number of Household Sizes to be Maintained	Baseline Percentages of Family Sizes to be Maintained
1 Person	852	693	0	1545	32%
2 Person	435	726	0	1161	24%
3 Person	327	637	0	964	20%
4 Person	180	445	0	625	13%
5 Person	89	204	0	293	6%
6+ Person	87	152	0	239	5%
Totals	1970	2857	0	4827	100%

Explanation for Baseline Adjustments to the Distribution of Household Sizes Utilized	No baseline adjustments

Mix of Family Sizes Served

	1 Person	2 Person	3 Person	4 Person	5 Person	6+ Person	Totals
Baseline Percentages of Household Sizes to be Maintained **	32%	24%	20%	13%	6%	5%	100%
Number of Households Served by Family Size this Fiscal Year ***	2429	1390	1119	638	313	200	6089
Percentages of Households Served by Household Size this Fiscal Year ****	40%	23%	18%	10%	5%	3%	100%
Percentage Change	8%	-1%	-2%	-3%	-1%	-2%	0%

Justification and Explanation for Family Size Variations of Over 5% from the Baseline Percentages	The increase in 1-person households is accounted for by the return to occupancy of units that had been taken off-line for modernization and redevelopment; the construction of elderly and elderly/disabled housing to meet market need; and the inclusion of 1-bedroom units in newly redeveloped family developments.

* "Non-MTW adjustments to the distribution of family sizes" are defined as factors that are outside the control of the PHA. Acceptable

“non-MTW adjustments” include, but are not limited to, demographic changes in the community’s population. If the PHA includes non-MTW adjustments, HUD expects the explanations of the factors to be thorough and to include information substantiating the numbers used.

** The numbers in this row will be the same numbers in the chart above listed under the column “Baseline percentages of family sizes to be maintained.”

*** The methodology used to obtain these figures will be the same methodology used to determine the “Occupied number of Public Housing units by family size when PHA entered MTW” and “Utilized number of Section 8 Vouchers by family size when PHA entered MTW” in the table immediately above.

**** The “Percentages of families served by family size this fiscal year” will reflect adjustments to the mix of families served that are directly due to decisions the PHA has made. HUD expects that in the course of the demonstration, PHAs will make decisions that may alter the number of families served.

Description of any Issues Related to Leasing of Public Housing, Housing Choice Vouchers or Local, Non-Traditional Units and Solutions at Fiscal Year End

Housing Program	Description of Leasing Issues and Solutions
HCV RAD	Anticipated concerns did not occur; all RAD conversion units were leased up. Any vacancies at the end of FY are due to attrition.
LIPH	Anticipated concerns did not occur during the FY.

Number of Households Transitioned To Self-Sufficiency by Fiscal Year End

Activity Name/#	Number of Households Transitioned *	Agency Definition of Self Sufficiency
CARES	0	Number of households to receive zero subsidy at the end of year six
Prison Reentry	1	Live independently and be lease compliant
Resident Services Elderly/Disabled	36	Graduation from the Program

Households Duplicated Across Activities/Definitions	0
ANNUAL TOTAL NUMBER OF HOUSEHOLDS TRANSITIONED TO SELF SUFFICIENCY	37

* The number provided here should match the outcome reported where metric SS #8 is used.

II.6.Report.WaitList

C. MTW Report: Wait List Information

Wait List Information at Fiscal Year End

Housing Program(s) *	Wait List Type **	Number of Households on Wait List	Wait List Open, Partially Open or Closed ***	Was the Wait List Opened During the Fiscal Year
MTW Public Housing	Site Based	6,291	Partially Open	Yes
HCV	Tenant Based Vouchers	2,499	Closed	No

** Select Housing Program*: Federal MTW Public Housing Units; Federal MTW Housing Choice Voucher Program; Federal non-MTW Housing Choice Voucher Units; Tenant-Based Local, Non-Traditional MTW Housing Assistance Program; Project-Based Local, Non-Traditional MTW Housing Assistance Program; and Combined Tenant-Based and Project-Based Local, Non-Traditional MTW Housing Assistance Program.

*** Select Wait List Types:* Community-Wide, Site-Based, Merged (Combined Public Housing or Voucher Wait List), Program Specific (Limited by HUD or Local PHA Rules to Certain Categories of Households which are Described in the Rules for Program Participation), None (If the Program is a New Wait List, Not an Existing Wait List), or Other (Please Provide a Brief Description of this Wait List Type).

*** For Partially Open Wait Lists, provide a description of the populations for which the waiting list is open.

Elderly only; Elderly/Disabled; Site-based 4 & 5 Bedroom; Accessible unit waitlists remain open

If Local, Non-Traditional Program, please describe:

N/A

If Other Wait List Type, please describe:

N/A

If there are any changes to the organizational structure of the wait list or policy changes regarding the wait list, provide a narrative detailing these changes.

No Changes

Who We Serve

In FY 2017, ECC/HANH served 6,089 families (13,991 individuals) through its low-income public housing (LIPH) and housing choice voucher (HCV) programs. During the 2001 baseline year, ECC/HANH served a total of 4,827 families. Current numbers reflect an increase of 1,262 families or 26%, indicating that MTW status has allowed ECC/HANH to increase the number of families being served. The vast majority of these families fall in the extremely low-income category with 77% of LIPH and HCV families (4,673 total households) in this income category. Most households are small, with 40% of all households containing only one member and 81% containing between one and three members. LIPH units hold a greater ratio of one-member households, at 47%, compared to 37% in HCV units.

While ECC/HANH's HCV units house a majority of the organization's residents (74%), the LIPH units house a greater ratio of vulnerable populations. In the over 1,700 LIPH units, 67% are minority households, 84% of are "Extremely Low-Income," 46% receive public assistance, and 56% receive Social Security. In LIPH units, average incomes are 17% lower than the HCV average of $16,258.

ECC/HANH Population Demographics-2017					
	LIPH		HCV		Total
Total Households	**1,774**	**29%**	**4,315**	**71%**	**6,089**
Total Individuals	3,664	26%	10,327	74%	13,991
Average Income	$13,374		$16,258		
Average TTP	$302		$379		
Households with Extremely Low-Income	1,488	84%	3,185	74%	77%
Households with Very Low-Income	192	11%	763	18%	16%
Households with Low-Income	47	3%	245	6%	5%
Households Above Low-Income	47	3%	122	3%	3%
Households with No Income	75	4%	200	5%	5%
Households with Employment Income	541	36%	1,738	40%	37%
Households with Public Assistance	813	46%	351	8%	19%
Households with Social Security	985	56%	1,835	43%	46%
Households with Other Income	359	20%	414	10%	13%
Minority Households	1,180	67%	2,505	58%	61%
Non-Minority Households	594	33%	1,810	42%	39%
1 Member	836	47%	1,593	37%	40%
2 Member	409	23%	981	23%	23%
3 Member	282	16%	837	19%	18%
4 Member	135	8%	503	12%	10%
5 Member	67	4%	246	6%	5%
6 Member	29	2%	105	2%	2%
7 Member	14	1%	28	1%	1%
8+ Member	2	0%	22	1%	0%

Low-Income Public Housing

ECC/HANH completed FY 2017 with 1,849 units of public housing, as the agency had planned. This total included 878 site-based family units (48% of LIPH stock), 637 elderly/disabled units (34% of LIPH stock), 144 elderly-only units (8% of LIPH stock), and 190 scattered units (10% of LIPH stock). Over FY 2017, 461 were removed: 100 elderly-only units, 62 elderly/family units, and 299 family units. This reflects a reduction of 1,116 units since the beginning of ECC/HANH's MTW status, when ECC/HANH's housing stock included 2,965 total units. No new units were added over FY 2017. As noted previously, 26% more families are being assisted through ECC/HANH's affordable housing programs than were before the MTW program. It is important to note that, while ECC/HANH is decreasing their LIPH stock, they are increasing their RAD stock and thus are not losing housing opportunities.

During FY 2017, the following portfolio changes took place:

Development Name	Development Type	Units beginning FY 2017	Planned Units to Add	Planned Units to Remove during FY 2017	Planned Units at end of FY 2017	Actual Units at end of FY 2017
CB Motley	Elderly	45	0	0	45	**45**
Edith Johnson Towers	Elderly	95	0	95	0	**0**
Katherine Harvey	Elderly	17	0	0	17	**17**
Newhall Gardens	Elderly	26	0	0	26	**26**
Prescott Bush	Elderly	56	0	0	56	**56**
William Griffin	Elderly	4	0	4	0	**0**
Crawford Manor	Elderly /Disabled	109	0	0	109	**109**
Fairmont Heights	Elderly /Disabled	98	0	0	98	**98**
McQueeney Towers	Elderly /Disabled	150	0	0	150	**150**
RT Wolfe	Elderly /Disabled	93	0	0	93	**93**
Ruoppolo Manor	Elderly /Disabled	105	0	0	105	**105**
Val Macri	Elderly /Disabled	17	0	0	17	**17**
Winslow-Celentano	Elderly /Disabled	65	0	0	65	**65**
Monterey Phase 2R	Elderly/Family	28	0	28	0	**0**
Wilmot	Elderly/Family	34	0	34	0	**0**
Brookside Phase 1	Family	50	0	0	50	**50**
Brookside Phase II	Family	50	0	0	50	**50**
Eastview Terrace	Family	53	0	53	0	**0**
Essex Townhouses	Family	35	0	0	35	**35**
Farnam Courts	Family	185	0	93	92	**92**
McConaughy Terrace	Family	201	0	0	201	**201**
Monterey 1	Family	42	0	42	0	**0**
Monterey 2	Family	7	0	7	0	**0**

Monterey 3	Family	45	0	45	0	**0**
Monterey 4	Family	42	0	42	0	**0**
Monterey 5	Family	17	0	17	0	**0**
New Rowe	Family	46	0	0	46	**46**
Quinnipiac Terrace I	Family	58	0	0	58	**58**
Quinnipiac Terrace 2	Family	56	0	0	56	**56**
Quinnipiac Terrace 3	Family	17	0	0	17	**17**
Rockview Phase 1 Rental	Family	30	0	0	30	**30**
Valley Townhouses	Family	40	0	0	40	**40**
Waverly Townhouses	Family	52	0	0	52	**52**
Westville Manor	Family	151	0	0	151	**151**
Scattered Site - East	Scattered Sites	52	0	0	52	**52**
Scattered Site - Multi Family	Scattered Sites	115	0	0	115	**115**
Scattered Site - West	Scattered Sites	23	0	0	23	**23**
Total		**2,309**	**0**	**460**	**1,849**	**1,849**

Offline Units	**Actual Units at end of FY 2017**
Police Officer	11
Self-Sufficiency	6
Resident Services Activities	18
Administrative Uses	3
Total	**38**

Housing Choice Voucher Program

At the start of FY 2017, ECC/HANH had budget authority for 4,394 MTW Housing Choice Vouchers, 152 RAD vouchers and 266 Tenant Protection Vouchers for Church St. South former residents, 80 Single Room Occupancy (SRO) vouchers and 85 Veterans Administration Supportive Housing (VASH) vouchers for a total voucher capacity of 4,977 total vouchers. Of 460 RAD vouchers planned for conversion at the beginning of the FY, 367 were converted to RAD bringing the total count of RAD vouchers to 519. ECC/HANH ended the year with a total voucher count of 5,344 and a total of 4,056 vouchers utilized.

Housing Program & Type	Description	Units beginning FY 2017	Planned Units to be Removed	Planned Units to be Added	Actual Units Added During FY 2017	Actual Units at end of FY 2017	Actual Vouchers Utilized
Total MTW vouchers authorization		4394	0	0	0	4394	3174
Tenant Protection Vouchers Church Street South	Vouchers received to assist dislocated Church St. South residents	266	0	0	0	266	227
RAD conversion vouchers	vouchers for RAD conversions	152	0	460	367	519	498
Mod Rehab-Single Room Occupancy	80 SRO units	80	0	0	0	80	77
HUD VASH	85 Veterans Supportive Housing	85	0	0	0	85	80
Total Voucher Capacity		4977	0	460	367	5344	4056
Project Based Vouchers							
PBV Efforts to End Homelessness							
PBV Fellowship I	100% Supportive Housing	18	0	0	0	18	17
PBV Fellowship II	100% Supportive Housing	5	0	0	0	5	5
PBV Also Cornerstone (Continuum of Care)	100% Supportive Housing	4	0	0	0	4	3
PBV Norton Court (Continuum of Care)	100% Supportive Housing	12	0	0	0	12	7
PBV Cedar Hill	100% Supportive Housing	4	0	0	0	4	3
PBV West Village	52 Howe St. – 100% Supportive Housing Single Room Occupancy Units	15	0	0	0	15	15
PBV Efforts to End Homeless Subtotal		58	0	0	0	58	50
PBV Housing Redevelopment						0	
PBV QT Phase 1	81 units – 28% of units PBV	23	0	0	0	23	22

PBV QT Phase 2	79 units – 29% of units PBV	23	0	0	0	23	21
PBV QT Phase 3	33 rental units 48% are PBV	16	0	0	0	16	16
PBV Eastview Phase I	102 units – 48% of units are PBV	49	0	0	0	49	43
PBV Brookside Phase I Rental	100 affordable rental mixed - 50% of units are PBV	51	0	0	0	51	45
PBV Brookside Phase 2 Rental	51 PBV for affordable housing for families in 1 to 4 bedroom units	51	0	0	0	51	46
PBV Rockview Phase I Rental	47 units for affordable housing, 61% of units are PBV	47	0	0	0	47	47
PBV New Rowe Building	104 affordable mixed use, mixed finance development 31% of units are PBV	32	0	0	0	32	31
PBV 122 Wilmot Road	13 PBV for affordable housing for elderly in 1 and 2 bedroom accessible units	13	0	0	0	13	12
PBV Park Ridge	100% Elderly/disabled housing	60	0	0	0	60	59
PBV Frank Nasti Existing	Scattered Site PBV-Families	11	0	0	0	11	8
PBV CUHO Existing	Scattered site PBV units for families	24	0	0	0	24	17
PBV CUHO New Construction	Affordable 8 unit rental housing development- Families	8	0	0	0	8	1
PBV Shartenburg	20 PBV units for the City initiative 360 State-Families	20	0	0	0	20	13
PBV Mutual Housing Assoc. (Neighborhood Works/New Horizon) New Construction	8 rehabilitation / 12 new construction affordable housing - 45.5% of units are PBV	20	0	0	0	20	17
PBV Mutual Housing Assoc. (Neighborhood Works/New Horizon)	10 MHA PBV units	10	0	0	0	10	8
PBV Casa Otonal		12	0	0	0	12	10
PBV Housing Redevelopment Subtotal		469	0	0	0	469	416
RAD conversion							
RAD 122 Wilmot Road	34 PBV	0	0	34	34	34	32

RAD Eastview Phase I	102 units – 48% of units are PBV; remaining 53 ACC units converted to RAD PBV	0		53	53	53	52
RAD Ribicoff (Twin Brook)– 9%	44 units of RAD converted ACC units – 80% PBV; 11 market rate units	44	0	0	0	44	42
RAD Ribicoff (Twin Brook) -4%	51 units of RAD converted ACC units	51	0	0	0	51	46
RAD Fair Haven/ Farnam	55 units of RAD converted ACC units and 2 PBVs	57	0	0	0	57	57
RAD Monterey Place- Edith B Johnson	95 units of RAD converted ACC units	0	0	95	95	95	90
RAD Monterey Place- William Griffin	4 units of RAD converted ACC units	0	0	4	4	4	4
RAD Monterey Place 1	42 units of RAD converted ACC units	0	0	42	42	42	42
RAD Monterey Place 2	7 units of RAD converted ACC units	0	0	7	7	7	7
RAD Monterey Place 3	45 units of RAD converted ACC units	0	0	45	45	45	42
RAD Monterey Place 4	42 units of RAD converted ACC units	0	0	42	42	42	42
RAD Monterey Place 5	17 units of RAD converted ACC units	0	0	17	17	17	15
RAD Monterey Place 2R	28 units of RAD converted ACC units	0	0	28	28	28	27
RAD McQueeney Towers	150 units of converted ACC units	0		0	0	0	0
RAD Fairmont Heights	98 units of converted ACC units	0	0	0	0	0	0
RAD Matthew Ruoppolo Manor	105 units of converted ACC units	0	0	0	0	0	0
RAD Winslow Celentano	65 units of converted ACC units	0	0	0	0	0	0
RAD Robert T. Wolfe	93 units of converted ACC units	0	0	0	0	0	0
RAD Prescott Bush	56 units of converted ACC units	0	0	0	0	0	0
RAD Waverly Townhouses	52 units of converted ACC	0	0	0	0	0	0
RAD Valley Townhouses	40 units of converted ACC	0	0	0	0	0	0
RAD CB Motley	45 units of converted ACC	0	0	0	0	0	0
RAD Newhall Gardens	26 units of converted ACC	0	0	0	0	0	0

RAD Katherine Harvey Terrace	17 units of converted ACC	0	0	0	0	0	0
RAD Fulton Park	12 units of converted ACC	0	0	0	0	0	0
RAD Chamberlain Court	7 units of converted ACC	0	0	0	0	0	0
RAD Chamberlain Court	1 units of converted ACC	0	0	0	0	0	0
RAD Conversion Subtotal		152	0	460	367	519	498
PBV + RAD Subtotal		621	0	460	367	988	914
Tenant Based Vouchers (not assigned to special use)		3113	0	0	0	3113	3174
TBV Supportive Housing Efforts						0	
Tenant Based DHMAS Supportive – Housing First	Supportive Housing	10	0	0	0	10	6
DMHAS Mental Health Transformation Grant – FUSE	Supportive Housing	10	0	0	0	10	8
Family Options – Homeless	Supportive Housing	15	0	0	0	15	9
Permanent Enrichment	Supportive Housing	10	0	0	0	10	7
Foreclosure Protection	Foreclosure Protection	40	16	0	0	24	18
Family Unification Supportive Housing	DCF Family	20	0	0	0	20	16
Homelessness/Imminent Danger of Homelessness	(Formerly Foreclosure PBV)	15	0	25	25	40	2
Supportive Housing/Homelessness Prevention I	Supportive Housing/Homelessness Prevention	51	0	0	0	51	31
Project Longevity	20 vouchers for city initiative targeting homeless former offenders	20	0	0	0	20	19
Re-entry Fresh Start	10 vouchers for re-entry applicants through City Fresh Start	0	0	10	10	10	1
Supportive Housing Efforts Subtotal		201	25	35	35	210	117
Expanding Housing Choice						0	
CARES (SEHOP)	10 Vouchers set aside for CARES participants	10	0	0	0	10	0
Section Eight Home Ownership Program (SEHOP)	50 Vouchers set aside for LIPH & HCV Homeownership Program	50	0	10	10	60	26
West Rock Homeownership Phase 1	5 new homeownership units	5	0	0	0	5	0
William T. Rowe relocation vouchers		9	9	0	0	0	0

Tenant Protection Vouchers for Church St. South	270 vouchers for CSS dislocated residents	266	0	0	0	266	227
State and Local Initiatives vouchers to support housing choice and preservation	New Activity 50 Vouchers	50	0	0	0	50	0
Working Young Adults/ Working Families Housing Choice Vouchers	Closed Activity	100	100	0	0	0	0
Expanding Housing Choice Subtotal		490	109	10	10	391	253
TENANT BASED VOUCHERS SUBTOTAL		3,804	134	45	45	3680	3,544
PBV + RAD+ TBV MTW SUBTOTAL		4483	134	505	412	4761	4,056
Non-MTW – VASH		85	0	0	0	85	80
Non-MTW – SRO		80	0	0	0	80	77
Projected vs Actual Utilized		4648				4926	4213
MTW Voucher Utilization Rate		*93%*				*92%*	*79%*
Available MTW for Use		*329*				*418*	*1123*

III. PROPOSED MTW ACTIVITIES

All proposed activities that are granted approval by HUD are reported on in Section IV as 'Approved Activities'.

IV. APPROVED MTW ACTIVITIES

Activities to Increase Housing Choice

Initiative 1.2 – Local Total Development Cost (TDC) Limits

Approved in FY 2009 and implemented in FY 2010.

Description and Status

ECC/HANH has determined that HUD's standard TDC and HCC limits do not reflect the local marketplace conditions for development and redevelopment activities. HUD's TDC and HCC cost limit reflect an industry average, but construction costs in New Haven are higher than the national average. ECC/HANH has identified the need to use products that are of a higher level of quality so that the organization can develop its costs limits to:

- Reduce maintenance cost
- Increase durability,
- Enhance the quality of life of the residents, and
- Remain marketable and competitive in the local rental market.

ECC/HANH's design standards include materials that are of higher quality than average for long-term viability and durability. These units are more marketable and expand the quality of housing for low-income families. The developments are more energy efficient, have a longer useful life and require less emergency work order requests. A secondary positive impact is the anticipated faster lease ups and fewer turnovers.

ECC/HANH prepared a TDC and HCC schedule, which reflects construction and development costs in New Haven. ECC/HANH first submitted its revised Alternate TDC and HCC schedule as part of the Appendix to the MTW FY 2009 Report. On July 2, 2010, ECC/HANH received HUD approval for its Alternate TDCs and HCC limits. During FY 2012, ECC/HANH submitted revised TDC and HCC limits that were approved in FY 2014. During FY 2014, ECC/HANH continued to use the approved 2009 TDC and HCC limits while utilizing them for the Rockview Redevelopment. The TDC schedule was updated in the 2017 MTW Plan Amendment in Appendix 2.

The alternate Housing Construction Costs (HCC) and Total Development Costs (TDC) used historical data from recent HANH mixed-income developments by building type and bedroom size in addition to current RS Means Building Cost Data by building type, gross square footage and applicable hard costs. The data showed that it is necessary to utilize an alternate HCC and TDC. The data further confirmed that the New Haven MSA construction costs are on par with those of Fairfield County, which is more similar to the New York City market.

The developments that have used the alternate TDC schedule limits to date are as follows: Eastview Terrace Phase 1, William T. Rowe, Quinnipiac Terrace Phase III, 122 Wilmot Road, Brookside Phase 1, Brookside Phase 2, Rockview Phase I, Fair Haven, Ribicoff 4%, and Ribicoff 9%. During the FY 2017, Farnam Phase 2 on site closed utilizing the TDC schedule limits. As a result, to date, ECC/HANH has preserved 681 units utilizing the TDC schedule.

Impact

The ability to use TDC representing the cost of construction within the locale provides for quality, marketable units, reduction in maintenance cost, and enhanced quality of life for our residents and housing of choice. If not for the alternate TDC, ECC/HANH could not redevelop quality sustainable affordable housing because of construction cost. ECC/HANH has been undergoing a concerted effort to convert LIPH units to RAD. Because of the subsequent decrease in LIPH units, ECC/HANH did not meet their original benchmark for "Units of Housing Preserved" and did not expect to meet the benchmark in the future. Therefore, a new benchmark was developed (Decrease of 5% from previous year). ECC/HANH met all the benchmarks as a result of utilizing a local TDC such as leveraged dollars, increase in REAC scores, decrease in work orders, and reduction of utility cost.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark***	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	- 2,965 units (frozen 2001 base)	Decrease of 5% from previous year	- 2017: 681 units - 2016: 2,310 units - 2015: 2,447 units - 2014: 2,447 units - 2013: 2,613 units	Yes

** Prior to FY 2016, the benchmark was 2,529 units. However, ECC/HANH is reducing the number of LIPH units and converting them to RAD, so the benchmark was updated.*

CE #4: Increase in Resources Leveraged (MTW Leverage Ratios)*				
Unit of Measurement	**Baseline****	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Brookside I	1.7	2.0	2016: 2.3 2015: 2.3	Yes
Brookside II	1.7	2.0	2016: 7.5 2015: 7.5	Yes
Rockview I	1.7	2.0	2016: 4.6 2015: 4.6	Yes
122 Wilmot Road	1.7	2.0	2016: 3.2 2015: 3.2	Yes
Brookside Homeownership	1.7	2.0	2016: 1.7 2015: 1.6	Yes
Ribicoff I	1.7	2.0	2016: 6.1 2015: 6.1	Yes

Ribicoff II	1.7	2.0	2016: 1.2 2015: 1.2	No
Quinnipiac Terrace I	1.7	2.0	2016: 5.5 2015: 5.5	Yes
Quinnipiac Terrace II	1.7	2.0	2016: 8.6 2015: 8.6	Yes
Quinnipiac Terrace III	1.7	2.0	2016: 4.2 2015: 4.2	Yes
Eastview I	1.7	2.0	2016: 0.6 2015: 0.6	No
Rowe	1.7	2.0	2016: 4.5 2015: 4.5	Yes
Farnam Phase 1	1.7	2.0	2016: 3.1	Yes
Fair Haven	1.7	2.0	2015: 3.1	Yes

** This chart will be removed beginning FY 2018, per a technical amendment to the FY 2018 Annual Plan.*
*** Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace 2.*

Internal Metrics

Redevelopment Metrics

Internal Metric #1: Increase in Agency Revenue*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Increase in Agency Revenue – Farnam Phase 1 Redevelopment Fees	$0	$0	2017: $890,453	Yes
Increase in Agency Revenue – Ribicoff 9% Redevelopment Fees	$0	$0	2016: $2,000,000	Yes
Increase in Agency Revenue – Ribicoff 4% Redevelopment Fees	$0	$0	2016: $2,077,570	Yes
Increase in Agency Revenue – Fair Haven Redevelopment Fees	$0	$0	2016: $2,905,743	Yes
Increase in agency revenue - Rowe redevelopment fees	$0	$0	2014: $893,374	Yes
Increase in agency revenue - Brookside Phase 1 redevelopment fees	$0	$0	2014: $1,081,094	Yes
Increase in agency revenue - Brookside Phase 2 redevelopment fees	$0	$0	2014: $725,704	Yes
Increase in agency revenue - Rockview Phase I redevelopment fees	$0	$0	2014: $744,389	Yes
Increase in agency revenue - 122 Wilmot Road redevelopment fees	$0	$0	2014: $1,419,767	Yes

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those reflecting alternate TDCs)	10% increase. REAC scores would reach 88	See "REAC Scores for LIPH Properties" table below	Yes, for applicable developments.
Internal Metric #3: Average work order				
Unit of Measurement	**Baseline**	**Benchmark****	**Outcome**	**Benchmark Achieved?**
Work orders per property	N/A	Brookside Phase I: 1,000 (10 work/year) Brookside Phase II: 1,000 QT1: 560 QT2: 580 QT3: 170 Eastview: 1,020	See "Number of Annual Work Orders for LIPH Properties" table below	No. Applicable developments with benchmarks and for which data was available were higher than the benchmarks. Those without benchmarks were above the previous year totals, except for Fair Haven, which had no previous data and Farnam Courts, which saw a decrease in work orders but was still above 600.
Internal Metric #4: TDC***				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average (Actual TDC - TDC at HUD's limits)/number of units	HUD's approved TDC limit	This metric cannot be narrowly defined into a single figure. However, HANH's goal is not to exceed HUD's approved	Ribicoff 9%: TDC $301,862 Ribicoff 4%: TDC $322,005 Fair Haven: TDC: $375,294 Farnam: TDC: $313,596	Yes

		alternative TDC limit.		
Internal Metric #5: HCC*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average (Actual HCC -HCC at HUD's limits)/number of units	HUD's Approved HCC limit	This metric cannot be narrowly defined into a single figure. However, HANH's goal is not to exceed HUD's approved alternative HCC limit.	Ribicoff 9%: HCC $197,444 Ribicoff 4% HCC $198,524 Fair Haven HCC $214,291 Farnam HCC $180,365	Yes
Internal Metric #6: Utility expenses per unit**				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Reduction of utility expenses per unit, pre and post redevelopment – Electric	Valley Waverly: $900 per unit per month in 2012.	5% reduction. Electric utility expenses would reach approximately $858.33 per unit.	See "Annual Per Unit Per Month Utility Costs, Electricity" table below	Yes
Reduction of utility expenses per unit, pre and post redevelopment – Gas	Valley Waverly: $60.83 per unit per month in 2012.	5% reduction. Gas utility expenses would reach approximately $65.83 per unit.	See "Annual Per Unit Per Month Utility Costs, Gas" table below	Yes
Internal Metric #7: Crime rate***				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47.	10% reduction in number of major crimes.	See "Major Crimes" table below	Yes
Internal Metric #8: Occupancy***				

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Occupancy	In FY 2001, Brookside Phase I: 85% In FY 2001, Brookside Phase II: 0% In FY 2001, Quinnipiac I: 83% In FY 2001, Quinnipiac II: 0% In FY 2001, Quinnipiac III: 0% In FY 2008, Rowe: 76%	95%	See "Point in Time Occupancy Rates for LIPH Properties" table below	Yes, for applicable developments and overall occupancy rate.

** ECC/HANH and its affiliates has created a new stream of revenue from redevelopment activities. The redevelopment fees are paid by investors and compensate ECC/HANH for administrative costs. This chart will be removed beginning FY 2018, per a technical amendment to the FY 2018 Annual Plan.*

*** In FY 2018, benchmarks will be established for additional developments.*

**** The TDC and HCC baselines were updated from "Zero at program inception" to HUD's Approved TDC/HCC." The TDC and HCC metrics will be updated in an amendment to the 2017 MTW Plan.*

***** In 2012, ECC/HANH calculated utilities savings by comparing post-redevelopment average per-unit utility costs at Eastview Terrace and Quinnipiac Terrace to average per-unit utility cost at Valley Waverly, which is not a redeveloped building. ECC/HANH requested data from the public utility to update the later fiscal years but did not receive that information. Utility costs began being presented by per unit per month in FY 2017.*

****** The baseline will be changed to included Farnam Courts and Fair Haven in FY 2018, per a technical amendment to the FY 2018 Annual Plan.*

REAC Scores for LIPH Properties

	REAC Scores								
Development	**2017**	**2016**	**2015**	**2014**	**2013**	**2012**	**2011**	**2010**	**2009**
Brookside Phase I*	95		92						
Brookside Phase II*	91		95						
Constance Motley**			90						
Crawford Manor	78	69			88				
Edith D Johnson Towers**			95						
Eastview Terrace*/**						95			
Farnam Courts*/**		56							
Katherine Harvey Terrace**	86			95					
McConaughy Terrace						82	78	58	70
McQueeney**		70				64	59	85	54
Monterey 1**				96					
Monterey 2**				92					
Monterey 4**				92					
Monterey 5**				91					

Newhall Gardens**		96							
Prescott Bush Mall**			97						
Quinnipiac Terrace Phase I*	82		88		98	89			
Quinnipiac Terrace Phase II*	93		85						
Quinnipiac Terrace Phase III*		85							
Ribicoff Cottages -EXT**						82	82	68	91
Robert T Wolfe**	71		85			82	49	80	51
Rockview Phase I*	97		96						
Ruoppolo/Fairmont**					86	79	65	61	56
St. Anthony II	58								
Val Macri			94						
Waverly Townhouses**	65								
Westville Manor	58					47	51	35	90
Wilmot Crossing*/**				93					
Winslow-Celentano**	58	70			84	71	74	72	53
WT Rowe*	90		99						
Scattered Sites II	80								
Scattered Sites III	67	61							

** Redevelopment **RAD*

Number of Annual Work Orders for LIPH Properties

	Work Orders		
Development	**FY 2017**	**FY 2016**	**Other Years**
Brookside Phase I	No data	461	2013: 1,311
Brookside Phase II	No data	472	
Brookside I, Brookside II & Rockview I	N/A	N/A	2014: 1,562
Charles T. McQueeny	1,008	1,312	N/A
Constance B Motley	609	573	N/A
Crawford	1,461	No data	N/A
Eastview Terrace Phase II	3	No data	2013: 287; 2014:284
Eastview Terrace	1,323	625	N/A
Essex Townhouses	220	190	N/A
Fairhaven Chatham	92	No data	N/A
Fairhaven Eastview	129	No data	N/A
Fairmont Heights	756	1024	N/A
Farnam Courts	607	1002	N/A
George Crawford	No data	1,706	N/A
Katherine Harvey Terrace	172	132	N/A
Mathew Ruoppolo	535	607	N/A
McConaughy Terrace	2,981	1,612	N/A
Newhall Gardens	312	360	N/A
Prescott Bush	734	464	N/A
Quinnipiac I	2,826	531	2013: 204

Quinnipiac II	2,815	608	2013: 273
Quinnipiac III	1,148	277	2013: 289
Quinnipiac Terrace I, II & III	N/A	N/A	2014: 1,351
Ribicoff Cottage	404	122	N/A
Robert T. Wolfe	978	465	N/A
Rockview	No data	48	N/A
Scattered Sites	1,586	990	N/A
St Anthony	52	No data	N/A
Valley/Waverly	1,339	1,470	N/A
Westville	961	1,206	N/A
William T. Row	585	649	N/A
Wilmot	338	175	N/A
Winslow Celentano	933	765	N/A

Annual Per Unit Per Month Utility Costs, Electricity

	Electricity Utility Costs Per Unit Per Month		
Development	**FY 2017***	**FY 2016**	**Other Years**
Eastview I	$68.97	$75.07	2012: $821.92
Fair Haven	$124.57	No data	
Quinnipiac	No data	No data	2012: $473.75
Ribicoff 4%	$159.52	No data	
Ribicoff 9%	$183.81	No data	
Wilmot	$143.41	No data	
WT Rowe	$671.59	$105.46	
Valley Waverly	No data	No data	2012: $900

Annual Per Unit Per Month Utility Costs, Gas

	Gas Utility Costs Per Unit Per Month		
Development	**FY 2017**	**FY 2016**	**Other Years**
Eastview I	$11.99	$7.00	2012: $27.75
Fair Haven	$31.17	No data	
Quinnipiac	No data	No data	2012: $34.58
Ribicoff 4%	$13.28	No data	
Ribicoff 9%	$22.21	No data	
Wilmot	$9.88	No data	
WT Rowe	$32.22	$6.02	
Valley Waverly	No data	No data	2012: $60.83

Major Crimes

	Number of Major Crimes*			
Development	**2017**	**2016**	**2014**	**2012**
Eastview Terrace	7	1	0	0

Ribicoff 4%	1	0	N/A	N/A
Ribicoff 9%	1	0	N/A	N/A
Quinnipiac Terrace	0	2	4	3
West Rock (122 Wilmot, Brookside I and II)	N/A**	N/A**	7	25
Westville	1	0	0	0
William T Rowe	0	1	0	0
Wilmot	1	0	0	N/A

** Crime data was not available for all past years*

*** After FY 2014, data was reported by individual developments rather than for the entire West Rock community.*

Point in Time Occupancy Rates for LIPH Properties

	Occupancy Rate		
Development Name	**2017***	**2016**	**Other Years**
Brookside Phase I	98.00%	100.00%	2013: 100%; 2014: 97%
Brookside Phase II	100.00%	100.00%	2013:100%; 2014: 98%
CB Motley	93.33%	97.78%	N/A
Crawford Manor	88.57%	95.24%	N/A
Edith Johnson Towers	89.47%	91.58%	N/A
Essex Townhouses	96.97%	96.97%	N/A
Fairmont Heights	93.68%	94.74%	N/A
Farnam Courts	100.00%	79.89%	N/A
Katherine Harvey	100.00%	93.75%	N/A
McConaughy Terrace	96.45%	97.46%	N/A
McQueeney Towers	95.86%	98.62%	N/A
New Rowe	97.83%	95.65%	2013: 99%; 2014: 100%
Newhall Gardens	100.00%	100.00%	N/A
Prescott Bush	98.21%	98.21%	N/A
Quinnipiac Terrace I	100.00%	100.00%	2013: 96%
Quinnipiac Terrace III	100.00%	92.86%	2013: 97%
Quinnipiac Terrace III	100.00%	100.00%	2013: 97%
Quinnipiac Terrace I, II & III	N/A	N/A	2014: 98.5%
Rockview Phase 1 Rental	96.67%	100.00%	N/A
RT Wolfe	98.88%	98.88%	N/A
Ruoppolo Manor	96.08%	95.10%	N/A
Scattered Site - East	97.78%	88.46%	N/A
Scattered Site - Multi Family	99.12%	96.52%	N/A
Scattered Site - West	100.00%	95.45%	N/A
Val Macri	100.00%	100.00%	N/A
Valley Townhouses	94.87%	97.44%	N/A
Waverly Townhouses	96.45%	89.80%	N/A
Westville Manor	95.92%	96.62%	N/A
William Griffin	75.00%	100.00%	N/A

Winslow-Celentano	100.00%	93.65%	N/A
Average Occupancy	**96.52%**	**95.07%**	N/A

** Date: 9/30/2017*

Challenges or Changes

Most benchmarks were achieved and no changes were made to this activity.

Initiative 1.4 and 1.10 – Defining Income Eligibility for the Project Based Voucher Programs

Approved in FY 2012 and implemented in FY 2013

Description and Status

To be eligible to receive assistance under the Project-Based Voucher Program, a family must meet the following income limits under Section 8(o) (4) of the Housing Act of 1937: (A) Be a very low-income family; (B) Be a family previously assisted under this title; (C) Be a low-income family that meets eligibility criteria specified by the public housing agency; (D) Be a family that qualifies to receive a voucher in connection with a homeownership program approved under Title IV of the Cranston-Gonzalez National Affordable Housing Act; or (E) Be a family that qualifies to receive a voucher under section 223 or 226 of the Low-Income Housing Preservation and Resident Homeownership Act of 1990.

In order to promote housing choice, which includes developing communities that provides housing that serves a wide range of incomes and to reduce the cost of the program, ECC/HANH used the flexibility granted to it under Attachment C, Section C(3)(a) of the MTW Agreement (see Appendix 7) to establish eligibility criteria under its Administrative Plan to require that:

- No less than 40% of the project-based vouchers (PBV) awarded in any year be awarded to families with incomes at or below 30% of the area median income (AMI), adjusted for family size. [ONGOING]
- ECC/HANH will award up to 15% of the PBVs allocated for any mixed-finance project (all new construction) to families with incomes between 50 and 80% of AMI for Brookside Phase I Rental. [COMPLETED]
- Forty-five percent of PBVs may be allocated to families with income between 50 and 80% AMI for Brookside Phase II rental mixed-finance development. [COMPLETED]

This initiative includes the developments listed in the following chart.

Initiative 1.4 and 1.10

Income Eligibility for Project Based Voucher Program

PBV in Mixed Finance Developments

Development	Units at or below 30% of AMI	Percent	Units at 30-50% of AMI	Percent	Units at 50-60% of AMI	Percent	Total Units
Brookside I	0	0%	42	84%	8	15%	50
Brookside II	0	0%	30	59%	21	41%	51
Rockview	20	43%	20	43%	7	15%	47
Wilmot Crossing	0	0%	11	85%	2	15%	13
Ribicoff 9%	11	25%	28	64%	5	11%	44
Ribicoff 4%	25	49%	19	37%	7	14%	51
Fair Haven- EVT	4	16%	13	52%	8	32%	25
Fair Haven-Chatham	11	34%	15	47%	6	19%	32
Total	**71**	**23%**	**178**	**57%**	**64**	**20%**	**313**

Impact

This initiative is expected to increase housing choices and quality of life of residents.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome***	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	- 2,965 units (frozen 2001 base)	Decrease of 5% from previous year	- 2017: 313 units - 2016: 2,310 units - 2015: 2,447 units - 2014: 2,447 units - 2013: 2,613 units	Yes

** Outcomes from previous years were representative of the entire ECC/HANH portfolio, but the listed FY 2017 outcome is specific to the developments applicable to this initiative.*

CE #4: Increase in Resources Leveraged (MTW Leverage Ratios)				
Unit of Measurement	**Baseline***	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Brookside I	1.7	2.0	2016: 2.3 2015: 2.3	Yes
Brookside II	1.7	2.0	2016: 7.5 2015: 7.5	Yes
Rockview I	1.7	2.0	2016: 4.6 2015: 4.6	Yes
122 Wilmot Road	1.7	2.0	2016: 3.2 2015: 3.2	Yes
Brookside Homeownership	1.7	2.0	2016: 1.7 2015: 1.6	Yes
Ribicoff I	1.7	2.0	2016: 6.1 2015: 6.1	Yes
Ribicoff II	1.7	2.0	2016: 1.2 2015: 1.2	No
Quinnipiac Terrace I	1.7	2.0	2016: 5.5 2015: 5.5	Yes
Quinnipiac Terrace II	1.7	2.0	2016: 8.6 2015: 8.6	Yes
Quinnipiac Terrace III	1.7	2.0	2016: 4.2 2015: 4.2	Yes
Eastview I	1.7	2.0	2016: 0.6 2015: 0.6	No
Rowe	1.7	2.0	2016: 4.5 2015: 4.5	Yes

Farnam Phase 1	1.7	2.0	2016: 3.1	Yes
Fair Haven	1.7	2.0	2015: 3.1	Yes

**Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace 2*

Internal Metrics

Redevelopment Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	See “REAC Scores for Applicable Properties” below	Yes for applicable developments
Internal Metric #7: Crime rate				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47.	10% reduction in number of major crimes.	See “Major Crimes at Applicable Properties” below	Yes
Internal Metric #9: Income eligibility				

Number of households at below 30% Area Median Income (AMI)	Not applicable	No less than 40% of the PBVs awarded in any year will be awarded to families with incomes at or below 30% of the area median income, adjusted for family size.	**2017**: 0% of families in Brookside Phase I have incomes below 30% AMI. 0% of families in Brookside Phase II have incomes below 30% AMI. 23% of families in applicable developments have incomes below 30% AMI. (see above Income Eligibility table for more information) **2016**: 72% of families in Brookside Phase I have incomes below 30% AMI. 74% of families in Brookside Phase II have incomes below 30% AMI. **2014**: 66% of families in Brookside Phase I have incomes below 30% AMI. 48% of families in Brookside Phase II have incomes below 30% AMI. **2013**: 49% of families in Brookside Phase I have incomes below 25% AMI. 50% of families in Brookside Phase II have incomes below 25% AMI.	No, for neither the specific developments listed nor the total of applicable developments
Number of households between 50% AMI and 80% Area Median Income (AMI)	Not applicable	15% of the PBVs may be allocated to families with incomes between 50 and 80% of AMI for Brookside Phase I rental. 45% of PBV may be allocated to families with incomes between 50 and 80% AMI for Brookside Phase II rental	**2017**: 15% of families in Brookside Phase I have incomes above 50% AMI. 41% of families in Brookside Phase II have incomes above 50% AMI. 20% of families in applicable developments have incomes above 50% AMI. (see above Income Eligibility table for more information) **2016**: 2% of families in Brookside Phase I have incomes above 50% AMI. 0% of families in Brookside Phase II have incomes above 50% AMI. **2014**: 6% of families in Brookside Phase I have incomes above 50% AMI. 24% of families in Brookside Phase II have incomes above 50% AMI. **2013**: 1% of families in Brookside Phase I have incomes above 50% AMI. 21% of families in Brookside Phase II have incomes between 50% and 80% AMI.	Yes

* Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace 2

REAC Scores for Applicable Properties

	REAC Scores								
Development	**2017**	**2016**	**2015**	**2014**	**2013**	**2012**	**2011**	**2010**	**2009**
Brookside Phase I	95		92						
Brookside Phase II	91		95						
Farnam Court		56							
Ribicoff Cottages -EXT						82	82	68	91
Rockview Phase 1	97		96						
Wilmot Crossing				93					

Major Crimes

	Number of Major Crimes*			
Development	**2017**	**2016**	**2014**	**2012**
Ribicoff 4%	1	0	N/A	N/A
Ribicoff 9%	1	0	N/A	N/A
Quinnipiac Terrace	0	2	4	3
West Rock (122 Wilmot, Brookside I and II)	N/A**	N/A**	7	25
Westville	1	0	0	0
William T Rowe	0	1	0	0
Wilmot	1	0	0	N/A

* Crime data was not available for all past years.
** After FY 2014, data was reported by individual developments rather than for the entire West Rock community.

Challenges or Changes

Most benchmarks were achieved and no changes were made to this activity.

Initiative 1.5 – HCV Preference and Set-Aside for Victims of Foreclosures

Approved in FY 2009 and implemented in FY 2010

Description and Status

New Haven, like many municipalities faced an increasing crisis related to mortgage foreclosures. In an effort to protect vulnerable residents, ECC/HANH established a preference for eligible HCV participants and applicants (up to 50 tenant-based and/or project based vouchers annually) to prevent homelessness among this population. These vouchers could be awarded to families whose housing is threatened because the property they are leasing goes into foreclosure and new owners who are purchasing a property in foreclosure.

Project-Based Vouchers (PBVs) are awarded through a competitive process in partnership with the City of New Haven's Neighborhood Stabilization Program that targets foreclosed properties. Tenant-Based Vouchers (TBVs) are awarded by granting a preference on the HCV waitlist similar to families who are displaced due to governmental action. Tenants apply via the waitlist. Owners apply through the PBV RFP process.

At origination, this program included 25 TBVs and 25 PBVs and required that the combined total would not exceed 50 vouchers. The demand for PBVs was not sufficient so 10 PBVs were reallocated to tenant-based supportive housing and 5 PBVs were reallocated to PBVs for Supportive Housing for the Homeless. In FY 2016, there were 40 vouchers set aside for victims of foreclosure, with 34 vouchers leased and six issued as shopping vouchers. In the HCV Table, ECC/HANH made a correction to the total number of vouchers at the start of the FY; the correct number is 40. During FY 2017, there were 40 vouchers set aside for victims of foreclosure. Due to low demand, 16 vouchers were reallocated, reducing the number of set aside vouchers to 24 at the end of FY 2017. At the end of FY 2017 there were 18 vouchers utilized. The need is no longer as great as it was at the start of the initiative and so the waiting list for foreclosure vouchers is closed.

Impact

This initiative prevents displacement of families due to foreclosure. The demand for foreclosure vouchers decreased during F Y2017. In addition, many participants either ported out to another jurisdiction or left the HCV program, thereby reducing the need for the number of set aside vouchers even further. At the end of FY 2016, there were 24 families leased and at the end of FY 2017 there were 18 families leased. ECC/HANH was able to assist families with the foreclosure vouchers at a time when homes were being foreclosed. Now that the market has stabilized and there are fewer foreclosures, there isn't as great of a need for the set aside of the foreclosure vouchers, and so the Foreclosure Waiting List is now closed. ECC/HANH will allocate the 6 remaining vouchers and close out the initiative in FY 2019.

Outcomes

HUD-Required Metrics

HC #4: Displacement Prevention				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Number of households at or below 80% AMI that would need to move due to foreclosure	0 households (2009)	24 tenant-based vouchers available for foreclosure protection	- 2017: 18 leased - 2016: 24 leased - 2015: 35 leased - 2014: 26 leased - 2013: 24 leased - 2012: 24 leased - 2011: 25 leased - 2010: 25 leased	No. The need for the initiative has decreased and so the Foreclosure Waiting List is now closed.

Challenges or Changes

Demand for the PBVs was not sufficient and therefore vouchers were reallocated to areas of greater demand. In FY 2011, 10 of the 25 PBVs were reallocated to a Tenant-Based Program for Supportive Housing for the Homeless and seven were leased up. Five PBVs were reallocated and awarded as PBVs for Supportive Housing for the Homeless, but none were leased. There were no changes made to these allocations during FY 2016. At the end of FY16, 24 vouchers were allocated and 24 were leased. Six of those participants either ported out to another jurisdiction or left the HCV program, thereby reducing the number of set aside vouchers leased up to 18. There is no longer a great need for the initiative and so the Foreclosure Waiting List has been closed. ECC/HANH will reallocate the six vouchers and close the initiative in FY 2019.

Initiative 1.6 – Deconcentration of Poverty (Promote Expanded Housing Opportunities for HCV and PBV Program)

Approved in FY 2008 and implemented in FY 2009.

Description and Status

Under ECC/HANH's MTW Agreement with HUD, ECC/HANH is authorized to develop its own Leased Housing Program through exceptions to the standard HCV program, for the purposes of creating a successful program with stable landlords, high-quality properties, and mixed-income neighborhoods. This includes reasonable policies for setting rents and subsidy levels for tenant-based assistance.

During FY 2008, ECC/HANH began to implement MTW Rent Standards that allow ECC/HANH to approve exception rents in the following cases: Wheelchair accessible units; Large bedroom-size units (4 bedrooms or larger); Expanded housing opportunities in neighborhoods with low concentrations of poverty; Housing opportunities in new development projects that include significant public investment to promote revitalization of neighborhoods; and Mixed-income housing opportunities that promote expanded housing opportunities and deconcentration of poverty.

In addition, ECC/HANH approved budget-based rent increases for landlords who make major capital improvements in their property, including accessibility modifications. Requests for MTW Rent Standards are and will continue to be reviewed on a case-by-case basis. Under no circumstances may ECC/HANH approve an MTW Rent Standard above 150% without prior HUD approval. ECC/HANH will reexamine its MTW Rent Standards monthly to ensure that ECC/HANH does not exceed 120% of the FMRs in the mean Rent Standard, which includes HAP payments to landlords, HAP RAD Payments, tenant rent payments to landlords, and any utility allowance amounts. In FY 2016, nine additional HCV participants leased up in non-impacted areas.

Impact

This initiative expands housing choice for low-income families that otherwise would have difficulty accessing housing under the HCV and PBV program. In accordance with the SEMAP indicator, ECC/HANH advises families about opportunities to move to non-impacted neighborhoods, including porting to another jurisdiction, during the HCV briefing when a family advises that they want to move to a new unit. A handout is included in the move and new admission packet and families who choose assistance are referred to a contracted realtor who can show them homes in a particular neighborhood. ECC/HANH also encourages landlords to advertise units in non-impacted areas during the landlord workshops. Landlords can advertise these units in the ECC/HANH apartment listing. Since the initiative began, 100 HCV participants have leased up in non-impacted areas. In FY 2017, 10 families moved to the non-impacted areas.

Outcomes

HUD-Required Metrics

HC #5: Increase in Resident Mobility				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Annual number of incremental households leased-up in low poverty areas* as a result of the activity	0 (2008)	10	- 2017: 10 - 2016: 9 - 2015: 14 - 2014: 11 - 2013: 10 - 2012: 7 - 2011: 7 - 2010: 13	Yes
Annual number of incremental households with exception rents approved due to <u>bedroom size issue</u> as a result of the activity	0 (2008)	1**	- 2017: 1 - 2016: 0 - 2015: 2 - 2014: 0 - 2013: 0 - 2012: 0 - 2011: 1 - 2010: 7 - 2009: 1	Yes
Annual number of incremental households with exception rents approved due to an <u>accessibility issue</u> as a result of the activity	0 (2008)	10***	- 2017: 2 - 2016: 2 - 2015: 1 - 2014: 2 - 2013: 0 - 2012: 0 - 2011: 0 - 2010: 1 - 2009: 2	No, but the benchmark will be reevaluated in FY 2018,

** Low poverty areas include the following U.S. Census Tracts: 1401, 1410, 1411, and 1428*
*** This benchmark is new as of FY 2017 but will be reevaluated in FY 2018*
**** This benchmark will be reevaluated in FY 2018*

Challenges or Changes

Families sometimes experience difficulties to other neighborhoods due to lack of transportation or a security deposit. ECC/HANH will explore options in FY 2018 such as security deposit assistance in order to make the option to move to non-impacted areas more attractive to participants. ECC/HANH will also survey families to determine if there are other issues that determine their decision to move to a non-impacted area. No changes were made to this activity in FY 2017.

Initiative 1.7 – Tenant-Based Vouchers for Supportive Housing for the Homeless

Approved in FY 2010 and implemented in FY 2011.

Description and Status

ECC/HANH has designated use of housing choice voucher resources for the purpose of ending homelessness in New Haven. ECC/HANH works in conjunction with City and Regional entities, Continuum of Care, shelters, and transitional and permanent housing providers to prioritized and identify the chronically homeless, homeless families and other homeless populations. ECC/HANH entered in a Memoranda of Understanding with organizations that provide housing for homeless with supportive services. The allocation of vouchers is based on referrals from the various agencies. The respective organizations will assess families and individuals to determine the most vulnerable and chronically homeless family and/or individual and will send the referral to ECC/HANH in order of priority.

In FY 2011 ECC/HANH reallocated 10 of the existing 25 PBV set aside for Foreclosure Protection to a Tenant Based Program for Supportive Housing for Homeless. ECC/HANH has awarded 210 TBVs dedicated to preventing homelessness in the following populations: chronically homeless, homeless families, families involved with child protective systems, and the re-entry population. TBVs are listed below.

Use of Tenant Based Vouchers to End Homelessness					
Efforts to End Homelessness	**Description**	**Original**	**Reallocated**	**Added**	**Total**
Tenant Based DHMAS Supportive – Housing First Program	Supportive Housing	10	0	0	10
DMHAS Mental Health Transformation Grant – FUSE	Supportive Housing	10	0	0	10
Family Options – Homeless	Supportive Housing	15	0	0	15
Permanent Enrichment Program	Supportive Housing	10	0	0	10
Foreclosure Protection	Preventing Homelessness	40	16	0	24
Family Re-unification Supportive Housing	DCF Family; Preventing homelessness for families involved with child protection agency	20	0	0	20
Homelessness/Imminent Danger of Homelessness	(Formerly Foreclosure PBV) Various agencies	15	0	25	40
Supportive Housing/Homelessness Prevention I	Supportive Housing/Homelessness Prevention	51	0	0	51
Project Longevity	Homeless former offenders	20	0	0	20
Re-entry Fresh Start	Re-entry	0	0	10	10
TOTAL		**201**	**16**	**25**	**210**

Impact

The initiative expands housing services to one of the most fragile populations served by ECC/HANH and is expected to increase self-sufficiency and housing choice. In FY 2015, there were 37 HCV participants leased through the initiative for supportive housing and the average household income was $10,145. In 2016, the average total household income for households affected by this policy was $12,854 (note that the $2,854 listed in the MTW 2016 report was a typo). By the end of FY 2017, 115 households had leased up as a result of this initiative and the average household income was $17,852. From FY 2015 to FY 2017 there was a 210% increase in participation, thereby ECC/HANH is serving more homeless families. From FY 2015 to FY 2017 there was a 76% increase in average total household income, thereby households' incomes are now either higher at admission or are increasing over the course of households' participation. Evidence suggests both, as the household with the highest income has a total household income of $47,755, which increased by 16% since admission in 2015. The initiative has also been successful in that families and individuals that have been separated or are living in homeless shelters have been reunited and housed or families who are re-entering society have housing and can focus on other things such as employment and education on their road to self-sufficiency.

There are currently 2 families that are enrolled in FSS. 63% of the households are families with 2 or more members and 68% of the households are work-able.

Outcomes

HUD-Required Metrics

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average total household income for households affected by this policy in dollars	$12,643 (2013)	Steady increase in average household income	- 2017: $17,852 - 2016: $12,854 - 2015: $10,145 - 2014: $12,599	Yes
SS #5: Households Assisted by Services that Increase Self-Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of homeless households enrolled in program receiving supportive services	0 (2010)	100% receiving supportive services	- 2017: 100% - 2016: 100% - 2015: 100% - 2014: 100% - 2013: 100% - 2012: 100% - 2011: 100%	No. ECC/HANH will increase outreach to these families for FSS activities

HC #1: Additional Units of Housing Made Available				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Additional permanent housing made available to homeless families	0 (2010)	10	- 2017: 56 - 2016: 42 - 2015: 14 - 2014: 7 - 2013: 5 - 2012: 10 - 2011: 7	Yes. Benchmark will be reevaluated in FY 2018.

Challenges or Changes

In FY 2017, ECC/HANH was able to expand on the partnerships with the Agencies that target homeless individuals and families and through an organized referral process and effort to locate units for these families, there by ECC/HANH was able to assist more homeless families in finding homes. However, there continues to be a need for vouchers for the homeless population and so ECC/HANH is forming additional partnerships with homeless advocates.

Although the average household income increased from 2015, there were only 2 families enrolled in ECC/HANH FSS activities. ECC/HANH will increase its outreach to these families to provide information regarding the FSS program thereby increasing participation.

Initiative 1.8 – Farnam Courts Transformation Plan

Approved in FY 2011 and implemented in FY 2012.

Description and Status

ECC/HANH has conducted a community planning process regarding the redevelopment of this obsolete 240-unit housing development. This development's design lacks energy efficiency, positive urban design standards and has contributed to on-going crime issues in the area. It is surrounded by areas that are thriving or undergoing transformation and re-design of this property can better link it to its surroundings, helping to create access and opportunity for residents. Farnam Court has been approved for conversion of the ACC units under the Rental Assistance Demonstration Program award.

As part of the transformation plan, ECC/HANH proposes not only a redevelopment of the housing units at Farnam Courts but transformation of the surrounding Mill River community into a community that supports the long-term economic sustainability of residents, as well as the long-term economic sustainability of Mill River and the City of New Haven. Through collaboration with other community partners, including the Economic Development Corporation, City of New Haven, the Board of Education and many more, ECC/HANH anticipates the redesign of the infrastructure to create more traffic flow through the community, redesign the housing units to be more spacious, remove barriers that individuals and families are facing by providing supportive services, and other critical components as they arise throughout the planning process. The supportive services may include but are not limited to improved access to jobs, high quality early learning programs, public assets, public transportation, and high quality public schools and education programs. Additionally, the redevelopment will introduce market-rate units.

Farnam Court will replace 240 units of housing originally built in the 1940s and most recently improved in the 1980s. The redevelopment will occur in phases resulting in 228 replacement units and introducing market rate units as well. The redevelopment includes new roads, streets, infrastructure and utilities funded through a City of New Haven $8 million capital investment. The project will reconnect the Farnam Court neighborhood with the Grand Ave corridor and the vital Downtown and Wooster Square neighborhood. It also links to the Mill River neighborhood, a source of job opportunities.

Farnam offsite – Fair Haven will consist of 57 units financed through 9% Low Income Housing Tax Credits, awarded in 2015. The 57 units will exist on two sites located in the Fair Haven neighborhood, an area undergoing significant re-investment. The **Chatham site** includes 32 assisted units (Rental Assistance Demonstration Program). The **Eastview Terrace Phase II** site includes 23 RAD assisted units and two Project Based Assisted units. The Fair Haven development is completed.

Farnam Court Phase I –on site will involve the demolition of 148 units. These will be replaced with 2 mid-rise 5 story buildings housing 94 units --86 assisted and 8 market rate units situated on 1.1 acres. Additionally, these buildings will house 7,400 sq. feet of commercial and community/program space. The community space will support a vibrant comprehensive economic self-sufficiency program. This project is being financed through LIHTC 4% Bonds, a $4 million State of CT CHAMP award, HUD MTW flexible funds, City of New Haven capital dollars and private equity. Financing closed in June 2016, resident relocation completed in November 2016, and is currently under construction with completion forecasted for April 2018.

Farnam Court Phase II- on site will include the demolition of the remaining 96 units and construction of 111 units -87 RAD assisted and 24 market rate units and a 3,600 sq. feet community center and park. A financial closing is anticipated for the first quarter of 2018.

Under ECC/HANH's MTW Agreement with HUD, ECC/HANH is authorized to develop its own Leased Housing Program through exceptions to the standard HCV program. ECC/HANH will apply local TDC design standards, PBV income tiering and MTW Rent Standards that allow ECC/HANH to approve exception rents. Under no circumstances may ECC/HANH approve an MTW Rent Standard above 150% without prior HUD approval. ECC/HANH will reexamine its MTW Rent Standards monthly to ensure that ECC/HANH does not exceed 120% of the FMRs in the mean Rent Standard, which includes HAP payments to landlords, tenant rent payments to landlords, and any utility allowance amounts.

Impact

The impact of the completed project is expected to promote housing choice for low-income families by reducing density therefore improving the quality of housing, a more marketable housing development, reduction of crime, an increase in occupancy, and economic development of the surrounding neighborhood with new businesses and a renewed sense of community. Additionally, with a renewed place to call home, ECC/HANH anticipates an increase in self-sufficiency participation, which has been shown at other redevelopment efforts within our portfolio.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline***	**Benchmark***	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	240 units	57 units at Fair Haven, 94 units at Farnam Courts Phase I, 111 units at Farnam Courts Phase II	55 RAD units completed at Fair Haven, 86 units under construction at Farnam Courts I, 87 units pending financial closing at Farnam Courts II	Yes – the developments are moving toward completion on target

Internal Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

REAC scores	REAC score of 80 for HANH's developments (those reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	- Eastview Terrace: 95 (2012) - Farnam Courts: 56 (2016)	N/A – no applicable developments were inspected in FY 2017
Internal Metric #6: Utility expenses per unit*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Reduction of utility expenses per unit, pre and post redevelopment – Electric	Valley Waverly: $900 per unit per month in 2012.	5% reduction. Electric utility expenses would reach approximately $858.33 per unit.	2017: $124.57 per unit per month for Fair Haven	Yes
Reduction of utility expenses per unit, pre and post redevelopment – Gas	Valley Waverly: $60.83 per unit per month in 2012.	5% reduction. Gas utility expenses would reach approximately $65.83 per unit.	2017: $31.17 per unit per month for Fair Haven	Yes
Internal Metric #7: Crime rate*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47.	10% reduction in number of major crimes.	2017: 7 major crimes at Eastview 2016: 1 major crime in 2016	Yes

** The baseline and benchmark were updated for specificity in FY 2017. They previously referred to the entire ECC/HANH portfolio, rather than only Farnam Courts.*
*** These baselines will be updated to Farnam Courts data beginning FY 2018, per a technical amendment to the FY 2018 Annual Plan.*

Challenges or Changes

All benchmarks were achieved and no changes were made to this activity.

Initiative 1.11 – Increase the Percentage of Housing Choice Voucher Budget Authority for the Agency that is Permitted to Project-Base from 20 Percent up to 25 Percent

Approved in FY 2013 and implemented in FY 2014

Description and Status

This authorization allows for the continued redevelopment efforts of the underperforming developments as well as increase housing choices for our residents. It allows ECC/HANH to use its vouchers to pool monies together in order to leverage funds for redevelopment efforts.

The increased voucher authority is integral in the redevelopment of the LIPH aging stock. The ability to use up to 25% of the voucher authority allows ECC/HANH to address its aging stock more expediently with outcomes that include leveraged funding and increased housing choices.

This initiative was contemplated prior to the advent of the RAD program. The percentage of MTW project basing did not include the full conversion of ACC sites to PBVs. The advent of RAD increased the proportion of the portfolio to be project-based. ECC/HANH's current percentage of non-RAD project-based MTW vouchers is 11% (527 vouchers).

During FY 2014, ECC/HANH utilized 14% of its budget authority. ECC/HANH closed on Ribicoff 9% and Ribicoff 4% during FY 2015, closed on Fair Haven and Farnam Phase I during FY 2016, and plans to close on Farnam Phase II during FY 2018. With the RAD portfolio award, ECC/HANH expected that percentage to increase to 29% of the portfolio during FY 2017, as ECC/HANH's RAD portfolio award approval allowed for the project-based conversion of 1,128 ACC units during FY 2017. The authorization will enable ECC/HANH to award up to 949 PBVs agency-wide and an additional 311 PBVs for owners of housing in New Haven and to support the raising of private debt for development efforts including Ribicoff Cottages and Extensions, Farnam Courts, Fair Haven, and more.

Impact

This initiative allows ECC/HANH to support its continued mission to provide housing choice and to address the redevelopment needs of certain projects. In FY 2016, ECC/HANH preserved 2,310 units for households at or below 80% AMI that would otherwise not be available.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that	- 2,965 units (frozen 2001 base)	Decrease of 5% from previous year	- 2017: 1,849 LIPH units - 2016: 2,310 LIPH units - 2015: 2,447 LIPH units	Yes

would otherwise not be available			- 2014: 2,447 LIPH units - 2013: 2,613 LIPH units	

CE #4: Increase in Resources Leveraged				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Brookside I	1.7	2.0	2016: 2.3 2015: 2.3	Yes
Brookside II	1.7	2.0	2016: 7.5 2015: 7.5	Yes
Rockview I	1.7	2.0	2016: 4.6 2015: 4.6	Yes
122 Wilmot Road	1.7	2.0	2016: 3.2 2015: 3.2	Yes
Brookside Homeownership	1.7	2.0	2016: 1.7 2015: 1.6	Yes
Ribicoff I	1.7	2.0	2016: 6.1 2015: 6.1	Yes
Ribicoff II	1.7	2.0	2016: 1.2 2015: 1.2	No
Quinnipiac Terrace I	1.7	2.0	2016: 5.5 2015: 5.5	Yes
Quinnipiac Terrace II	1.7	2.0	2016: 8.6 2015: 8.6	Yes
Quinnipiac Terrace III	1.7	2.0	2016: 4.2 2015: 4.2	Yes
Eastview I	1.7	2.0	2016: 0.6 2015: 0.6	No
Rowe	1.7	2.0	2016: 4.5 2015: 4.5	Yes
Farnam Phase 1	1.7	2.0	2016: 3.1	Yes
Fair Haven	1.7	2.0	2015: 3.1	Yes

**Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace 2*

Internal Metrics

Redevelopment Metrics

Internal Metric #1: Increase in Agency Revenue				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Increase in Agency Revenue – Farnam Phase 1 Redevelopment Fees	$0	$0	2017: $890,453	Yes
Increase in Agency Revenue – Ribicoff 9% Redevelopment Fees	$0	$0	2016: $2,000,000	Yes
Increase in Agency Revenue – Ribicoff 4% Redevelopment Fees	$0	$0	2016: $2,077,570	Yes

Increase in Agency Revenue – Fair Haven Redevelopment Fees	$0	$0	2016: $2,905,743	Yes
Increase in agency revenue - Rowe redevelopment fees	$0	$0	2014: $893,374	Yes
Increase in agency revenue - Brookside Phase 1 redevelopment fees	$0	$0	2014: $1,081,094	Yes
Increase in agency revenue - Brookside Phase 2 redevelopment fees	$0	$0	2014: $725,704	Yes
Increase in agency revenue - Rockview Phase I redevelopment fees	$0	$0	2014: $744,389	Yes
Increase in agency revenue - 122 Wilmot Road redevelopment fees*	$0	$0	2014: $1,419,767	Yes
Internal Metric #12: HCV budget authority for the Agency that is permitted to project base				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Overall HANH percentage of PBV/HCV**	11% (FY 2013)	25%	- 2017: 11% - 2016: 18% - 2014: 14%	N/A

* ECC/HANH has created a new stream of revenue from redevelopment activities. The redevelopment fees and ECC/HANH administrative costs are reimbursed by the development budget and revenue is reinvested in future redevelopment efforts.
** *HANH calculated the percentage as follows: FY 2014, figures from MTW 2015 Annual Plan, (664 – 96 RAD)/ (4,147 – 96 RAD) = 14%. FY 2013, figures from MTW Report 2013, 387 / 3,319 = 11%.*

Challenges or Changes

Most benchmarks were achieved and no changes were made to this activity.

Initiative 1.12 – Development of Replacement Public Housing Units with MTW Block Grant Funds

Approved in FY 2013 and implemented in FY 2014.

Description and Status

ECC/HANH has been very active in redeveloping and repositioning its aging public housing stock by leveraging private investment through the mixed-finance process and replacing demolished units with a variety of affordable housing types, including public housing, project-based vouchers and tax credit units. ECC/HANH has also been at the forefront of using its MTW authority creatively to complement and enhance these efforts.

In FY 2013, ECC/HANH proposed to begin a new initiative to develop public housing replacement units with MTW block grant funds while making use of MTW authority to waive or substitute certain program rules. ECC/HANH pursued this initiative at certain specific sites in FY 2013, including Farnam Courts and Abraham Ribicoff Cottage and Extension, but intended to use this same model at other sites to be identified in the future.

ECC/HANH used MTW block grant funds, drawn collectively from public housing Operating Funds and Capital Funds and Section 8 Housing Choice Voucher funds, to develop public housing units through a mixed-finance process. The units are operated as public housing for purposes of admissions, continued occupancy, resident rights, and certain other rules. However, for purposes of providing ongoing operating assistance, ECC/HANH has used its MTW authority to design and fund a local program to develop replacement public housing units under a local housing assistance payments contract with the owner entity, with operating assistance being utilized in a manner similar to the project-based voucher program. Among other things, this approach allows ECC/HANH to pay debt service on private loans taken out to support redevelopment projects. To the extent necessary, under its MTW authority ECC/HANH revised required forms to provide for this mix of applicable rules and sought the necessary HUD approvals.

Section 204(a) of the 1996 Appropriations Act (the MTW statute) provides that public housing agencies that administer Section 8 and public housing shall have the flexibility to design and test various approaches for providing and administering housing assistance that reduce cost and achieve greater cost effectiveness in Federal expenditures and that promote housing choice for low-income families. This initiative is a new approach to designing and administering housing assistance that will achieve greater cost effectiveness through combining funding streams and applying a mix of program rules that are most appropriate and cost effective to redevelop public housing units and serve low-income families. It will also give low-income families new affordable housing choices.

During FY 2013, ECC/HANH had issued bonds for the Redevelopment of Ribicoff Cottages and Ribicoff Cottages Extension, in addition to the Farnam Courts redevelopment. The off-site component of the Farnam Courts Transformation Plan, Fair Haven, was awarded 9% tax credits. During FY 2014, ECC/HANH moved forward with its redevelopment plans in order to close the two projects during FY 2015. ECC/HANH closed on Ribicoff 9% and Ribicoff 4% during FY 2015, closed on Fair Haven and Farnam Phase I during FY 2016, and plans to close on Farnam Phase II during FY 2018.

To date, the applicable transactions include the following completed in FY 2017:

Development Name	PH Units	PBV Units	Total # of Assisted Units	# of Market Rate Units	Total # of Units
Eastview Terrace	53	49	102	0	102
Quinnipiac Terrace I	58	23	81	0	81
Quinnipiac Terrace 2	56	23	79	0	79
Quinnipiac Terrace 3	17	16	33	0	33
Brookside Phase I	50	50	100	0	100
Brookside Phase II	50	51	101	0	101
Rockview Phase I	30	47	77	0	77
William T. Rowe	46	32	78	26	104
Wilmot Crossing	0	47	47	0	47
Monterey Place	0	42	42	0	42
Monterey Place 2	0	7	7	0	7
Monterey Place 3	0	45	45	0	45
Monterey 4	0	42	42	0	42
Monterey 5	0	17	17	0	17
Monterey Phase 2R	0	28	28	0	28
William Griffin	0	4	4	0	4
Edith Johnson Towers	0	95	95	0	95
Ribicoff 9%	0	44	44	11	55
Ribicoff 4%	0	51	51	0	51
Farnam Courts-Fair Haven	0	57	57	0	57
Farnam Court Phase I onsite	0	86	86	8	94
Total	360	856	1216	45	1261

Impact

The use of MTW block funds have produced over 1,100 quality affordable housing units. The ability to reposition the aging LIPH stock utilizing MTW Block funds allows for cost effectiveness from leveraged dollars, additional income from developer fees, and the production of quality housing. In 2016, 150 additional new housing units were made available, including 95 PBV units at Ribicoff Cottages, and 57 PBV units at Fair Haven (Chatham and Eastview).

Outcomes

HUD-Required Metrics

HC #1: Additional Units of Housing Made Available				
Unit of Measurement	**Baseline**	**Benchmark***	**Outcome**	**Benchmark Achieved?**
Number of new housing units made available for households at or below	0 units	Replacement of 95% of units	**- 2017:** Ribicoff Cottages: 95% PBVs Fair Haven: 95% PBVs	Yes. 95% of units were replaced

80% AMI as a result of the activity (increase)			**- 2016:** Farnam Courts: 185 LIPH units Ribicoff Cottages: 95 PBVs Fair Haven: 55 PBVs	during FY 2017.
HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	- 2,965 units (frozen 2001 base)	Decrease of 5% from previous year	- 2017: 1,849 LIPH units - 2016: 2,310 LIPH units - 2015: 2,447 LIPH units - 2014: 2,447 LIPH units - 2013: 2,613 LIPH units	Yes

CE #4: Increase in Resources Leveraged				
Unit of Measurement	**Baseline****	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Brookside I	1.7	2.0	2016: 2.3 2015: 2.3	Yes
Brookside II	1.7	2.0	2016: 7.5 2015: 7.5	Yes
Rockview I	1.7	2.0	2016: 4.6 2015: 4.6	Yes
122 Wilmot Road	1.7	2.0	2016: 3.2 2015: 3.2	Yes
Brookside Homeownership	1.7	2.0	2016: 1.7 2015: 1.6	Yes
Ribicoff I	1.7	2.0	2016: 6.1 2015: 6.1	Yes
Ribicoff II	1.7	2.0	2016: 1.2 2015: 1.2	No
Quinnipiac Terrace I	1.7	2.0	2016: 5.5 2015: 5.5	Yes
Quinnipiac Terrace II	1.7	2.0	2016: 8.6 2015: 8.6	Yes
Quinnipiac Terrace III	1.7	2.0	2016: 4.2 2015: 4.2	Yes
Eastview I	1.7	2.0	2016: 0.6 2015: 0.6	No
Rowe	1.7	2.0	2016: 4.5 2015: 4.5	Yes
Farnam Phase 1	1.7	2.0	2016: 3.1	Yes
Fair Haven	1.7	2.0	2015: 3.1	Yes

**In FY 2017, this benchmark was updated from "109 units" to "Replacement of 95% of units"*
***Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace 2*

Internal Metrics

Redevelopment Metrics

Internal Metric #1: Increase in Agency Revenue*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Increase in Agency Revenue – Farnam Phase 1 Redevelopment Fees	$0	$0	2017: $890,453	Yes
Increase in Agency Revenue – Ribicoff 9% Redevelopment Fees	$0	$0	2016: $2,000,000	Yes
Increase in Agency Revenue – Ribicoff 4% Redevelopment Fees	$0	$0	2016: $2,077,570	Yes
Increase in Agency Revenue – Fair Haven Redevelopment Fees	$0	$0	2016: $2,905,743	Yes
Increase in agency revenue - Rowe redevelopment fees	$0	$0	2014: $893,374	Yes
Increase in agency revenue - Brookside Phase 1 redevelopment fees	$0	$0	2014: $1,081,094	Yes
Increase in agency revenue - Brookside Phase 2 redevelopment fees	$0	$0	2014: $725,704	Yes
Increase in agency revenue - Rockview Phase I redevelopment fees	$0	$0	2014: $744,389	Yes
Increase in agency revenue - 122 Wilmot Road redevelopment fees*	$0	$0	2014: $1,419,767	Yes

* ECC/HANH has created a new stream of revenue from redevelopment activities. The redevelopment fees and ECC/HANH administrative costs are reimbursed by the development budget and revenue is reinvested in future redevelopment efforts.

Challenges or Changes

Most benchmarks were achieved and no changes were made to this activity.

Initiative 1.15 – RAD Finance Development for Rockview Phase II Rental

Approved in FY 2014 and implemented in FY 2017.

Description

ECC/HANH has aggressively redeveloped the West Rock community home to four low-income public housing sites. To date, Brookside, Rockview, Ribicoff Cottages and Wilmot Crossing have all been completed, transforming obsolete public housing and commercial sites into vibrant mixed income communities that brought 300 units of affordable and market rate rental housing, homeownership, associated community space and commercial space into the West Rock community. ECC/HANH worked successfully with the City of New Haven and the Town of Hamden to open a long-closed road thereby creating an access way into the community from the Town of Hamden. Westville Manor, a 150 unit LIPH development remains the only community not yet redeveloped.

ECC/HANH has undertaken an aggressive modernization program which includes the submission of an application for RAD funding for several sites including for Westville Manor. The Rockview Phase II development will be an off-site component of the Westville Manor redevelopment. This initiative is part of the Westville RAD submission for the creation of replacement public housing units. ECC/HANH intends to demolish Westville Manor and to create these units on-site and off-site at Rockview Phase II Rental. Rockview Phase II Rental will rely on the MTW authorizations for alternative TDCs and commingling of funds. This initiative was approved in FY 2014, was subsequently put on hold in FY 2015, and was reactivated in FY 2017. ECC/HANH submitted a 9% tax credit application in November 2016 which was awarded in FY 2017. Closing is planned for FY 2018.

Impacts

The impact of the completed project is expected to promote housing choice for low-income families by eliminating a poor-performing housing option and improving the housing choice options, reducing density and therefore improving the quality of housing and making the development more marketable, improving the lease-up rate and decreasing turnover. ECC/HANH also anticipates a reduction in crime and an increase in occupancy which also supports the development of the surrounding neighborhood with new businesses and a renewed sense of community. Because this property is not inhabited, there are no current impacts.

Outcomes

HUD-Required Metrics

HC #1: Additional Units of Housing Made Available				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of new housing units made available for households at or below 80% AMI as a result of this activity (increase)	0 units	109 units	N/A	N/A
HC #2: Units of Housing Preserved *				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of new housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 (frozen 2001 base)	2,529	N/A	N/A
HC #3: Decrease in Wait List Time*				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average applicant time on wait list in months (decrease)	N/A	N/A	N/A	N/A

** This chart will be removed beginning FY 2018, per a technical amendment to the FY 2018 Annual Plan.*

Internal Metrics

Internal Metric #10: Turn Over Cost				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Turnover cost per unit for Rockview Phase II Rental	N/A	N/A	N/A	N/A

Challenges or Changes

None.

Initiative 1.17 – Westville Manor Transformation Plan

Approved in FY 2014 and implemented in FY 2016.

Description and Status

It is the intent of ECC/HANH to redevelop the Westville Manor development in the West Rock neighborhood pursuant to RAD or mixed-finance. With ECC/HANH investing in the redevelopment of Brookside Phase I and II, Rockview, 122 Wilmot Road and Ribicoff Cottages and Extension, the only remaining obsolete low-income public housing development remaining in the West Rock community is Westville Manor. Westville Manor is a 150-unit family development with site, design and infrastructure issues that lend itself to a mixed-finance redevelopment or RAD conversion and redevelopment.

This transformation plan will include replacement units on the Westville Manor site as well as the Rockview Phase II parcel (Initiative 1.15) and the redevelopment of the West Rock Community Center located at 295 Wilmot Road. Master planning includes the redevelopment of this site into a mixed-income development and if feasible, a mixed-use community with rental and homeownership options. Master planning may also result in the acquisition of available adjacent parcels to incorporate into the Westville Manor redevelopment. The off-site component of Westville, Rockview Phase 2, will begin construction in the second quarter of 2018 with completion in the summer of 2019. Subsequent phases will start in the third quarter of 2019 with completion in the fall of 2020.

Impact

The impact of the completed project is expected to promote housing choice for low-income families by eliminating a poor-performing housing option and improving the housing choice options, reducing density and therefore improving the quality of housing and making the development more marketable, improving the lease-up rate and decreasing turnover. ECC/HANH also anticipates a reduction in crime and an increase in occupancy which also supports the development of the surrounding neighborhood with new businesses and a renewed sense of community. Because this property is not inhabited, there are no current impacts.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available (increase).	151 units	143 units	N/A	N/A

Challenges or Changes

None.

Activities to Encourage Self-Sufficiency

Initiative 2.1 – Family Self-Sufficiency (FSS) Program

Approved and implemented in FY 2007.

Description and Status

ECC/HANH's FSS program provides intensive counseling and case management services to help participant families achieve their self-sufficiency goals, according to each family's needs. Adding new services has allowed ECC/HANH to provide much needed support to a larger number of LIPH and Section 8 residents. Service referrals focus on remedial education, literacy classes, GED preparation, vocational and financial management, job skills/employability, and more. Further ECC/HANH has invested in Computer/Learning Labs that offer services that assist families in their move toward self-sufficiency.

ECC/HANH also created a "Specialized Training" program that offers training in fields where there are employment opportunities (e.g., healthcare, auto repair). This training should provide the skills necessary for residents to obtain employment or increase their earnings.

ECC/HANH continues to provide classes and trainings to residents who are experiencing barriers to employment. Classes include, but are not limited to: Pre-GED, GED; Literacy; Financial Literacy; basic, intermediate and advanced computer training. Prior to applying for jobs, ECC provides Job Skills/Life Skills classes.

ECC/ HANH added 50 extra slots to the HUD FSS funded slots, bringing the total number of FSS HUD slots to 150, 10 vouchers to the current SEHOP program and another 10 SEHOP vouchers to be used in connection with the CARES program; bringing the total number of SEHOP vouchers to 70. In addition, all MTW families will enter into either a CARES program or HUD FSS Contract of Participation and will be eligible to earn funds deposited into an escrow account as determined by the FSS contract or CARES contract terms.

The MTW FSS program serves over 680 families. This includes 100 families enrolled in the HUD FSS grant funded slots, 50 Section Eight Homeownership Program (SEHOP) vouchers, up to 277 families enrolled in the CARES Program, and 260 identified work-able families enrolled in MTW funded slots. The available slots are listed below:

Program	Number of Slots	Benefits from Escrow	Owner	Supports
HUD FSS Grant Funded Slots	150	Yes	FSS Coordinators	RSCs, Program Managers & LCSW
CARES Program	Up to 178	Yes	CARES Coordinators	Program Managers, & LCSW
Work-Able families	60 200	Yes Yes	Program Managers FSS Coordinators	FSS Coordinators, RSCs & LCSW
SEHOP	60	Yes	FSS Coordinators	FSS Coordinators
CARES	10			
TOTAL	**658**			

Impact

The initiative is expected to increase self-sufficiency through employment and increased earnings. During FY 2017 a total of 87 residents (47 households) participated in FSS, which does not include CARES participants. Of those participants, 69% obtained employment. Due to GED classes starting mid fiscal year there were no graduates. The number of vocational and computer class participants increased from 6 to 20 participants which is a 233% increase from FY 2016. The participants graduating from the computer course will be Microsoft certified, which will increase employment opportunities.

In FY 2016, the average total household income was $23,544 and in FY 2017 it increased by 12% to $26,372, The national average increase is 3.2% (https://www.census.gov/newsroom/press-releases/2017/income-povery.html). With the services provided by ECC/HANH to include job skills training and assisting families in finding employment, ECC/HANH expects the average household income to continue to increase.

In FY 2016, there were 21 families that were employed FT and 13 families employed PT (34 families employed total) and in FY 2017 there were 38 families employed FT and 22 families employed PT (60 families employed total), which is a 76% increase in total families employed. ECC/HANH will continue to work with families in providing the training and resources needed to achieve gainful employment.

*Outcomes**

HUD-Required Metrics

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average earnings (wages) of households enrolled in FSS Program**	$4,082 (2013)	Steady increase in average household earnings	- 2017: $26,372 - 2016: $23,544 - 2015: $21,543 - 2014: $17,738	Yes
SS #3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
FSS Program Participants: (1) Employed Full-Time*** (2) Employed Part- Time (3) Enrolled in an Educational Program (4) Enrolled in Job Training Program (5) Unemployed	<u>2014</u> - Employed FT: 22 - Employed PT: 93 - Enrolled in Education: 228 - Enrolled in Job Training: n/a	Steady increase in full-time employment for FSS participants	<u>2017</u> - Employed FT: 38 - Employed PT: 22 - Enrolled in Education: 0 - Enrolled in Job Training: 12 - Unemployed: 12 - Other (Elderly/Disabled): 10 - Self-employed: 1 <u>2016</u> - Employed FT: 21	Yes

(6) Other	- Unemployed: 113 - Other: n/a		- Employed PT: 13 - Enrolled in Education: 69 - Enrolled in Job Training: 15 - Unemployed: 8 - Other (Elderly/Disabled): 6 - Self-employed: 1 2015 - Employed FT: 30 - Employed PT: n/a - Enrolled in Education: 170 - Enrolled in Job Training: n/a - Unemployed: 7 - Other: n/a	
SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of FSS households that have taken vocational and computer classes (excluding Specialized Training)	155 (2013)	200	- 2017: 44 - 2016: 45 - 2015: 178 - 2014: 310	No

* This data excludes SEHOP, CARES, elderly/disabled, resident-owned business services, and specialized services
** Average earnings include wages and other wagers. Note that 20% of FSS participants had zero income in FY 2017 vs. 50% in FY 2014 and 52% in FY 2013.
*** Full-time employment if earned income (wages + self-employment) equate to 30 hours/week at CT minimum wage; unemployed assumes no wages. All FSS participants in FSS Log considered to be enrolled in educational program.

Internal Metrics

FSS Classes Metrics

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Literacy course (Adult Basic Education) participants and average reading level	2014 - 12 participants - Range from 1st through 3rd grade reading level	Participants will reach average of 7th grade reading level	**2017** - 0 participants **2016** - 6 participants - 6 graduates at 7th grade level **2015** - 6 participants - 0 graduates at 7th grade level	No

Computer course graduates for basic and intermediate levels	2014 Basic: 18 Intermediate: 5	10 intermediate course graduates annually	**2017** - 20 participants - 2 received Microsoft certifications **2016** Basic: 9 Intermediate: 1 **2015** Basic: 6 Intermediate: 1	No
GED graduates by years in GED course	2013 1 year or less: 2 1–2 years: 2 More than 2 years: 4	Steady increase in course participants receiving GED in less than 2 years	**2017** 1 year or less: 0 1–2 years: 0 More than 2 years: 0 **2016** 1 year or less: 0 1–2 years: 2 More than 2 years: 0 **2015** 1 year or less: 0 1–2 years: 0 More than 2 years: 0 **2014** 1 year or less: 0 1–2 years: 2 More than 2 years: 1	No
Job skills class graduates and their earned income	2014 Graduates: 0 Average earned income: n/a	10 graduates of the job skills class annually with earned income of at least 30 hours per week at minimum wage	**2017** Graduates: 0 Average earned income: n/a **2016** Graduates: 3 Average earned income: n/a **2015** Graduates: 33 Average earned income: n/a	No

** This data excludes SEHOP, CARES, elderly/disabled, resident-owned business services, and specialized services*

Challenges or Changes

ECC/HANH will continue to work to improve data reporting on these metrics, increase awareness of its self-sufficiency programs, offer programs beneficial to interest/need and implement innovative ways to encourage participation. ECC/HANH will also coordinate with Adult Education on literacy, job skills, trade programs and higher education. In FY 2018 ECC/HANH looks to reevaluate class offerings to better benefit the needs.

Initiative 2.2 – Incremental Earned Income Exclusion

Approved and implemented in FY 2008.

Description and Status

ECC/HANH believes promoting self-sufficiency is most effectively accomplished through helping residents to access services and financial support. Incremental Earnings Exclusion is phased increases in earned income over the five-year term of a family's participation in the FSS program. For example, ECC/HANH excludes from the determination of annual income 100% of any incremental earnings from wages or salaries earned by any family member during the first year.

- Where the earned income increases (*from the effective date of contract*) of participants are excluded in increments according to the year of participation: 1st year of participation = 100%, 2nd year of participation = 75%, 3rd year of participation = 50%, 4th year of participation = 25%, 5th year of participation = 0%. During the 5th year, FSS staff will include all earned income in rent calculations.
- Note that during this period, if there is a contract, participants will not earn escrow benefits during the 1st year and may or may not during the following based on the rent increase and income exclusions.

Impact

This initiative is expected to provide an incentive for families to increase their incomes and to save the difference in income, in order to achieve goals such as homeownership, educational, entrepreneurship or other goals. The number of individuals enrolled in the Earned Income Exclusion program increased from 14 in FY 2016 to 28 in FY 2017, a 50% increase in participation. Incomes increased from $28,423 in FY 2016 to $35,169 in FY 2017, a 23% increase from 2016 and a 129% increase from 2008. This indicates that either higher income families are enrolling in the program, a greater proportion of families are obtaining jobs, or families are obtaining higher paying jobs. The median income of all households was $36,387, which puts the families we serve in the lower end of the middle class bracket (https://www.thebalance.com/definition-of-middle-class-income-4126870).

There was also a 127% increase in participants who were employed, working either Part time (PT) or Full Time (FT). 8 FT and 3 PT (total 11) in FY 2016 and 18 FT and 7 PT (total 25). Four (4) families completed their goals in FY 2017. The goals included completion of Phlebotomy and Section 3 training, obtaining a Master's degree and purchasing a home. As the FSS program continues to grow, this incentive will be available for more families who will benefit from the savings opportunities.

Outcomes

HUD-Required Metrics

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average income of households affected by this policy in dollars	$15,363 (2008)	Steady increase in average household	**2017** $35,169 **2016** $28,423	Yes

		income	**2015** $15,946	
SS #3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Report the following information separately for each category: (1) Employed Full- Time* (2) Employed Part- Time (3) Enrolled in an Educational Program (4) Enrolled in Job Training Program (5) Unemployed (6) Other	**2008** - Employed FT: 27 - Employed PT: n/a - Enrolled in Education: n/a - Enrolled in Job Training: n/a - Unemployed: 10 - Self-Employed: 1	Steady increase in the percentage of participants who are employed full-time	**2017** - Employed FT: 18 - Employed PT: 7 - Enrolled in Education: 0 - Enrolled in Job Training: 0 - Unemployed: 1 - Other: 1 **2016** - Employed FT: 8 - Employed PT: 3 - Enrolled in Education: 0 - Enrolled in Job Training: 0 - Unemployed: 0 - Other: 3 **2015** - Employed FT: 30 - Employed PT: n/a - Enrolled in Education: n/a - Enrolled in Job Training: n/a - Unemployed: 12 - Self-Employed: 0	Yes
SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households enrolled in Earned Income Exclusion	57 (2008)	Steady increase from previous year.	**2017** 28 **2016** 14 **2015** 45	Yes

* Full-time employment if earned income (wages + self-employment) equate to 30 hours/week at CT minimum wage; unemployed assumes no wages.

Challenges or Changes

ECC/HANH will continue to elevate awareness of the FSS program, Earned Income Exclusion program, and associated programs to boost participation and resident involvement. ECC/HANH will conduct outreach efforts to include informational sessions so families are aware of the programs and resources available to them. ECC/HANH was not able to obtain the data collection mechanism in FY 2017 and plans to work with the program evaluator for FY 2018.

Initiative 2.3 – CARES (Caring About Resident Economic Self-Sufficiency)

Approved in FY 2012 and implemented in FY 2013.

Description and Status

As an MTW Agency, ECC/HANH implemented a new pilot program to promote HUD's mission to promote self-sufficiency throughout the agency. ECC/HANH developed a pilot self-sufficiency plan for the Brookside Phase II Rental development that encompassed HUD's continued mission to increase self-sufficiency among residents and promote accountability. The C.A.R.E.S. Program (Caring About Resident Economic Self-Sufficiency) introduced the concept of term limits into the public housing and Section 8 programs administered by ECC/HANH. All residents, except those exempt under the program requirements will be subject to a 72-month time limit on receiving rental assistance. The second component of the program is that certain individuals will be required to participate in an extensive 24- month case management supportive program designed to overcome barriers to becoming self-sufficient. The returning residents are exempt but can voluntarily participate in the program. The agency will use its MTW flexibility to fund the required social service component of this program.

Prior to signing a lease at the newly redeveloped Brookside Phase II Rental site, all residents will have a pre-orientation that will explain the CARES Program. At the end of the 72-month limit receiving rental assistance, the rent will be adjusted to Flat rent (public housing) or Market rent (PBV), less prorated assistance for household members who are seniors, 18 years of age or under, disabled or otherwise exempt, as described in the plan.

We recognize that there are individuals who due to no fault of their own will not be able to achieve self-sufficiency on their own. Non-exempt individuals who have an Individual Service Plan (ISP) and case manager, and show progress towards the goals of the plan will continue to be able to receive assistance as long as they continue to make progress towards their goals.

Out of the 102 units developed in the Brookside Phase II Rental project and 77 units at Rockview, all residents have been assessed and are required to enroll in the CARES program except those residents who are excluded.

There are two levels of engagement into the program, a Full CARES participant and Transition participant. A Full CARES resident is an individual who possesses educational and job development skills that have a substantial demand in the labor market. The Full CARES participant typically is working full-time and earning a livable wage. Transition CARES residents lack one or both criteria mentioned above. A typical Transition participant is working part-time and/or in need of training to obtain higher wages and full-time job.

Residents and participants are incentivized to enroll in the CARES program because of the intensive supportive services offered, the escrow payment and the increased control over the use of their funds (including subsidy dollars). Also, the intensive supportive services for a 24-month period over the 72 months, residents will receive a lump sum of the equivalent to the subsidy payments in the final year of the program deposited into an escrow account (REEF) released upon graduation from CARES. The funds in the REEF at year three may be used to cover the following costs; a hardship (as defined under the Hardship Policy and Guidelines), purchase of a vehicle to attain or maintain employment (a onetime payment not to exceed $3,000 after all other options have been exhausted), start a small business (a onetime payment not to exceed $2,500 after all other options have been exhausted), purchase a computer, or enroll in higher education, subject to the approval of

ECC/HANH. The monthly subsidy payment will be pre-determined at an initial assessment conducted prior to lease up in a manner consistent with ECC/HANH's Rent Simplification Program.

While the most intensive supportive services are provided during the first two years of the program, all participants continue to be able to avail themselves of the support as needed. It is anticipated that as barriers and service needs are addressed, the need for such intensive support will wane. This policy and procedural change has resulted in modifications to the MTW Plan, ACOP and Administrative Plan.

Impact

Currently, 127 residents are enrolled in CARES: 63 residents in Transition CARES and 64 households are Full CARES. Since the beginning of the program, which begin in FY 2013, the resident participant numbers have increased by 105%. The expansion of the program was directly related to the addition of 77 units the Rockview development, in which residents who moved in had to qualify for the program before moving in and we then enrolled.

Residents under the Full CARES Program are employed full-time. Of the 64 households enrolled, there is an average of $22,519 in household wages earned per year. This average income is a decrease from FY 2016, but that decrease is largely due to the several higher-income households moving out of the Brookside/Rockview developments. Of the current households, 37% are near the benchmark of $45,000 in earned annual income and 28% exceed the $45,000 income bracket.

Residents under the Transition CARES Program are employed part-time or are enrolled in a higher education program. The 63 households enrolled have an average earned income of $16,569, which is a $2,319 increase (16%) in from FY 2016. In FY 2017, there are also 63 residents who matriculated from Transitional CARES into Full CARES.

Progress made within the program includes an increase in the number of residents who have moved from part-time to full-time employment, which resulted in a decrease of 23% of residents employed part-time and who successfully transitioned into the Full CARES as a result. Additionally, a larger number of residents took advantage of employee related training programs offered by ECC/HANH. Residents also saved an average of $500 in their personal bank accounts outside of the CARES escrow.

Also important to note, is the increase to 100% compliance CARES program within the program guidelines. This is due to direct support that participants receive from CARE coordinators who work exclusively with residents enrolled in the program.

The program continues to move residents to self-sufficiency. To date, 64 of the participants are currently enrolled in training/higher education, 3 participants became home owners, 2 participants started businesses, 3 graduated with 1 earning a law degree, 1 with RN, and 1 with a Bachelor's degree.

Outcomes

HUD-Required Metrics

SS #1: Increase in Household Income

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average Income for Full Cares and Transition CARES participants*	Average income of population: $16,897 in Fiscal Year 2013	Average family income of $45,000 by program completion (Full CARES)	**-2017** Brookside Phase II Transition: $14,808 Brookside Phase II Full CARES: $17,030 Rockview Phase II Transition: $18,330 Rockview Phase II Full CARES: $28,009 **2016** Brookside Phase II Transition: $14,000 Brookside Phase II Full CARES: $32,000 Rockview Phase II Transition: $14,450 Rockview Phase II Full CARES: $30,000 **2015** Transition CARES: $14,200 Full CARES: $31,500 **2014** Transition CARES: $15,300 Full CARES: $29,200	No
SS #2: Increase in Household Savings				
Unit of Measurement	**Baseline**	**Benchmark****	**Outcome**	**Benchmark Achieved?**
Average amount of savings/escrow of participants affected by this policy in dollars (REEF accounts)	Zero	$8,000 per participant	**-2017:** Brookside: $10,443.62 Rockview: $10,825.59 - **2016:** Brookside: $8,000 Rockview: $3,000 **2015:** $8,100 per participant** **- 2014:** $0 - **2013:** $0	Yes
SS #3: Increase in Positive Outcomes in Employment Status				
Unit of	**Baseline**	**Benchmark**	**Outcome**	**Benchmark**

Measurement				**Achieved?**
Number of participants enrolled in education /job development training	Zero	10% annual increase in enrollment of education/job development classes	**2017** - 64 participants total - 25 participants in classes - 31 participants in training - 4 participants in 4-year colleges - 2 in graduate school - 12 participants in adult education **2016** - 35 participants total - 6 participants in classes - 8 participants in training - 6 participants in 4-year colleges (2 in 4-year online college; 2 in 4-year traditional college) - 2 in graduate school - 2 participants in adult education **2015** - 21 participants in classes - 20 participants in training - 6 participants in 4-year colleges or graduate school **2014** - 36 participants in classes - 31 participants in training - 5 participants in 4-year colleges **2013** - 26 participants in classes - 0 participants in training - 0 participants in 4-year colleges	Yes
SS #4: Households Removed from Temporary Assistance for Needy Families (TANF)				
Unit of Measurement	**Baseline**	**Benchmark*** **	**Outcome**	**Benchmark Achieved?**
Percentage of households receiving TANF assistance	2013: 4 (11% of Transition CARES)	Reduction by 20% of prior year households receiving TANF	**2017** - Total: 13 residents - Brookside Phase II: 3 residents (0.05% of Transition CARES)	Yes

			- Rockview: 10 residents (14% of Transition CARES) **<u>2016</u>** - Total: 17 residents - Brookside Phase II: 7 residents (8.5% of Transition CARES) - Rockview: 10 residents (12% of Transition CARES) **<u>2015</u>** - 8 residents (9% of Transition CARES) **<u>2014</u>** - n/a	
SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark*** **	**Outcome**	**Benchmark Achieved?**
Number of participants receiving services aimed to increase self-sufficiency (participants who have completed CARES action plans)	Zero	10% annual increase	- 2017: 127 - 2016: 139 - 2015: 175 - 2014: 117 - 2013: 62	No
SS #8: Households Transitioned to Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households who receive zero subsidy at the end of year six	Zero	12 by the end of the program. Estimated length of the program is six years in total.	N/A	TBD once program reaches the end of year six. Note that 2 participants did "graduate" in FY 2015.

* Weighted income figures across Brookside and Rockview participants
** Benchmark was created in FY 2017 and may be reevaluated in FY 2018.
*** While this benchmark has been met, it may be reevaluated in FY 2018 to reflect the idea that there will always be a certain percentage of new participants on TANF and the goal of transitioning those participants off TANF after enrollment.
**** This benchmark may be reevaluated in FY 2018 to reflect the fact that participation is capped by the number of residents in the two developments.

Internal Metrics

Enrollment

Unit of Measurement	Baseline	Benchmark*	Outcome	Benchmark Achieved?
Number of Full CARES participants	Zero	25% Increase in Full CARES	- 2017: 64 - 2016: 56 - 2015: 83 - 2014: 48 - 2013: 24	Yes
Number of Transition CARES participants	Zero	25% Reduction in Transition CARES	- 2017: 63 - 2016: 82 - 2015: 92 - 2014: 68 - 2013: 38	No
Non compliant with program requirements				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of participants compliant with the program's requirements	Zero	60% of new participants will remain compliant	- 2017: 127 (100%) - 2016: 64 (46%) - 2015: 158 (90%) - 2014: 80 (98%) - 2013: 62 (83%)	Yes

* These benchmarks may be reevaluated in FY 2018 to reflect the fact that participation is capped by the number of residents in the two developments and the importance of serving new residents who may be more fit for Transition CARES. In the future, the benchmark may focus on the percentage of new participants who are transitioned to Full CARES within a certain amount of time.

Challenges or Changes

Residents entering the program are in need of job training or certification in professionals that are highly marketable. ECC continues to refer these residents to programs that would beneficial to self- sufficiency.

Initiative 2.4. Teacher in Residence

Approved in FY 2015 and implemented in FY 2016

Description and Status

ECC/HANH has recently launched a new youth initiative—ECC Believes. Based on the premise that although some young people are able to rise above the dictations of birth and family structure in order to advance academically, personally, and professionally, most do not without intensive supports from an array of service providers and caring, community-based organizations. ECC/HANH is leveraging smart housing policy in order to advance academic outcomes for student residents. The initiative is also a motto we believe in—that each of our students can achieve excellence through the provision of supports to students and families to help them on their way towards success.

ECC Believes is comprised of supports that expand upon the good work ECC/HANH has been doing as well as enhance what the nationally recognized New Haven Public Schools are doing. Programs are research-based and best practice supported as well as founded on feedback from ECC/HANH residents, ECC/HANH staff, and community stakeholders. As such, we focus our youth initiative on 1) academic supports and afterschool programming to reduce the achievement gap; 2) parent and family engagement in children's education; and 3) increasing programs that support post-secondary opportunities. In addition to the array of ECC/HANH-wide programs, ECC/HANH has school-specific partnerships that cater to individual student needs (e.g. Tutoring and small group homework help, whole-family wraparound evaluations and mental health supports, student attendance and engagement assistance).

As part of ECC Believes, ECC/HANH seeks to make academic supports readily available to the approximately 2,000 school age youth residing in our developments. Modeled on the Officer in Residence program already implemented through HUD approval, ECC/HANH proposed a new MTW initiative that would offer housing to teachers in exchange for the delivery of homework help and tutorial services for our youth. Teachers housed through ECC Believes are called "Teachers in Residence" and the initiative will provide ECC/HANH youth with the necessary academic assistance so many of our youth need as well as help bridge an historical divide between educators and our families. Creating communities where teachers and parents reside and commune regularly will shift traditional relationships between teachers and parents. In turn, the program will create space for experiential learning, living, and communication. We are building relational pathways from the home into the classroom.

Teachers in the pilot program, as part of an agreement between ECC/HANH and each teacher, are required to provide educational assistance to ECC/HANH's youth at McConaughy Terrace and Waverly Townhouses (the developments selected for the pilot where the Teachers in Residence are housed). Educational assistance to Elm City Communities' school-aged youth is defined as follows:

- Conduct a site-based homework help program at the developments in which the Teacher in Residence resides, in conjunction with ECC/HANH staff, throughout the school year;
- Provide homework help and/or tutoring for students in their respective ECC/HANH developments;
- Facilitate site-based meetings for parent residents, in conjunction w/ ECC/HANH staff, so that parents may better understand how to navigate the New Haven public schools; and
- Participate in the Tenant Resident Council.

ECC/HANH hosts meet and greets for each teacher at the identified ECC/HANH sites in order to spark relationships between and among the Teachers in Residence and residents, facilitate communication between the teachers and ECC/HANH staff, and evaluate and alter the program as needed. Specific terms of the program are included in the Teacher in Residence agreement.

The Special Use unit designation benefits teachers in providing subsidized housing as well as benefits residents as the teacher in residence will support academic achievement of ECC/HANH's youth through the aforementioned educational assistance. Increasing students' academic achievement has the potential to end the cycle of poverty for our families. In doing so we build a new, vibrant middle class in New Haven, as this initiative increases the economic self-sufficiency of our families. Outcomes include improved academic success as students receive additional academic assistance, improved attendance in school as students better understand the academic material, and improved performance on district and/or standardized testing.

Program dollars are limited in terms of the ability to pay for such on-site services. By offering the incentive of housing, we are able to access these services without an additional outlay of cash. Efforts to ensure the academic success of young people reduce the likelihood that they become the next generation of subsidized housing recipients.

ECC/HANH received HUD approval for two MTW neighborhood services special use dwelling units—one at Waverly townhouses and the other at McConaughy Terrace. ECC/HANH solicited potential teachers for the program. A job posting was listed with the agency, and interviews for the position began during June 2016. The goal was to have teachers in place before the beginning of the upcoming school year (i.e., late August 2016). As of the end of FY 2016, one teacher has moved into Waverly Townhouses. As a result in the complications of hiring a teacher at McConaughy Terrace, the special unit was reverted back to a residential unit.

Impact

ECC/HANH originally received approval from HUD for two MTW neighborhood services special use dwelling units – one at Waverly Townhouses and the other at McConaughy Terrace. However, ECC/HANH faced difficulties hiring a teacher at McConaughy Terrace, and so the special unit was reverted back to a residential unit. ECC/HANH continues to provide afterschool homework assistance to children at McConaughy Terrace with the average of 60 households participating.

Over the past fiscal year at Waverly Townhouses, which has 40 households, ECC/HANH has implemented the Teacher in Residence program to engage school-age children who reside at the development with educational programming to throughout the school year and summer months.

At the development, 25 out of 36 school-aged children, which represent 69.4%, are enrolled in the programming offered by the Teacher in Residence. To date, the children who participated have shown academic and social emotional growth as well as an increased attendance in school. Of the children participating, 90% have shown progress in reading, with increased reading levels noted by the Teacher in Residence. Additionally, parents of children participating have noted and expressed positive growth of their child(ren)'s confidence and increased interest and engagement in school.

Along with our Teacher in Residence Program, ECC/HANH has developed a hands-on, literacy-based, multidisciplinary STEAM (Science, Technology, Engineering, Arts and Math) curriculum that is available to any school-aged child residing at Waverly Townhouses. Children are offered the opportunity to participate in several uniquely designed programs that include the hands-on interactive use of manipulatives aimed to foster mathematics and literacy, interactive field trips throughout the community (including trips to several Yale museums, the beach and local businesses), as well as the roll out of a Reading Challenge during the summer months to motivate summer reading and combat summer reading loss.

Number Days Absent Grouped by Development Site							
	Number Students				Percent Students		
Property	0	1-14	15+ Days	Total	0 Days	1-14 Days	15+ Days
Waverly	6	11	8	25	24%	44%	32%
Total	6	11	8	25	24%	44%	32%

Outcomes

HUD-Required Metrics

SS #5: Households Assisted by Services that Increase Self-Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark***	**Outcome**	**Benchmark Achieved?**
Number of households receiving consultation and/or technical assistance	0	65% of school-aged children in Waverly Townhouses	2017: 55% 2016: N/A	No.

** This benchmark was created in FY 2017 and may be reevaluated in FY 2018*

Internal Metrics

Teachers in Residence Metrics

Enrollment				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of children at each session	10	10% Annual Increase	-2017: 10	N/A
Minimum of 15 children enrolled over the course of the year	20	5% Annual increase	-2017: 25	Yes
Increase student achievement in literacy				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome***	**Benchmark Achieved?**
Improvement in individual reading levels	n/a	80% of students will increase one reading level (equivalent to one year's growth)	-2017: 90%	Yes
Increase student achievement in Mathematics				
Unit of	**Baseline**	**Benchmark**	**Outcome***	**Benchmark**

Measurement				Achieved?
Improvement in individual mathematics levels	N/A	80% of the students will increase one math level (equivalent to one year's growth)	No data collected during FY 2017.	N/A

Challenges or Changes

In FY 2017, the special unit at McConoughy Terrace was transitioned to a residential unit due to difficulties in finding a second Teacher in Residence. However, services continue to be provided at this site although it is currently not part of the Teacher in Residence initiative. Data for growth in math was not collected as a result of not having a software program that could monitor results. In FY 2018, ECC/HANH plans to purchase a math literacy program tracker.

Activities to Increase Cost Effectiveness

Initiative 3.1 – Rent Simplification

Approved in FY 2007 and implemented in FY 2008.

Description and Status

The full description of ECC/HANH's rent simplification program can be found in Appendices 6 and 7.

ECC/HANH utilizes EIV for all third-party verifications. In FY 2009, ECC/HANH implemented the multi-year recertification cycles with "work-able" families recertified every two years and elderly/disabled families recertified every three years. Elderly/disabled families are newly defined as: all adult members (excluding live-in attendants) of the household are elderly (age 62) and/or disabled. MTW families that don't meet the new elderly/disabled definition will be considered work-able families.

ECC/HANH's rent simplification activities include the following major elements:

i. **Multi-year recertification cycles**. Triennial cycle (every three years) for elderly/disabled households (defined as Head, Co-Head, or Spouse is elderly and/or disabled); and Biennial cycle (every two years) for work-able households (those that do not meet the elderly/disabled definition).

- **Rationale**: Very little change in income takes place with elderly/disabled families on fixed income so there is little financial incentive for ECC/HANH to verify their income annually. Work-able families will benefit from two-year cycles as they will not pay incremental rent on any increases in income for the two years between recertifications.
- **Expected impact**: Positive impacts related to less frequent recertifications are expected in administrative savings, resident/participant satisfaction and reduced need for interim recertifications.

ii. **Simplified Rent Tiers that incorporate deductions**. Rent tiers were built to simplify the rent calculation. Rents are based on $1,000.00 income bands starting at $2,500.00. Rent is based on the mid-point of each income band. In addition, ECC/HANH eliminated standard deductions for elderly, disabled and non-elderly households.

- **Rationale**: Using a band-based tiered rent schedule allows families to move away from verifying every last dollar earned and deducted.
- **Expected impact**: Positive impacts related to less intrusive recertification process and increased understanding of the rent calculation methodology are expected.

iii. **Exceptional expense tiers.** Households with exceptional expenses may request a rent reduction. This includes large families (with more than two children). It also includes families with excessive medical, disability assistance, or childcare expenses. Tenants are not required to provide documentation of every dollar of expense; rather, tenants need only provide documentation sufficient to meet the appropriate tier. The amount of monthly rent reduction is established at the mid-range of the tier. Households with exceptional expenses will receive a direct reduction of the monthly rent. However, no tenant's rent will be reduced below a monthly rent of $50.00.

Tiered Amount of Expenses	Monthly Rent Reduction
$ 2,000 - $ 3,999	$ 75 (equivalent to $3,000 deduction)
$ 4,000 - $ 5,999	$ 125 (equivalent to $5,000 deduction)
$ 6,000 +	Hardship Review

- **Rationale**: Excessive resources are dedicated to verifying deductions for childcare, medical and disability allowances. Third-party verifications of these amounts are difficult to accomplish and the agency more often than not relies upon second- and first-party verifications of these deductions. Obtaining verification data also places an undue burden on the resident.
- **Expected Impact:** Administrative savings, simplified process for residents/participants and fewer recertification appointments are expected. Also, rent tiers have been built to minimize impact on residents during the initial years and to phase in rent increases over time. Residents will not experience an overwhelming rent burden, yet will be incentivized to increase their earnings over time as their rent gradually increases. The impact on income has been tracked.

iv. **Minimum Rent of $50**. ECC/HANH established a minimum rent of $50 with the expectation that everyone pays something for housing. Residents who are unable to pay the minimum rent of $50, can request a hardship exemption for $0 rent. These individuals meet with ECC/HANH Hardship Committee to determine the nature and length of the hardship and their rent is then modified accordingly based on the information collected. In order to move these residents towards self-sufficiency, they are referred to the Family Self-Sufficiency program if the adult household member is non-elderly/non-disabled.

- **Rationale**: All families should pay something for their housing.
- **Expected impact**: HCV subsidy should decrease and PH rent rolls should increase. ECC/HANH will monitor the number of families on minimum rent and hardship requests to gauge the impact on families.

v. **Transition to Avoid Hardships.** There will be a transition period of one year from the current income-based rent determination process to the new income-tiered rent determination process. No family will have an increase in Total Tenant Payment (TTP) during the first year they are subject to the requirements of this Rent Simplification Policy. No family shall be subject to an increase in a TTP of greater than $25.00 a month during the second year that the family is subject to the Rent Simplification Policy. The increase in TTP during the third year the family is subject to Rent Simplification shall not exceed more than $50 a month; $75 a month during the fourth year; and $100 a month for subsequent years. (These increases are based on a family's monthly TTP in the year immediately preceding the implementation of Rent Simplification.)

- **Rationale**: Limit undue hardship to families due to minimum rents and streamlining of deductions.
- **Expected impact**: No sudden increase in hardship applications due to rent simplification activities.

Impact

Multi-year recertification schedules. ECC/HANH realized a slight decrease in the number of annual recertifications processed in FY 2017 (1401) vs. FY 2016 (1431). However, this a 61% decrease from the approximate 3,628 recertifications in FY 2007, prior to implementation in 2008. Due to the fact, that the biennial and triennial recertifications have gone through a full cycle, the downward trend will not be as significant and will only fluctuate based on the number of families who enter or leave the program on an annual basis. Therefore, this initiative can be closed out in FY 2018. There has also been a 47% reduction in printing costs since 2007 due to a reduction in the number of families that are recertified on an annual basis.

The biennial/triennial recertifications has reduced staff time to process the recertifications, reduced the burden for residents and participants from having to recertify annually, provided documentation for every dollar expense for deductions and allows families to save money for any increase in wages in between recerification cycles.

Minimum rent. In FY 2016, 94 applications were received and 55 (59%) of those applications were approved. In FY 2017, 73 hardship requests were received and 67 (92%) were approved. ECC/HANH continues to monitor trends in hardship applications. Since 2012, there has been a 70% decrease in requests received. It is anticipated that applications will trend downward with approvals will steadily increase as fewer inappropriate applications are received, appropriate applications are processed and approved, and ultimately more residents are able to obtain employment and thus do not need minimum rent or exemptions.

Simplification of deductions. Even though the rent calculation was simplified with tiered rents and simplified deductions, most of the time savings have resulted from a decrease in the number of recertifications processed and a reduction in the time required to process a recertification. Annual staff hours have reduced by 51% since 2007.

Outcomes

HUD-Required Metrics

CE #1: Agency Cost Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Savings related to staff reduction due to implementation of multi-year recertification	$0	($133,000)	- 2017: $173,533 - 2016: $168,479 - 2015: $163,572 - 2014: $158,808 - 2013: $154,182 - 2012: $149,691 - 2011: $145,332 - 2010: $141,099 - 2009: $136,990 - 2008: $133,000	Yes. In 2008 there was a LIPH Director and HCV Director. The LIPH Director position was eliminated. HCV director position (salary + benefits) in 2008. Position was combined.

Total annual cost of printing and mailing documents related to annual recertification (excluding staff time; PH and HCV combined).*	$26,923 (2007)	$13,750	- 2017: $14,344 - 2016: $17,391 - 2015: $12,705 - 2014: $14,927 - 2013: $13,338 - 2012: $16,924 - 2011: $14,597 - 2010: $23,639 - 2009: $26,340 - 2008: $26,175	No
CE #2: Staff Time Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Total annual staff time in hours to complete annual recertifications (PH and HCV combined)**	12,238 (2007)	5,000 annual staff hours	- 2017: 5,998 - 2016: 7,273 - 2015: 5,313 - 2014: 6,133 - 2013: 4,850 - 2012: 6,154 - 2011: 5,308 - 2010: 8,596 - 2009: 9,578 - 2008: 9,518	No
CE #3: Decrease in Error Rate of Task Execution				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average percentage error rate in calculating rents in annual recertifications (% files reviewed with errors)	11% of files (2011)	5% of files	2017: 1% of files (HCV) - 2016: 1% of files (HCV) - 2015: 24% of files (HCV) - 2014: 24% of files (HCV) - 2013: 15% of files (HCV) - 2012: 10% of files (HCV)	Yes

* 4,895 PH+HCV recertifications (2007); 2,310 (2015); 3,162 (2016); 2,000 (benchmark); $5.50 total cost per recertification packet: $2.50 average cost of postage and $3.00 printing (60-page recertification packet at $.05 per page) per recertification pre- and post-new schedules.

** 4,895 PH+HCV recertifications (2007); 2,714 (2014); 3,162 (2016); 2,500 (benchmark); 2.5 hours average staff time (both PH and HCV) per recertification pre-rent reform per 2007 time study and 2.3 hours post-rent reform from 2014 HCV activity time study (average of work-able and elderly/disabled households recertification processing time)

Internal Metrics

Rent Simplification Initiative Metrics

Unit of Measurement	Baseline	Benchmark	Outcome*	Benchmark Achieved?

Number of hardships approved and hardship applications	- 2012: 122 approved/243 applications - No baseline data available prior to 2012	No significant increase in hardships	2017: 67 approved /73 applications - 2016: 55 approved/94 applications - 2015: 42 approved/111 applications - 2014: 40 approved/213 applications - 2013: 54 approved/195 applications	No
Number of families on minimum rent	- 28 (HCV - 2010) - 170 (PH - 2007)	Decrease in minimum rent households	- 2017: 380 (HCV); 171 (PH) - 2016: 360 (HCV); 233 (PH) - 2015: 348 (HCV); 213 (PH) - 2014: 341 (HCV); 233 (PH) - 2013: 314 (HCV); 212 (PH) - 2012: 287 (HCV); 180 (PH) - 2011: 227 (HCV); 183 (PH) - 2010: 28 (HCV); 153 (PH) - 2009: 33 (HCV); 147 (PH) - 2008: 121 (HCV); 161 (PH)	No
Number of annual interims processed (PH and HCV combined)	1,280 (2007)	1,300	- 2017: 2,493 - 2016: 2,497 - 2015: 1,551 - 2014: 1,539 - 2013: 1,363 - 2012: 1,967 - 2011: 1,598 - 2010: 1,196 - 2009: 1,364 - 2008: 1,140	No

* The 2016 number of hardship applications and approvals was updated to the correct number.

Challenges or Changes

Most benchmarks have not been met this year nor in previous years. Because the initiative has been fully implemented, it is not expected to have increasingly positive impacts. Therefore, the initiative can be closed out in FY 2018.

Initiative 3.5 – HCV Rent Simplification/Cost Stabilization Measures

Approved in FY 2014.

Description

ECC/HANH enacted Rent Simplification measures consistent with the FY 2008 MTW Plan. This initiative expands upon those streamlining measures. This initiative replaced previous Initiative 3.3 (closed out) and was transitioned once HCV organizational changes and caseload optimization were completed.

This activity has three components:

Part 1. HQS Inspections on Biennial/Triennial Schedule
Unit inspections and rent increases are placed on a schedule consistent with recertifications so that recertifications and HQS inspections will coincide. However, HCV participants and landlords can request a Special inspection, if necessary, at any point that deficiencies are suspected.

- **Rationale**: History has demonstrated that the majority of all units inspected annually pass on the first inspection. It is reasonable to assume that given high pass rates, the quality of the housing lends itself to less frequent inspections.
- **Expected impact**: Savings in staff time related to inspection scheduling and a reduction in cost of the inspection contract with the City of New Haven are expected.

Part 2. Self-Certification for Fails Not Related to Health/Safety
A self-certification process will be used for inspection follow-up related to HQS inspection fails linked to items that are not health and safety related. For annual (biennial and triennial) HQS inspections, landlords and participants will be able to self-certify and submit documentation of correction of deficiencies. All participants retain the right to request a Special Inspection at any time.

- **Rationale**: Currently, approximately 860 inspections are required due to a fail for items that are not health and safety related. The cost of these inspections is approximately $61,000.00.
- **Expected impact**: The number of re-inspections related to minor fails that are not health and safety related is expected to be reduced.

Part 3. Landlord Rent Increases on Biennial/Triennial Schedule
Landlord rent increases are only processed at the time the family is recertified. These recertifications take place biennially for work-able families and triennially for elderly/disabled families. HQS inspections are placed on the same schedule as HCV recertification. Since the HCV caseload optimization will change recertification dates, HQS inspection dates have changed correspondingly. See Initiative 3.1 for definitions of elderly/disabled and work-able families.

- **Rationale**: Requests for rent increases currently were allowed annually. Among the 3,500+ landlords, an average of 700 rent increases were requested and approved annually. This represents 20% of the assisted units, which suggests that most landlords are not requesting annual increases.
- **Expected impact**: Savings in HCV staff time is expected as a result of the reduction in the number of requests related to landlord rent increases.

Impact

While ECC/HANH did not see the expected cost savings associated with the inspection components of this initiative, ECC/HANH did realize a reduction in staff time in scheduling inspections, as 904 hours in 2014 reduced to 670 hours in 2017 (a 26% decrease).

ECC/HANH did see a cost savings in biennial/triennial rent increases. In FY 2017, 278 rent increases were approved and processed compared to 729 in FY 2013, the year prior to implementation, a 62% reduction. There was a 21% reduction in annual HAP costs, due to rent increases.

ECC/HANH implemented the self-certifications inspections in mid FY 2017 and expects to see savings in FY 2018. However, there was a slight increase in the number of increases from FY 2016 (264, costing $437,580) to FY 2017 (278, costing $453,324).

Outcomes

HUD-Required Metrics

Metrics Related to Inspection Components (1, 2) of Activity

CE #1: Agency Cost Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Cost of inspection contract with City of New Haven	$259,000 (2014)*	25% reduction of inspection contract cost with City	- 2017: $275,379 - 2016: $275,379 - 2015: $275,379	No
CE #2: Staff Time Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Total HANH internal staff inspection scheduling time (annual hours)**	904 hours (2014)	367 hours	- 2017: 670 hours - 2015: 778 hours	No

* ECC/HANH's current (2014) inspection contract with the City of New Haven costs $259,000. This number includes 860 inspections for fail items that are not health and safety related. These inspections cost $61,000 to process. The proposed policy will allow self-certification for these issues.

** # of HCV program inspections under current MTW inspection policy is 2,484. # annual HQS inspections expected to be further reduced to 1,467 due to proposed MTW elderly/disabled population change and proposed biennial/triennial inspection protocol; Staff spend 15 minutes scheduling "annual" HQS inspections. FY 2015 inspections = 3,111; 3,616 in FY 2014. Note that the outcomes include the initial and special inspections.

Metrics Related to Biennial/Triennial Landlord Rent Increase Component (3) of Activity

CE #1: Agency Cost Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Cost (in annual HAP) of processing landlord rent increases	$573,000 (2014)*	$200,000	- 2017: $453,324 - 2016: $437,580 - 2015: $343,932 - 2014: $573,000	No

CE #2: Staff Time Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Annual staff time (hours) spent processing landlord rent increases	401 hours (2014)**	0 hours	- 2017: 278 hours - 2016: 232 hours - 2015: 210 hours	No

* ECC/HANH processed 401 annual landlord rent increases in FY 2014 with average annual HAP increase of $1,429 ($119 per month). ECC/HANH processed 210 HCV landlord rent increases in FY 2015.
** ECC/HANH processed 401 annual landlord rent increases in FY 2014. 2014 time study found that landlord rent increases take an average of one hour to process.

Internal Metrics

Special Inspections				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of HCV special inspections	157 special inspections (2015)	No significant increase over baseline	- 2017: 274 - 2016: 338 - 2015: 157	No

Challenges and Changes

HCV special inspections significantly decreased over this fiscal year. ECC/HANH staff have been working with landlord and participants to resolve issues without requiring an inspection. Self-certifications inspections were implemented mid-year 2017

Activities on Hold

Initiative 1.16 – Crawford Manor Transformation Plan

Approved and placed on hold in FY 2016

Description and Status

ECC/HANH applied for the Choice Neighborhoods Initiative Planning Grant. This grant would have allowed for a comprehensive approach to neighborhood transformation. If awarded, this grant would have provided for up to $500,000 in funding to develop a transformation plan to revitalize Crawford Manor and the surrounding neighborhood. As one of the older, blighted developments in our portfolio, Crawford Manor is an ideal focus for a neighborhood transformation plan.

As part of the transformation plan, ECC/HANH proposed not only a redevelopment of the housing units at Crawford Manor, but also transformation of the surrounding community into a community that supports the long-term economic sustainability of our residents, as well as the long-term economic sustainability of the City of New Haven along the Route 34 corridor. Through collaboration with other community partners, including the Economic Development Corporation, City of New Haven, and the Board of Education, ECC/HANH had expected to: (1) redesign the infrastructure to create more traffic flow through the community, (2) redesign the housing units to be more spacious, (3) remove barriers that individuals and families face by providing supportive services, and (4) address other critical components raised throughout the planning process. The supportive services were going to include improved access to jobs, high quality early learning programs, public assets, public transportation, and high-quality public schools and education programs.

Under ECC/HANH's MTW Agreement with HUD, ECC/HANH is authorized to develop its own Leased Housing Program through exceptions to the standard HCV program, during FY 2008, ECC/HANH began to implement MTW Rent Standards that allow ECC/HANH to approve exception rents. Under no circumstances may ECC/HANH approve an MTW Rent Standard above 150% without prior HUD approval. ECC/HANH will reexamine its MTW Rent Standards monthly to ensure that ECC/HANH does not exceed 120% of the FMRs in the mean Rent Standard, which includes HAP payments to landlords, tenant rent payments to landlords, and any utility allowance amounts.

Impact

ECC/HANH was not successful in receiving the Choice Neighborhood Initiative Planning Grant. As a result, this initiative has been placed on hold.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for	104 units	99 units	2016: 109	Yes

households at or below 80% AMI that would otherwise not be available (increase).			units	

Challenges or Changes

ECC/HANH did not receive a Choice Neighborhood Initiative Planning Grant, causing this initiative to be placed on hold.

Fulton Park Modernization

Approved in FY 2011 and placed on hold in FY 2012

Description

This initiative was approved in FY 2011 and placed on hold in FY 2012 and has continued to be deferred in FY 2016. This development was included in the RAD conversion for FY 2016. ECC/HANH completed a RPCA and submitted a RAD application on October 9, 2015, for the rehabilitation of Fulton Park. ECC/HANH had anticipated a HUD RAD application decision in the spring of 2016, but the project continued to be deferred due to discovery of significant structural issues. Upon approval, ECC/HANH will begin submission of the RAD materials.

Status

The Fulton Park project continued to be deferred in FY 2016 since ECC/HANH has discovered some significant structural issues in the property. ECC/HANH is in the process of further studying Fulton Park's structural integrity. Once this evaluation is completed, ECC/HANH can continue with planning.

Closed Out Activities

Activity	Plan Year Approved/ Implemented	Year Closed Out
Initiative 1.1 – Development of Mixed Use Development at 122 Wilmot Road	Approved in FY 2009, the development was completed and occupied in September 2013.	FY 2014
Initiative 1.3 – Fungibility	Approved in FY 2012 and implemented in FY 2013, but HUD provided guidance that this was no longer required to be listed as an MTW initiative.	FY 2013
Initiative 1.13 – Creation of a Commercial Business Venture at 122 Wilmot Road	Approved in FY 2013, but MTW authorization no longer required.	FY 2014
Initiative 1.14 – Redevelopment of 99 Edgewood Avenue (Dwight Gardens). ECC/HANH will use MTW Block Grant Banks to develop housing through a mixed finance process.	Approved in FY 2013, never implemented.	FY 2014
Initiative 3.2 – UPCS Inspections	Approved and implemented in FY 2008, but MTW authorization no longer required.	FY 2013
Initiative 3.3 – Revised HQS Inspection Protocol	Approved and implemented in FY 2011, but replaced with Initiative 3.5.	FY 2015
Initiative 3.4 – Mandatory Direct Deposit for Housing Choice Voucher Landlords	Approved and implemented in FY 2010, but MTW authorization no longer required.	FY 2014
LIPH Income Targeting: Marketing Initiatives for Higher Income Eligible Families	Approved in FY 2008, placed On Hold in FY 2014, and Closed Out in FY 2016.	FY 2016

Initiative 1.1 – Development of Mixed Use Development at 122 Wilmot Road

Approved in FY 2009, implemented and closed in FY 2014. The development was completed and occupied in September 2013.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	- 2,965 units (frozen 2001 base)	2,529	- 2014: 2,447 units - 2013: 2,613 units	No

CE #4: Increase in Resources Leveraged				
Unit of Measurement	**Baseline***	**Benchmark**	**Outcome**	**Benchmark Achieved?**
122 Wilmot Road dollars leveraged	1.7	2.0	- 2015: 3.2	Yes

Farnam Phase 1	1.7	2.0	2016: 3.1	Yes
Fair Haven	1.7	2.0	2015: 3.1	Yes

* Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace 2

Internal Metrics

Redevelopment Metrics

Internal Metric #1: Increase in Agency Revenue				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Increase in agency revenue - 122 Wilmot Road redevelopment fees*	$0	$0	2014: $1,419,767.	Yes
Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	Quinnipiac Terrace: 89 (2012) 98 (2013) Eastview Terrace, 95 (2012). McConaughy Terrace: 70 (2009) 58 (2010) 78 (2011) 82 (2012). McQueeney: 54 (2009) 85 (2010) 59 (2011) 64 (2012). Ribicoff Cottages –EXT: 91 (2009) 68 (2010) 82 (2011) 82 (2012). Robert Wolfe: 51 (2009) 80 (2010) 49 (2011) 82 (2012). Ruoppolo/Fairmont: 56 (2009) 61 (2010) 65 (2011) 79 (2012) 86 (2013). Westville Manor: 90 (2009) 35 (2010) 51 (2011) 47 (2012). Winslow-Celentano: 53 (2009) 72 (2010) 74 (2011) 71 (2012) 84 (2013) Crawford: 88 (2013).	Yes
Internal Metric #4: TDC				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Average (Actual TDC - TDC at HUD's limits)/number of units	Zero at program's inception	This metric cannot be narrowly defined into a single figure. However, HANH's goal is not to exceed HUD's approved alternative TDC limit.	Brookside I: 50 units at $107,700 per unit Quinnipiac: 17 units at $71,800 per unit Rowe: 78 units at $16,700 per unit	Yes
Internal Metric #5: HCC				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average (Actual HCC -HCC at HUD's limits)/number of units	Zero at program's inception	This metric cannot be narrowly defined into a single figure. However, HANH's goal is not to exceed HUD's approved alternative HCC limit.	Brookside I: 50 units at $132,000 per unit Quinnipiac: 17 units at $66,000 per unit Rowe: 78 units at $33,787 per unit Brookside II: 50 units at $27,900 per unit	Yes
Internal Metric #6: Utility expenses per unit*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Reduction of utility expenses per unit, pre- and post-redevelopment – electric	Valley Waverly: $10,800 per unit in 2012.	5% reduction. Electric utility expenses would reach approximately $10,300 per unit.	- 2012: Eastview Terrace—$9,863 per unit; Quinnipiac Terrace—$5,685 per unit	Yes
Reduction of utility expenses per unit, pre and post redevelopment – gas	Valley Waverly: $730 per unit in 2012.	5% reduction. Gas utility expenses would reach approximately $790 per unit.	- 2012: Eastview Terrace—$333 per units ; Quinnipiac Terrace—$415 per unit	Yes
Internal Metric #7: Crime rate				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47.	10% reduction in number of major crimes.	Quinnipiac Terrace: 3 major crimes in 2012, 4 in 2014, 2 in 2016 West Rock (122 Wilmot, Brookside I and II): 7 major crimes in 2014 West Rock (122 Wilmot, Brookside I and II) 25 major crimes in 2012	Yes

* ECC/HANH has created a new stream of revenue from redevelopment activities. The redevelopment fees are paid by investors and compensates ECC/HANH for administrative costs.
** In 2012, ECC/HANH calculated utilities savings by comparing post-redevelopment average per-unit utility costs at Eastview Terrace and Quinnipiac Terrace to average per-unit utility cost at Valley Waverly, which is not a redeveloped building. ECC/HANH requested data from the public utility to update the later fiscal years but did not receive that information.

Initiative 1.3 – Fungibility of MTW Funds

Approved in FY 2012, implemented and closed in FY 2013. HUD provided guidance that this was no longer required to be listed as an MTW initiative. Fungibility is provided under MTW single fund flexibility and activities using that flexibility only are included in Section V of the MTW Annual Report.

Initiative 1.13 – Creation of a Commercial Business Venture at 122 Wilmot Road

Approved in FY 2013 and closed out in FY 2014. HUD instructed ECC/HANH to close-out this activity as MTW authorization was no longer required. It was combined with Section V: Initiatives Requiring MTW Funding Flexibility Only, Major Redevelopment Efforts at West Rock. The description and outcomes of the activity appear in that section of the report.

Initiative 1.14 – Redevelopment of 99 Edgewood Avenue (Dwight Gardens)

Approved in FY 2013 and closed out in FY 2014. ECC/HANH will use MTW Block Grant Banks to develop housing through a mixed finance process.

Initiative 3.2. – UPCS Inspections

Approved and implemented in FY 2008, and closed out in FY 2013. MTW authorization is no longer required.

Before this activity was implemented, ECC/HANH conducted UPCS inspections of 100% of units and sites each year. UPCS inspections include the entire housing stock, including vacant units. Beginning in FY 2008 and every year subsequent, ECC/HANH completed a random sampling of no less than 20% of units for UPCS inspections. This allowed ECC/HANH to reduce the number of UPCS inspections that must be completed each year. By targeting UPCS inspections at properties most in need, ECC/HANH was able to maximize use of limited resources to reduce costs and maintain its overall agency REAC scores.

Outcomes

HUD-Required Metrics

CE #1: Agency Cost Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Cost of inspection contract (US Inspection Group)	$16,447 (2008)	50% of cost of inspection contract	$16,286 (2013 - Pre-REAC); $11,286 cost of inspections (2012)	Yes. >50% reduction achieved in 2009. 31% reduction between 2008 and 2012

Internal Metrics

UPCS Inspection Metrics

Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Agency-wide REAC scores	82.11 (2008)	No significant change from baseline	- 2012: 82.03 - 2011: 81.29 - 2010: 76.62 - 2009: 79.59	Yes

Initiative 3.3 – Revised HQS Inspection Protocol

Approved and implemented in FY 2011, and closed out in FY 2015. This initiative was replaced with Initiative 3.5.

By reducing the number of required HQS inspections, ECC/HANH realized cost and staff time savings while still maintaining Quality Control inspections of approximately 10% of these units, and the standard of 24 hour correction requirement for health and safety deficiencies. Additionally, the protocol requires HQS deficiencies to be corrected within 30 days or ECC/HANH will abate the landlord’s rent. Quality Control inspections are performed in-house by ECC/HANH staff.

Outcomes

HUD-Required Metrics

CE #1: Agency Cost Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Cost of inspection contract with City of New Haven*	$287,446 (2013)	Limited or no change in cost of City inspection contract	-2015: $275,379 -2014: $258,701	Yes
CE #2: Staff Time Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Total HANH internal staff inspection scheduling time (annual hours)	1,093 annual staff hours (2013)	759 annual staff hours	904 annual staff hours (2014)	No

* FY 2014 includes 3,616 inspections including HQS, reinspections, initials, and specials: Benchmark based on 3,036 inspections including HQS, reinspections, initials, and specials; Baseline FY 2013: 4,372 including HQS, reinspections, initials and specials; 15 minutes staff time scheduling per inspection.

Initiative 3.4. – Mandatory Direct Deposit for Housing Choice Voucher Landlords

Approved and implemented in FY 2010, and closed out in FY 2014. MTW authorization is no longer required for this initiative.

ECC/HANH's ability to effectively manage its HAP payment process has been enhanced by implementing mandatory direct deposit of all landlords who participates in the HCV program. In order to reach the goal of 100% direct deposit utilization, all new owners are required to enter in Direct Deposit Agreements starting in FY 2010. Implementation of this initiative rewards landlords with timely and accurate HAP payments.

This increased efficiency has eased ECC/HANH's burden to accurately administer 1,370 HAP payments to landlords. This initiative was also expected to minimize landlord complaints on non-payment of HAP payments and it has reduced the number of paper checks processed monthly which has in turn reduced the cost of administrating the HCV program.

Outcomes

HUD-Required Metrics

CE #1: Agency Cost Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Landlord check processing cost savings*	$57,060 (2009)	$117,000	- 2014: $102,420 - 2013: $86,490 - 2012: $84,150 - 2011: $82,620 - 2010: $80,010	Yes

* Estimated monthly processing cost per check of $7.50 ($90 annually per landlord). Benchmark based on 100% participation of 1,300 HCV landlords.

Internal Metrics

Mandatory Direct Deposit for HCV Landlords Metric

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of landlords enrolled in direct deposit program (and percentage of total landlords*)	634 (49%) (2009)	100% direct deposit utilization	- 2014: 1,138 (83%) - 2013: 961 (70%) - 2012: 935 (70%) - 2011: 918 (69%) - 2010: 889 (67%)	No, but enrollment increased significantly in 2014.

* There were 1,367 HCV landlords in 2014, 1,370 in 2013, 1,329 in 2012, 1,321 in 2011, 1,320 in 2010, and 1,300 in 2009.

LIPH Income Targeting: Marketing Initiatives for Higher Income Eligible Families

Approved in FY 2008 and placed on hold in FY 2012, Closed out FY 2016

This initiative was first approved in FY 2008. In FY 2009, implementation of the marketing initiatives for Higher Income Eligible families began with the development of marketing materials. In FY 2010, the re-entry pilot implementation was delayed. The policies and procedures were established and revisions to the Admission and Continued Occupancy Policies were implemented. In FY 2011, outreach was set to continue and ECC/HANH expected to bring the initial residents into the program. Due to ECC/HANH's focus on redevelopment activities, this initiative was placed on hold in FY 2012 and no actions have been taken to reactivate the initiative. In FY 2016, ECC/HANH closed out the initiative.

V. SOURCES AND USES OF FUNDS

Annual MTW Report

V.3.Report.Sources and Uses of MTW Funds

A. MTW Report: Sources and Uses of MTW Funds

Actual Sources and Uses of MTW Funding for the Fiscal Year

PHAs shall submit their unaudited and audited information in the prescribed FDS format through the Financial Assessment System - PHA (FASPHA), or its successor system

Describe the Activities that Used Only MTW Single Fund Flexibility

Single fund flexibility is made possible by the MTW program. It enables ECC/HANH to make improvements at some of its developments, enables vacancy prep which increases occupancy, enables major redevelopment efforts, and enables provision of services to our residents through the SEHOP Capital Improvement Program as well as the Resident Services for Elderly/Disabled.

V.4.Report.Local Asset Management Plan

B. MTW Report: Local Asset Management Plan

Has the PHA allocated costs within statute during the plan year?			No
Has the PHA implemented a local asset management plan (LAMP)?	Yes	or	

If the PHA is implementing a LAMP, it shall be described in an appendix every year beginning with the year it is proposed and approved. It shall explain the deviations from existing HUD requirements and should be updated if any changes are made to the LAMP.

Has the PHA provided a LAMP in the appendix?	Yes	or	

No changes were made. Please refer to ECC/HANH's Local Asset Management Plan

V.5.Report.Unspent MTW Funds

C. MTW Report: Commitment of Unspent Funds

In the table below, provide planned commitments or obligations of unspent MTW funds at the end of the PHA's fiscal year.

Account	Planned Expenditure	Obligated Funds	Committed Funds
Type	Description	$ X	$ X
Type	Description	$ X	$ X
Type	Description	$ X	$ X
Type	Description	$ X	$ X
Type	Description	$ X	$ X
Type	Description	$ X	$ X
Type	Description	$ X	$ X
Type	Description	$ X	$ X
	Total Obligated or Committed Funds:	0	0

In the body of the Report, PHAs shall provide, in as much detail as possible, an explanation of plans for future uses of unspent funds, including what funds have been obligated or committed to specific projects.

Note: *Written notice of a definition of MTW reserves will be forthcoming. Until HUD issues a methodology for defining reserves, including a definition of obligations and commitments, MTW agencies are not required to complete this section.*

Planned ECC/HANH and Non-ECC/HANH Sources and Uses for Non-Operating/HAP Activities by Development

Tenant Services – Community and Economic Development

Item	FY 2017 Actual Total	MTW	ROSS	Other Grants
Tenant Service Salaries	$ 1,006,007.00	$ 665,428.59	$ 179,008.41	$ 161,570.00
SEHOP Capital Improvement	$ 70,696.00	$ 70,696.00		
Parent Organizer	$ 95,000.00			$ 95,000.00
CARES	$ 345,497.00	$ 345,497.00		
Mcqueeney Supportive Services	$ 204,115.00	$ 204,115.00		
Crawford Manor Supportive Services	$ 217,897.00	$ 217,897.00		
Ruoppolo and Fairmont	$ 97,347.00	$ 97,347.00		
Robert T. Wolfe	$ 147,566.00	$ 147,566.00		
William R. Rowe	$ -	$ -		
Winslow Celentano	$ 183.00	$ 183.00		
Westville Manor	$ 230,174.00	$ 230,174.00		
McConaughy Terrace	$ 5,893.00	$ 5,893.00		
Valley and Waverly Townhouses	$ 2,073.00	$ 2,073.00		
Katherine Harvey Terrace	$ 670.00	$ 670.00		
Newhall Gardens	$ 499.00	$ 499.00		
Prescott Bush	$ 697.00	$ 697.00		
Constance Baker Motley	$ 386.00	$ 386.00		
Farnam Courts	$ 787.00	$ 787.00		
Essex Townhouses	$ 683.00	$ 683.00		
Scattered Sites	$ 10,621.00	$ 10,621.00		
Miscellaneous	$ 633,000.00	$ 628,000.00		$ 5,000.00
Total CED	**$ 3,069,791.00**	**$ 2,629,212.59**	**$ 179,008.41**	**$ 261,570.00**

Development Costs – Glendower Group

Development	FY 2017 Project Total	Capital Grants	MTW	MTW Actual	Developer Fees Actual	Other
Monterey RAD	$100,000		$100,000			
Eastview Terrace I RAD	$100,000		$100,000	$34,669		
Wilmot Road RAD	$100,000		$100,000	$22,013		
Farnam Courts Phase I RAD	$31,611,552		$13,510,339	$1,298,038	$790,453	$1,092,000
Fair Haven (Farnam off-site) RAD	$1,000,000		$100,000	$166,128		$916,300
Valley Townhouses RAD	$100,000		$1,367,000	$284,066		
Waverly Townhouses RAD	$100,000			$90,503		
Constance Baker Motley RAD	$100,000			$431,395		
Stanley Justice RAD	$100,000		$107,460	$92,220		
Fulton Park RAD	$100,000			$110,265		
Katherine Harvey Terrace RAD	$100,000		$1,027,420	$169,665		
Newhall Gardens RAD	$100,000		$1,509,910	$248,698		

Prescott Bush RAD	$100,000			$257,065		
Robert T. Wolfe RAD	$100,000		$2,182,993	$160,304		
Winslow-Celetano RAD	$100,000		$3,123,163	$122,031		
Matthew Ruppolo Manor RAD	$100,000		$3,466,151	$189,433		
Fairmont Heights RAD	$100,000			$122,220		
McQueeney Towers RAD	$100,000		$142,200	$114,284		
Westville Manor RAD	$100,000		$200,000	$4,903		
Rockview Phase III	$100,000					
Rockview Community Center	$100,000		$100,000	$72,376		
Brookside I Rental CFFP Bond	$906,138	$906,138				
GAP Financing	$1,500,000		$1,500,000			
Total Development Projects	**$36,917,690**	**$906,138**	**$28,636,636**	**$3,990,276**	**$790,453**	**$2,008,300**

Development	Tax Credit Equity	Tax Credit Actual	DECD	Bank Loan	Est Total Project Cost
Monterey RAD					$100,000
Eastview Terrace I RAD					$134,669
Wilmot Road RAD					$122,013
Farnam Courts Phase I RAD	$15,343,002	$1,580,906	$4,000,000	$8,138,000	$45,752,738
Fair Haven (Farnam off-site) RAD	$10,974,034		$1,664,912	$5,890,190	$19,711,564
Valley Townhouses RAD				$2,222,659	$3,873,725
Waverly Townhouses RAD				$4,941,504	$5,032,007
Constance Baker Motley RAD				$1,667,640	$2,099,035
Stanley Justice RAD					$199,680
Fulton Park RAD				$1,411,240	$1,521,505
Katherine Harvey Terrace RAD					$1,197,085
Newhall Gardens RAD					$1,758,608
Prescott Bush RAD				$1,038,560	$1,295,625
Robert T. Wolfe RAD				$2,325,000	$4,668,297
Winslow-Celetano RAD				$800,000	$4,045,194
Matthew Ruppolo Manor RAD	$1,727,000			$4,100,000	$9,482,584
Fairmont Heights RAD				$2,866,896	$2,989,116
McQueeney Towers RAD	$5,591,000			$8,057,320	$13,904,804
Westville Manor RAD					$204,903
Rockview Phase III					$0
Rockview Community Center					$172,376
Brookside I Rental CFFP Bond					$906,138
GAP Financing					$1,500,000
Total Development Projects	**$33,635,036**	**$1,580,906**	**$5,664,912**	**$43,459,009**	**$120,671,666**

Description of Activities that Used Only MTW Single Fund Flexibility

The following initiatives require MTW funding flexibility only:

Description	MTW Objective	Status
1.9: Increase the Allowed Percentage of Project Based Voucher (PBV) Units from 75 Percent to 100 Percent in a Mixed-Finance Development	Increase Housing Choice Cost Effectiveness	
Project Modernization – Various Projects	Increase Housing Choice	Ongoing
Vacancy Reduction – Various Projects	Increase Housing Choice	Ongoing
Major Redevelopment Efforts at West Rock • **Eastview Terrace (leased up 6/30/2009)** • **Rockview Phase I (leased up 2/28/2011)** • **Quinnipiac Terrace III (leased up 7/31/2011)** • **William T. Rowe (Land Swap, leased up 10/31/2011)** • **Brookside Phase II (West Rock, leased up 2/1/2013)** • **Brookside Phase I (West Rock, leased up 7/23/2013)** • **Brookside Homeownership (West Rock, ongoing)** • **122 Wilmot Road (West Rock, leased up 12/31/2013)** • **Ribicoff 4%** • **Ribicoff 9%** • **Farnam Courts** • **Rockview Phase II** • **Westville Manor**	Increase Housing Choice	 • Closed • Closed • Closed • Closed • Closed • Closed • Ongoing • Ongoing • Ongoing • Ongoing • Ongoing • Ongoing • Ongoing
Resident-Owned Business Development	Increase Family Self-Sufficiency	Ongoing
SEHOP Capital Improvement Program	Increase Family Self-Sufficiency	Ongoing
Prison/Community Reentry	Increase Family Self-Sufficiency	Ongoing
Resident Services for Elderly/Disabled	Increase Family Self-Sufficiency	Ongoing
Cap on Project-Based Units in a Project	Increase Housing Choice Cost Effectiveness	Closed[10]

[10] Closed out in FY 2012 and replaced by the initiative "1.9: Increase the Allowed Percentage of Project-Based Units from 75 Percent to 100 Percent in a Mixed-Finance Development.

Initiative 1.9 – Increase the Allowed Percentage of Project Based Voucher (PBV) Units from 75 Percent to 100 Percent in a Mixed Financed & RAD Development

Approved in FY 2012 and implemented in FY 2013.

Description and Status

ECC/HANH has completed a Project Needs Assessment (PNA) of its entire portfolio. The PNA shows that over the next 20 years ECC/HANH's needs would exceed available funds by a ratio of more than 3:1. In order to address this funding gap and to help assure the long-term viability of its portfolio, the Agency is using the PNA to determine an asset management strategy for each of its developments. Part of this strategy may include converting existing public housing to Project Based Assistance under Section 8(o) (13). ECC/HANH would dispose of properties under Section 18 of the Housing Act of 1937 or Rental Assistance Demonstration (RAD) prior to conversion to Project Based Vouchers.

ECC/HANH analyzed the feasibility of converting Annual Contribution Contract ("ACC") units to Project Based Units using criteria similar to that set forth under Section 22. ECC/HANH will increase its flexibility to allocate the number of units in a project from 75% as previously approved by HUD to 100% for the purpose of converting ACC units to PBV units under this initiative. This will provide the cash flow necessary to enable ECC/HANH to borrow private funds to rehabilitate aging developments in ECC/HANH's portfolio. ECC/HANH also seeks to waive the requirement of one-year tenancy to allow participants greater flexibility in housing options.

The mobility issue is addressed by allowing the tenants the option to vacate the development during rehabilitation with an option to return upon the completion of such rehabilitation and/or the convenience of using a Tenant Based Voucher to relocate permanently. ECC/HANH will provide all of the assistance and counseling as required under Section 18 or the Uniform Relocation Act, if applicable.

Attachment C. Section D. (e) (see Appendix 7) authorizes ECC/HANH to determine the percentage of housing voucher assistance that it is permitted to project base. Section D (e) waives certain provisions of Section 8(o) (13) of the Act that prohibits the Agency from awarding not more than 25 percent of the dwelling units in any building with project-based assistance. In those cases in which project-based units are needed to ensure viability of mixed finance projects, ECC/HANH, under its 2010 Plan, received authorization to project base up to 75 percent of the units in the development, provided the project leverages non-public housing authority investments and increases housing choices for low-income families. ECC/HANH continues to use its authorization to project base up to 100 percent of the units in a public housing development that is disposed of in connection with the submission of a Section 18 disposition application to HUD.

ECC/HANH will limit the amount of project-based units in non-mixed-finance projects to no more than 50 percent of the units in the project, provided that the agency may project base up to 75 percent of the units in such project if the project (1) will provide replacement units for public housing units lost as a result of demolition or disposition, (2) is undertaken in an area where significant investments are being made, (3) will help to reduce the concentration of very low-income families, or (4) is located in areas that provide increased access to transportation or employment opportunities.

Under the prior MTW Demonstration Agreement, ECC/HANH was specifically authorized to provide assistance up to 50 percent of the units in a project. This authorization has been essential with helping to promote increased housing opportunities, as well as to leverage private funds. HUD development of the Rental Assistance Demonstration Program has made this initiative unnecessary for projects approved for RAD conversion.

This initiative includes the following buildings: ECC/HANH closed on Ribicoff 9% and Ribicoff 4% during FY 2015, closed on Fair Haven and Farnam Phase I during FY 2016, and plans to close on Farnam Phase II during FY 2018.

Impact

This initiative helps to increase the supply of affordable housing in areas that promote de-concentration of poverty, provided housing in areas that are accessible to employment, schools, shopping and transportation, and helps to promote investment in areas where other significant investments are being made. ECC/HANH has a development pipeline that will utilize this initiative. ECC/HANH exceeded the benchmark for leveraged dollars (a 2 to 1 ratio) and decrease in crime (10 percent).

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	- 2,965 units (frozen 2001 base)	Decrease of 5% from previous year	- 2017: 1,849 LIPH units - 2016: 2,310 LIPH units - 2015: 2,447 LIPH units - 2014: 2,447 LIPH units - 2013: 2,613 LIPH units	Yes

CE #4: Increase in Resources Leveraged (MTW Leverage Ratios)				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Brookside I	1.7	2.0	2016: 2.3 2015: 2.3	Yes
Brookside II	1.7	2.0	2016: 7.5 2015: 7.5	Yes
Rockview I	1.7	2.0	2016: 4.6 2015: 4.6	Yes
122 Wilmot Road	1.7	2.0	2016: 3.2 2015: 3.2	Yes
Brookside Homeownership	1.7	2.0	2016: 1.7 2015: 1.6	Yes
Ribicoff I	1.7	2.0	2016: 6.1 2015: 6.1	Yes
Ribicoff II	1.7	2.0	2016: 1.2 2015: 1.2	No

Quinnipiac Terrace I	1.7	2.0	2016: 5.5 2015: 5.5	Yes
Quinnipiac Terrace II	1.7	2.0	2016: 8.6 2015: 8.6	Yes
Quinnipiac Terrace III	1.7	2.0	2016: 4.2 2015: 4.2	Yes
Eastview I	1.7	2.0	2016: 0.6 2015: 0.6	No
Rowe	1.7	2.0	2016: 4.5 2015: 4.5	Yes
Farnam Phase 1	1.7	2.0	2016: 3.1	Yes
Fair Haven	1.7	2.0	2015: 3.1	Yes

**Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace 2*

Internal Metric #1: Increase in Agency Revenue*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Increase in Agency Revenue – Farnam Phase 1 Redevelopment Fees	$0	$0	2017: $890,453	Yes
Increase in Agency Revenue – Ribicoff 9% Redevelopment Fees	$0	$0	2016: $2,000,000	Yes
Increase in Agency Revenue – Ribicoff 4% Redevelopment Fees	$0	$0	2016: $2,077,570	Yes
Increase in Agency Revenue – Fair Haven Redevelopment Fees	$0	$0	2016: $2,905,743	Yes
Increase in agency revenue - Rowe redevelopment fees	$0	$0	2014: $893,374	Yes
Increase in agency revenue - Brookside Phase I redevelopment fees	$0	$0	2014: $1,081,094	Yes
Increase in agency revenue - Brookside Phase II redevelopment fees	$0	$0	2014: $725,704	Yes
Increase in agency revenue - Rockview Phase I redevelopment fees	$0	$0	2014: $744,389	Yes
Increase in agency revenue - 122 Wilmot Road redevelopment fees*	$0	$0	2014: $1,419,767	Yes

* ECC/HANH has created a new stream of revenue from redevelopment activities. The redevelopment fees and ECC/HANH administrative costs are reimbursed by the development budget and revenue is reinvested in future redevelopment efforts.

Internal Metrics

Redevelopment Metrics

Internal Metric #7: Crime rate				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Crime rate	Quinnipiac major crimes in FY 2003: 13.	10% reduction in	2017:	Yes

statistics, pre and post redevelopment	West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47.	number of major crimes.	Ribicoff 4%: 1 Ribicoff 9%: 1	

Challenges or Changes

The benchmarks were achieved and no changes were made to this activity.

Project Modernization

Description of Activity

The MTW advantage allows ECC/HANH to focus Capital Funds on the most critical renovation needs in our portfolio. ECC/HANH has targeted projects which conform to our goals for Organizational Sustainability, prioritizing energy saving design projects through replacement of obsolete building systems in LIPH properties now and in plans for energy efficient design in all renovation projects. A general description of the planned CFP 2017 Modernization projects can be found in Form 50900.

Energy design savings are future Operations savings to the Agency, and provide for the sustainability of an LIPH portfolio with limited CFP funding. Following our objective to provide the best allocation of CFP funds Green measures were always a consideration in our project design.
Of the CFP funded projects moved forward in 2017, the following incorporated Energy Savings in their scope of work.

1. The GPNA and RAD PCA STUDIES (Green Physical Needs Assessments and RAD Physical Condition Assessments) identified energy conservation needs.

2. Both UFAS COMPLIANCE and VACANCY REHABILITATION projects incorporated energy saving heating and lighting elements.

3. CRAWFORD MANOR IN-UNIT HEATING and BOILER UPGRADE projects provide Crawford the potential for energy savings moving forward in 2018, by replacing antiquated boilers and providing residents with individual thermostats to control overheating in units. Control was previously only able to be accomplished by opening windows. This has an impact on 109 elderly and disabled families in a high-rise community.

4. McCONAUGHY IN-UNIT HEATING replaces an additional 40 furnaces in the family community which are beyond their Estimated Useful Life and will provide savings upon completion, anticipated early Spring, 2018. The existing gas fired furnaces have been unreliable. This project continues the goal of replacing all Furnaces at McConaughy, as funding permits. ECC/HANH Planning and Development Department has replaced 27 furnaces and hot water heaters along with other apartment renovations at McConaughy over the last 7 years. With the 40 units slated for early Spring, 2018, this will bring the number of families positively impacted to 67. From an Operations perspective there is a welcome savings in energy costs and fewer work orders for heating failures.

5. WINSLOW CELENTANO IN-UNIT BOILER UPGRADE project provides Winslow Celentano the potential for energy savings moving forward in 2018. Although Celentano is planned as a RAD Group 3 development, the boilers were failing and needed immediate replacement. Redundancy has been installed so that the high-rise development will not have a loss of heat or hot water, even if one or two boilers fail in the future. This affects a total of 64 elderly and disabled families.

Impact

In an effort to measure the Green initiative outcomes of the Modernization work performed for the properties remaining in the LIPH portfolio, cost savings will be tracked starting in 2018, in our larger Energy Savings projects, as listed above. The outcomes of the construction work and decisions made in 2017 reflect the MTW Short Term Strategic plan goals to further increases in Housing of Choice and promote Organizational

Sustainability through Cost Effectiveness through reducing Total Development Costs and replacement of obsolete building systems.

*Outcomes**

HUD-Required Metrics

Housing Choice Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	- 2,965 units (frozen 2001 base)	Decrease of 5% from previous year	- 2017: 1,849 units - 2016: 2,310 units - 2015: 2,447 LPH units - 2014: 2,447 units - 2013: 2,613 units	Yes

Internal Metrics

Redevelopment Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	<u>2017:</u> See "REAC Scores for LIPH Properties" table below for all REAC scores.	No. The average REAC score for the ECC/HANH properties inspected in FY 2017 was 77.
Internal Metric #3: Average work order				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Work orders per property	N/A	Brookside Phase I: 1,000 (10 work/year) Brookside Phase II: 1,000 QT1: 560 QT2: 580 QT3: 170 Eastview: 1,020	See "Number of Annual Work Orders for LIPH Properties" table below for all work order totals.	No. The average number of work orders per building increased from 2016 to 2017, with the average in 2017 being 922 work orders per building, which is higher than half of the benchmarks presented for this metric.
Internal Metric #6: Utility expenses per unit**				

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Reduction of utility expenses per unit, pre and post redevelopment – Electric	Valley Waverly: $900 per unit per month in 2012.	5% reduction. Electric utility expenses would reach approximately $858.33 per unit.	See "Annual Utility Costs, Electricity" table below for all utility information.	Yes
Reduction of utility expenses per unit, pre and post redevelopment – Gas	Valley Waverly: $60.83 per unit per month in 2012.	5% reduction. Gas utility expenses would reach approximately $65.83 per unit.	See "Annual Utility Costs, Gas" table below for all utility information.	Yes
Internal Metric #7: Crime rate				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13 West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47	10% reduction in number of major crimes	See "Major Crimes" table below for all crime information.	Yes
Internal Metric #8: Occupancy				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Occupancy	In FY 2001, Brookside Phase I: 85% In FY 2001, Brookside Phase II: 0 In FY 2001, Quinnipiac I: 83% In FY 2001, Quinnipiac II: 0 In FY 2001, Quinnipiac III: 0 In FY 2008, Rowe: 76%	95%	See "Point in Time Occupancy Rates for LIPH Properties" table below for all occupancy information.	Yes. The average occupancy rate for ECC/HANH properties was 96.52%

** Metrics will be revaluated and updated in FY 2018, per the FY 2018 technical amendment.*

*** In 2012, ECC/HANH calculated utilities savings by comparing post-redevelopment average per-unit utility costs at Eastview Terrace and Quinnipiac Terrace to average per-unit utility cost at Valley Waverly, which is not a redeveloped building. ECC/HANH requested data from the public utility to update the later fiscal years but did not receive that information. Utility costs began being presented by per unit per month in FY 2017.*

REAC Scores for LIPH Properties

	REAC Scores								
Development	**2017**	**2016**	**2015**	**2014**	**2013**	**2012**	**2011**	**2010**	**2009**
Brookside Phase I*	95		92						
Brookside Phase II*	91		95						
Constance Motley**			90						
Crawford Manor	78	69			88				
Edith D Johnson Towers**			95						
Eastview Terrace*/**						95			
Farnam Courts*/**		56							
Katherine Harvey Terrace**	86			95					
McConaughy Terrace						82	78	58	70
McQueeney**		70				64	59	85	54
Monterey 1**				96					
Monterey 2**				92					
Monterey 4**				92					
Monterey 5**				91					
Newhall Gardens**		96							
Prescott Bush Mall**			97						
Quinnipiac Terrace Phase I*	82		88		98	89			
Quinnipiac Terrace Phase II*	93		85						
Quinnipiac Terrace Phase III*		85							
Ribicoff Cottages -EXT**						82	82	68	91
Robert T Wolfe**	71		85			82	49	80	51
Rockview Phase I*	97		96						
Ruoppolo/Fairmont**					86	79	65	61	56
St. Anthony II	58								
Val Macri			94						
Waverly Townhouses**	65								
Westville Manor	58					47	51	35	90
Wilmot Crossing*/**				93					
Winslow-Celentano**	58	70			84	71	74	72	53
WT Rowe*	90		99						
Scattered Sites II	80								
Scattered Sites III	67	61							

** Redevelopment **RAD*

Number of Annual Work Orders for LIPH Properties

	Work Orders		
Development	**FY 2017**	**FY 2016**	**Other Years**
Brookside Phase I	No data	461	2013: 1,311
Brookside Phase II	No data	472	
Brookside I, Brookside II & Rockview I	N/A	N/A	2014: 1,562

Charles T. McQueeny	1,008	1,312	N/A
Constance B Motley	609	573	N/A
Crawford	1,461	No data	N/A
Eastview Terrace Phase II	3	No data	2013: 287; 2014:284
Eastview Terrace	1,323	625	N/A
Essex Townhouses	220	190	N/A
Fairhaven Chatham	92	No data	N/A
Fairhaven Eastview	129	No data	N/A
Fairmont Heights	756	1024	N/A
Farnam Courts	607	1002	N/A
George Crawford	No data	1,706	N/A
Katherine Harvey Terrace	172	132	N/A
Mathew Ruoppolo	535	607	N/A
McConaughy Terrace	2,981	1,612	N/A
Newhall Gardens	312	360	N/A
Prescott Bush	734	464	N/A
Quinnipiac I	2,826	531	2013: 204
Quinnipiac II	2,815	608	2013: 273
Quinnipiac III	1,148	277	2013: 289
Quinnipiac Terrace I, II & III	N/A	N/A	2014: 1,351
Ribicoff Cottage	404	122	N/A
Robert T. Wolfe	978	465	N/A
Rockview	No data	48	N/A
Scattered Sites	1,586	990	N/A
St Anthony	52	No data	N/A
Valley/Waverly	1,339	1,470	N/A
Westville	961	1,206	N/A
William T. Row	585	649	N/A
Wilmot	338	175	N/A
Winslow Celentano	933	765	N/A

Annual Per Unit Per Month Utility Costs, Electricity

	Electricity Utility Costs Per Unit Per Month		
Development	**FY 2017***	**FY 2016**	**Other Years**
Eastview I	$68.97	$75.07	2012: $821.92
Fair Haven	$124.57	No data	
Quinnipiac	No data	No data	2012: $473.75
Ribicoff 4%	$159.52	No data	
Ribicoff 9%	$183.81	No data	
Wilmot	$143.41	No data	
WT Rowe	$671.59	$105.46	
Valley Waverly	No data	No data	2012: $900

Annual Per Unit Per Month Utility Costs, Gas

	Gas Utility Costs Per Unit Per Month		
Development	**FY 2017**	**FY 2016**	**Other Years**
Eastview I	$11.99	$7.00	2012: $27.75
Fair Haven	$31.17	No data	
Quinnipiac	No data	No data	2012: $34.58
Ribicoff 4%	$13.28	No data	
Ribicoff 9%	$22.21	No data	
Wilmot	$9.88	No data	
WT Rowe	$32.22	$6.02	
Valley Waverly	No data	No data	2012: $60.83

Major Crimes

	Number of Major Crimes*			
Development	**2017**	**2016**	**2014**	**2012**
Eastview Terrace	7	1	0	0
Ribicoff 4%	1	0	N/A	N/A
Ribicoff 9%	1	0	N/A	N/A
Quinnipiac Terrace	0	2	4	3
West Rock (122 Wilmot, Brookside I and II)	N/A**	N/A**	7	25
Westville	1	0	0	0
William T Rowe	0	1	0	0
Wilmot	1	0	0	N/A

** Crime data was not available for all past years*

*** After FY 2014, data was reported by individual developments rather than for the entire West Rock community.*

Point in Time Occupancy Rates for LIPH Properties

	Occupancy Rate		
Development Name	**2017***	**2016**	**Other Years**
Brookside Phase I	98.00%	100.00%	2013: 100%; 2014: 97%
Brookside Phase II	100.00%	100.00%	2013: 100%; 2014: 98%
CB Motley	93.33%	97.78%	N/A
Crawford Manor	88.57%	95.24%	N/A
Edith Johnson Towers	89.47%	91.58%	N/A
Essex Townhouses	96.97%	96.97%	N/A
Fairmont Heights	93.68%	94.74%	N/A
Farnam Courts	100.00%	79.89%	N/A
Katherine Harvey	100.00%	93.75%	N/A
McConaughy Terrace	96.45%	97.46%	N/A
McQueeney Towers	95.86%	98.62%	N/A
New Rowe	97.83%	95.65%	2013: 99%; 2014: 100%

Newhall Gardens	100.00%	100.00%	N/A
Prescott Bush	98.21%	98.21%	N/A
Quinnipiac Terrace I	100.00%	100.00%	2013: 96%
Quinnipiac Terrace III	100.00%	92.86%	2013: 97%
Quinnipiac Terrace III	100.00%	100.00%	2013: 97%
Quinnipiac Terrace I, II & III	N/A	N/A	2014: 98.5%
Rockview Phase 1 Rental	96.67%	100.00%	N/A
RT Wolfe	98.88%	98.88%	N/A
Ruoppolo Manor	96.08%	95.10%	N/A
Scattered Site - East	97.78%	88.46%	N/A
Scattered Site - Multi Family	99.12%	96.52%	N/A
Scattered Site - West	100.00%	95.45%	N/A
Val Macri	100.00%	100.00%	N/A
Valley Townhouses	94.87%	97.44%	N/A
Waverly Townhouses	96.45%	89.80%	N/A
Westville Manor	95.92%	96.62%	N/A
William Griffin	75.00%	100.00%	N/A
Winslow-Celentano	100.00%	93.65%	N/A
Average Occupancy	**96.52%**	**95.07%**	N/A

** Date: 9/30/2017*

Challenges and Changes

None.

Vacancy Reduction

Implemented in FY 2008.

Description of Activity

ECC/HANH will continue to show improvement from the baseline FY 2008 vacancy rate of 10%. Efforts in this area continued in FY 2017.

Impact Analysis

ECC/HANH currently uses the funding flexibility to perform more unit turn over to average an occupancy percentage of 96%. ECC/HANH has set a standard of unit turns by bedroom size. Typically, a 0- or 1-bedroom unit turn should occur within a 20-day period. A larger 3-5-bedroom unit may take 4-6 weeks, particularly if hazardous materials (asbestos/lead) have been found in the unit. Funding allows ECC/HANH to bulk abate hazardous materials, renovate the unit and manage all administrative functions supporting vacancy reduction.

*Outcomes**

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	- 2,965 units (frozen 2001 base)	Decrease of 5% from previous year	- 2017: 1,849 units - 2016: 2,310 units - 2015: 2,447 units - 2014: 2,447 units - 2013: 2,613 units	Yes

Internal Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	See "REAC Scores for LIPH Properties" table under the Project Modernization initiative, above	No. The average REAC score for the ECC/HANH portfolio in FY 2017 was 77.
Internal Metric #3: Average work order				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Work orders per property	N/A	Brookside Phase I: 1,000 (10 work/year) Brookside Phase II: 1,000 QT1: 560 QT2: 580 QT3: 170 Eastview: 1,020	See "Number of Annual Work Orders for LIPH Properties" table under the Project Modernization initiative, above	No. The average number of work orders per building increased from 2016 to 2017, with the average in 2017 being 922 work orders per building, which is higher than half of the benchmarks presented for this metric.
Internal Metric #8: Occupancy				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Occupancy	In FY 2001, Brookside Phase I: 85% In FY 2001, Brookside Phase II: 0% In FY 2001, Quinnipiac I: 83% In FY 2001, Quinnipiac II: 0% In FY 2001, Quinnipiac III: 0% In FY 2008, Rowe: 76%	95%	See "Point in Time Occupancy Rates for LIPH Properties" table under the Project Modernization initiative, above	Yes. The overall occupancy for all ECC/HANH properties was 96.52% in FY 2017.

** Metrics will be revaluated and updated in FY 2018, per the FY 2018 technical amendment.*

Challenges and Changes

None.

Major Redevelopment Efforts at West Rock (Previously Included Initiative 1.13)

ECC/HANH received approval of HUD to dispose of the Brookside property in FY 2010. ECC/HANH requested approval of disposal of Rockview in FY 2012. Per HUD direction, Initiative 1.13 was folded into this Section V description since only single fund flexibility was required.

Description of Activity

This project includes Brookside Phase I and II, Homeownership, 122 Wilmot and Rockview. During FY 2014, the Rockview Rental Phase I was completed and leased up. Ribicoff was completed in 2 phases, 2015 and 2016. Rockview Phase 2 was awarded a 9% LIHTC allocation and will begin construction in the first quarter of 2018. Rockview Phase 2 is the offsite component of the redevelopment of Westville Manor.

The West Rock revitalization is a project to redevelop two obsolete public housing developments, Rockview Terrace and Brookside, and one additional parcel that previously contained a commercial building. The 491 public housing units and the retail building that have stood on the three sites will be replaced with a mix of Project-Based Section 8/LIHTC rental, Public Housing/LIHTC rental and affordable homeownership housing totaling 472 units, along with 8,987 square feet of retail space at the 122 Wilmot site. The rental units will consist of 392 units—352 family townhouse units and 40 senior units in a mid-rise building. The homeownership component will consist of 38 units.

The project will be carried out in multiple phases. The revitalization of the Brookside site will consist of two rental phases and one homeownership phase. The revitalization of the Rockview site will be carried out in two rental phases and two homeownership phases. The estimated cost of the revitalization of all three sites is $150–$200 million.

ECC/HANH has partnered with Michaels Development Company, a nationally known developer of affordable housing with a large portfolio, to redevelop the Rockview and Brookside public housing sites. Brookside, Rockview and the commercial space located at 122 Wilmot Road have all been demolished. During FY 2010, construction began on the infrastructure necessary for the Brookside rental and homeownerships phases.

The redevelopment of Rockview, Brookside and Wilmot Road are all part of ECC/HANH's MTW Plan. ECC/HANH's goals in undertaking the project are to replace the blighted public housing developments and commercial building on the three sites with high-quality, well-designed residential and commercial units, provide upgraded affordable rental and homeownership opportunities to residents, improve essential services to residents and improve the quality of the surrounding neighborhood and integrate it more fully into the surrounding city.

In FY 2014, Initiative 1.13 – Creation of a Commercial Business Venture at 122 Wilmot Road – has been combined into this initiative. The following paragraphs describe the additional activities formerly included in Initiative 1.13.

The Glendower Group, Inc., or an affiliate thereof, has developed a mixed-use facility at 122 Wilmot Road in accordance with 24 CFR 941, Subpart F and ECC/HANH's MTW Agreement Attachment C, Section 14 of the Amended and Restated MTW Agreement (see Appendix 7). The 122 Wilmot Road is a part of the West Rock Redevelopment efforts of ECC/HANH. The mixed-use facility will provide the Glendower Group Inc., or an affiliate thereof, an opportunity to develop one or more cooperative ventures to facilitate economic growth and create wealth in the West Rock community.

During FY 2013, Glendower began a new initiative to provide for working capital to cooperative corporations through the purchase of shares which may also entail the making of loans to the cooperative corporations. These cooperative ventures will serve the West Rock community that includes the following ECC/HANH developments: Brookside I, Brookside II, Rockview I, Ribicoff Cottages and Extension, Westville Manor, McConaughy Terrace, 122 Wilmot Road, Valley and Waverly Townhouses.

In FY 2014, ECC/HANH/Glendower continued outreach to the community for businesses that would be interested in being housed in the Crossings at Wilmot Road and started to explore the feasibility of a cooperative venture being housed in the facility. In FY 2015, ECC/HANH/Glendower closed on the redevelopment of Ribicoff Cottages and Ribicoff Cottages Extension.

Buildings			**Redevelopment**	
Site	**Completed Construction**	**Lease up**	**TDC HCC Limits**	**PBV and Income**
122 Willmot Rd (WestRock)	10/31/2013	12/31/2013	x	x
Brookside Phase I (WestRock)	8/10/2012	7/23/2013	x	x
Brookside Phase II (WestRock)	11/1/2012	2/1/2013	x	x
Rockview Phase I (WestRock)	12/31/2013	2/28/2011	x	x
Ribicoff Cottage 9%	12/1/2015	12/30/2015	x	x
Ribicoff Cottages 4%	February 2015	April 2016	x	x
Westville Manor	Under Design	Not Applicable	x	x

Impact Analysis

ECC/HANH successfully completed Brookside Phase 1, Brookside Phase 2, Rockview Phase 1, Brookside Homeownership, Ribicoff 4%, and Ribicoff 9% developments all are occupied. The Rockview Phase II development will be an off-site component of the Westville Manor redevelopment. ECC/HANH received a 9% Tax Credit Application in and anticipates a financial closing the first quarter of 2018. This redevelopment effort will also include the redevelopment of the existing community center.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	- 2,965 units (frozen 2001 base)	Decrease of 5% from previous year	- 2017: 1,849 units - 2016: 2,310 units - 2015: 2,447 units - 2014: 2,447 units - 2013: 2,613 units	Yes

HC #6: Increase in Homeownership Opportunities				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households that purchased a home as a result of the Brookside Homeownership Program	Zero at program's inception	By the end of the program, HANH expects that 20 first-time homebuyers will be homeowners. The program has been in place for 2 years. By the end of FY 2013, HANH expected that 12 units would be built.	In FY 2017, the actual number of homeownership units built is 0 units and 0 units have been purchased. FY 2016, the actual number of homeownership units built is 0 units and 0 units have been purchased. In FY 2014, the actual number of homeownership units built is 12 units and 2 units have been purchased in October 2014. In FY 2013, actual number of homeownership units built is 10 units and 5 units have been purchased.	Yes

Internal Metrics

Redevelopment Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those reflecting alternate TDCs)	10% increase. REAC scores would reach 88.	- **Wilmot:** 93 (2014) - **Rockview I**: 97 (2017), 96 (2015) - **Brookside I**: 95 (2017), 92 (2015) - **Brookside II**: 92 (2017), 95 (2015)	Yes
Internal Metric #3: Average work order				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Work orders per property	N/A	Brookside Phase I: 1,000 (10 work/year) Brookside Phase II: 1,000 QT1: 560 QT2: 580 QT3: 170 Eastview: 1,020	See "Number of Annual Work Orders" table below	Yes
Internal Metric #6: Utility expenses per unit*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Reduction of utility expenses per unit, pre and post redevelopment – Electric	Valley Waverly: $900 per unit per month in 2012.	5% reduction. Electric utility expenses would reach approximately $858.33 per unit.	<u>2017:</u> Ribicoff 4%: $159.52 Ribicoff 9%: $183.81 Wilmot: $143.41	Yes
Reduction of utility expenses per unit, pre and post redevelopment – Gas	Valley Waverly: $60.83 per unit per month in 2012.	5% reduction. Gas utility expenses would reach approximately $65.83 per unit.	<u>2017:</u> Ribicoff 4%: $13.28 Ribicoff 9%: $22.21 Wilmot: $9.88	Yes
Internal Metric #7: Crime rate				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47.	10% reduction in number of major crimes.	2017: 1 major crime in each of Ribicoff 4%, Ribicoff 9% and Wilmot	Yes
Internal Metric #8: Occupancy				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Occupancy	In FY 2001, Brookside Phase I: 85% In FY 2001, Brookside Phase II: 0% In FY 2001,Quinnipiac I: 83% In FY 2001, Quinnipiac II: 0% In FY 2001, Quinnipiac	95%	See "Point in Time Occupancy Rates" table below	Yes

	III: 0% In FY 2008, Rowe: 76%			

** In 2012, ECC/HANH calculated utilities savings by comparing post-redevelopment average per-unit utility costs at Eastview Terrace and Quinnipiac Terrace to average per-unit utility cost at Valley Waverly, which is not a redeveloped building. ECC/HANH requested data from the public utility to update the later fiscal years but did not receive that information. Utility costs began being presented by per unit per month in FY 2017.*

Number of Annual Work Orders

	Work Orders		
Development	**FY 2017**	**FY 2016**	**Other Years**
Brookside Phase I	No data	461	2013: 1,311
Brookside Phase II	No data	472	
Brookside I, Brookside II & Rockview I	N/A	N/A	2014: 1,562
Ribicoff Cottage	404	122	N/A
Rockview	No data	48	N/A
Wilmot	338	175	N/A

Point in Time Occupancy Rates

	Occupancy Rate		
Development Name	**2017***	**2016**	**Other Years**
Brookside Phase I	98.00%	100.00%	2013: 100%; 2014: 97%
Brookside Phase II	100.00%	100.00%	2013: 100%; 2014: 98%
Rockview Phase 1 Rental	96.67%	100.00%	N/A
Average Occupancy	**98.22%**	**100.00%**	N/A

** Date: 9/30/2017*

Challenges and Changes

None.

Resident-Owned Business Development

Implemented in FY 2011.

Description of Activity

ECC/HANH continues to strive to strengthen Resident-Owned Business Development by providing educational, financial management and other business growth training and technical services. Training and workshops include but are not limited to Minority Business Certifications, bidding process, certified payroll process, licensing, bonding, liability insurance, business plans and bookkeeping.

Under this program, ECC/HANH serves residents that start their own businesses by providing technical assistance services. ECC/HANH support includes the following:

- Provide assistance in the outreach, recruitment, and potential contractor's capacity assessment.
- Provide a computerized database for Section 3, MBE, WBE and other small businesses to access for potential contract opportunities. Provide computer access for Resident-Owned Businesses ("ROBs") to obtain information on construction contract advertisements and communicate with other owners regarding potential contracting opportunities.
- Provide one-on-one consultation with ROBs once a week.
- Provide quarterly training workshops for participants that will assist ROBs in gaining a better understanding of ownership and basic business tools required to successfully operate a newly formed business. This will include, but is not limited to, instructional training in business plan development and business conduct, OSHA 10, bookkeeping and clerical, financial and payroll management, contract negotiating and cost estimating skills.

ECC/HANH continues to provide a revolving loan fund to which ROBs may apply for loans up to $25,000 by submitting a bona fide business plan and letter of intent for a pending contract award option. The prerequisites for the loan program are: (1) only ECC/HANH Resident-Owned Business Concerns may apply for the revolving loans and (2) the business' Principal must commit to enrolling in ECC/HANH's Family Self Sufficient Program ("FSS"). FSS is designed to work specifically with participants on basic personal financial capability skills through workshops on credit, basics of banking, budgeting, saving, and insurance. Loan applications are reviewed by a ECC/HANH loan committee. Loan repayments are scheduled over a 12-month period. A total of $250,000 in MTW flexible funds is dedicated to the Revolving Loan Fund. ECC/HANH has invested 136,898 in loans to Resident Owned Businesses.

The ROBs will operate in the construction trades as well as other areas.

- **Rationale:** ECC/HANH provides training and technical assistance to a group of residents that require this mentorship and assistance to start a sustainable business. This will continue to enhance Section 3 Resident- Owned Business Concerns internal capacity and ability to procure both public and private competitive contract awards.
- **Expected impact:** An increase in the economic well-being of those residents who successfully start and sustain their own businesses.

Impact Analysis

As a result of the ROB program, Residents are able to receive one on one consultation, hands on assistance with starting a business, create jobs for the community while increasing their self-sufficiency. During FY 2017, the Resident Owned Business (ROB) program served 36 participants, all of whom were assessed and received entrepreneurship consultation and/or training. The industry norm suggests that a business launch is successful if the business is still thriving after its 5th year. To date the ROB program has launched eight successful businesses which have subsequently produced 13 jobs. The businesses range in interests, including childcare service, temp agency, livery service, electrical service, plumbing and HVAC Company and a food truck.

The ROB program has increased the economic well-being of residents who successfully started and sustained their own businesses. Four residents have increased their earned income for FY 2017, which averaged $26,000, resulting in an increase of nearly 66% from FY 2015. Out of the current ROB's there is only one that has utilized a loan from ECC/HANH as of end of FY 2017. The loan assisted with expansion of the livery business.

Outcomes

HUD-Required Metrics

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average earned income of households or individuals affected by this policy in dollars	$38,785 (2014)	$24,850*	2017: $26,000 2016: $15,679 2015: $12,880	Yes
SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households receiving consultation and/or technical assistance	7 (2012)	10	- 2017: 36 - 2016: 11 - 2015: 3 - 2014: 5 - 2013: 5	Yes
Number of households receiving training**	7 (2012)	10	- 2017: 16 - 2016: 8 - 2015: 3 - 2014: 5 - 2013: 5	Yes

* The benchmark represents a 30% AMI published by HUD for a household of 4 individuals living in New Haven, CT.
** Training includes topics such as cost estimating, owning a business, business planning, financial management, contracts and proposals, etc.

Internal Metrics

Resident-Owned Business Metrics

Enrollment				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Number of individuals or households participating in the program	0 (2010)	5	- 2017: 36 - 2016: 8 - 2015: 3 - 2014: 5 - 2013: 5 - 2012: 7 - 2011: 13	Yes
Loans amounts of dollars transferred				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Dollar amount of loans provided by the program (incremental)	0 (2010)	$25,000	- 2017: $22,000 - 2016: $7,382 - 2015: $0 - 2014: $0 - 2013: $74,423 - 2012: $0 - 2011: $33,093	No
Amount of Loans outstanding				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Dollar value of loans outstanding (not to exceed)	$91,389 (2012)	$50,000	- 2017: $16,400 - 2016: 6,700 - 2015: $7,382 - 2014: $10,541 - 2013: $29,959	Yes
Number of Loans				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of loans outstanding	5 (2012)	2	- 2017: 1 - 2016: 1 - 2015: 1 - 2014: 1 - 2013: 2	No
Amount under contract with HANH				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Amount under contract with HANH ($ revenue)	$2,250,000 (2012)	$2,925,000	- 2017: $0 - 2016: $0 - 2015: $0 - 2014: $0 - 2013: $7,800,000	No

SEHOP Capital Improvement Program

ECC/HANH launched the SEHOP (Section Eight Homeownership Program) Capital Improvement Program in FY 2010.

Description of Activity

This program supports new homeowners with necessary capital improvements that arise after being in the home for a minimum of three years. The program was created to increase the livability and value of recently purchased homes.

Impact Analysis

In FY 2017, 48 homeowners were enrolled in SEHOP, all of which had successfully closed on their homes. One homeowner purchased her home in FY 2017. The capital improvement allowance account was $177,970 and was accessed by one homeowner. There are twenty homeowners that have graduated from SEHOP and no longer need the assistance. The participants' homes had a median home price of $220,000. The median home value in the city of New Haven is estimated to be $157,900. Participants are purchasing homes with a higher value and less home improvement needed, which will help in them not having to access the SEHOP capital improvement allowance.

HUD-Required Metrics

SEHOP Home Improvement Metrics

HC #6: Increase in Homeownership Opportunities				
Unit of Measurement	**Baseline**	**Benchmark****	**Outcome**	**Benchmark Achieved?**
Number of households that receive the capital improvement allowance to make capital improvements to their homes*	0 (2009)	TBD	- 2017: 48 participants, fund accessed by 1 participant. - 2016: 30 - 2015: 29 - 2014: 22 - 2013: 22 - 2012: 23 - 2011: n/a - 2010: n/a	N/A

** Allowance comes from ECC/HANH's general fund.*
*** Benchmark will be reevaluated in FY 2018.*

Challenges and Changes

Although 48 households are receiving the allowance, only one received a disbursement in FY 2016 for capital improvements. No households received disbursement during FY 2017.

Prison/Community Reentry

Implemented in FY 2010.

Description of Activity

Under this program, ECC/HANH serves individuals who have reentered society after completing a prison sentence. ECC/HANH offers mentoring, training and housing for individuals that qualify for this program. ECC/HANH reentry program candidates are referred by the city of New Haven. ECC/HANH interviews candidates immediately following referral, assessing not only their needs, but their strengths and the challenges they will likely face as they work to rejoin the community. Upon acceptance to the program, participants sign a one-year lease, affording them housing while they work toward their reentry goals. The goals are identified in an individualized service plan. Participants who suffer with a mental health illness and/or a substance use/abuse disorder must be compliant with treatment and employed or in a training program. They must also comply with probation or parole requirements. After one year, progress is assessed. Participants who have successfully achieved their individual service plan goals complete the program. Individuals who have not met their service plan goals by the one-year mark can remain in the program as they continue to work toward their goals.

When the Reentry Program was initiated in June 2010, ECC/HANH had established a preference for a maximum of 12 Low-income Public Housing units for individuals returning to the community from prison. By utilizing existing resources, gaining local government support, and leveraging resources, ECC/HANH is able to directly provide many resources or connect residents to existing services. In particular, ECC/HANH provides job training programming that will assist in the employment processes and case management. Through community partnerships, ECC/HANH is able to connect those reentering with primary care services, additional job readiness programs, dental services, mental health treatment, peer recovery support services, and more. The program has even had successes in higher education due to a partnership with the local Gateway Community College. ECC/HANH expects these individuals to be engaged in community supportive services and job skills training. Participants receive case management services that assist them in identifying needs and coordinating referrals and services. Individuals participating in the program will be lease compliant (i.e. pay rent on time) and will not be a nuisance to other residents. The program's maximum capacity is 16 housing units.

Rationale: This is a particularly fragile population that often returns to a community that is not welcoming or accepting of them. Many of the participants lack the skills necessary for employment or, if they have the skills, are not hired due to their criminal history. They also require special assistance in order to break a cycle of behavior that places them in risk of returning to prison.
Expected impact: Positive impacts related to gaining a productive individual for the community and reducing prison-related expenses.

Impact Analysis

This initiative is expected to produce positive impacts related to gaining a productive individual for the community and reducing prison-related expenses. There is a maximum capacity of 16 units for the Community Re-entry Pilot Program to house participants at any point of time. During FY 2017 ECC/HANH had the remaining 3 participants in the Community Re-Entry Pilot Program since 13 participants had graduated during 2015. In FY 2017 as a result of graduations, outreach was provided to 29 Re-entry applicants, who were provided with appointment dates to update their applications for possible unit offers; 15 were withdrawn because they did not respond to the correspondence; 5 missed the first appointments but scheduled for a 2nd appointment; 6 families were interviewed and deemed eligible and are awaiting the next available units. The remaining 3 families attended appointments and we are awaiting third-party verification to confirm eligibility. Monthly meetings continue to discuss the current participants' progress in working on and/or achieving the identified goals. This program has provided prison re-entry participants the ability to work one on one with a coordinator, and as a result 100% of the participants to date have been lease compliant. There has been low recidivism and residents have been successful in finding and keeping employment for over 4 months. As a result of this program, participant's have been able to gain job development skills, go to school and break the cycle of behavior.

Outcomes

HUD-Required Metrics

SS #3: Increase in Positive Outcomes in Employment Status*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of new individuals employed	0 (2010)	50% would be employed	- 2017: 2/3 (66%) - 2016: 1/15 (.06%) - 2015: 0/5 - 2014: 1/2 (50%) - 2013: 0/2	Yes
Percentage of new individuals remained employed for more than six months	0 (2010)	50% will be employed for more than six months	- 2017: 2/3 (66%) - 2016: 1/15 (.06%) - 2015: 0/5 - 2014: 1/2 (50%) - 2013: 0/2	Yes
SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of new individuals referred for services**	0 (2010)	All individuals will be enrolled in Family Support Service or FSS Program	- 2017: 0/3 (0%) - 2016: 0/15 (0%) - 2015: 5/5 (100%) - 2014: 2/2 (100%) - 2013: 2/2 (100%)	No
Percentage of new individuals compliant with plan	0 (2010)	50% will be compliant with Service Plan***	-2017: 3/3 (100%) - 2016:15/15 (100%) - 2015: 5/5 (100%) - 2014: 2/2 (100%) - 2013: 1/2 (50%)	Yes
SS #8: Households Transitioned to Self Sufficiency**				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
New participant graduation from the program	0 (2010)	50% will Graduate the program	- 2017: 1/3 (33%) - 2016: 12/15 (80%) - 2015: 0/5 (0%) - 2014: 1/2 (50%) - 2013: 1/2 (50%)	No

** Employed is defined as "living directly from an individual's profession or business." ECC/HANH includes part-time work in this definition.*

*** ECC/HANH includes in "referred for services" services such as computer training, job-skill/employability training, mental health and or drug and alcohol counseling.*
**** An Individual Service Plan (ISP) identifies skills that a resident needs to reinforce with training programs and employment search coaching. This plan also addresses the individual's physical, emotional, social and personal development needs. Compliance with the ISP means that the individual is meeting the plan's objectives.*
***** ECC/HANH defines self-sufficiency or graduation in the context of this program as an individual's capacity to supply for his or her own needs without external assistance.*

Internal Metrics

Enrollment				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of new individuals leased in permanent housing	0 (2010)	100% of enrolled individuals	- 2017: 3 (100%) - 2016: 15 (100%) - 2015: 5 (100%)	Yes
Recidivism				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of new individuals who experienced recidivism (returned to prison)	0 (2010)	50% would be re-incarcerated	- 2017: 0/3 (0%) - 2016: 0/15 (0%) - 2015: 0/5 (0%) - 2014: 2/2 (100%) - 2013: 1/2 (50%)	Yes

Challenges and Changes

Currently our occupancy rate is averaging at 95%, making it difficult to house families, because the pool of 0-1 bedroom units is limited.

Resident Services for Elderly/Disabled

ECC/HANH implemented its Resident Services for Elderly/Disabled Initiative in one building in 2003 and extended to an additional three sites in 2007. For FY 2018 the Resident Services for Elderly/Disabled has been expanded to all Elderly/Disabled Developments.

Description of Activity

Under this program, ECC/HANH serves individuals who are elderly and/or suffer from a temporary or permanent disability and/or suffer from mental health problems and/or a substance abuse addiction. This fragile population includes elderly and/or disabled individuals who require special assistance, including mental health monitoring and transportation to health care appointments. The program is expected to reduce expenses related to urgent health responses for the local community by allowing residents to continue to live independently, thus decreasing long-term care costs and the cost of homelessness.

In the long term, on-site supportive services are critical to our effective management of Elderly/Disabled developments—perhaps equally important to security improvements —as more than 90% of our Elderly/Disabled waiting lists are persons with disabilities and, based on recent admissions, the majority have significant behavioral health disabilities.

ECC/HANH offers mentoring, training and housing, which includes supportive housing services, for individuals that qualify for this program. Resident Services Coordinators, funded through ROSS Grants, assess elderly residents and identify services to improve quality of life and independent living. These services include the acquisition of a live-in aide, home health aide services, home nursing services, and more.

ECC/HANH's Elderly Disabled program activities include the following elements:

- ECC/HANH has established a preference for a maximum of 110 units of Low-income Public Housing units for individuals who qualify for this program.
- ECC/HANH assesses the participant's needs and documents them in an Action Plan document.
- Participants receive case management services, which will assist them in identifying needs and coordinating referrals and services with the ultimate goal of compliance with treatment plan and/or medication therapy.
- The program requires that individuals participating should be lease compliant (i.e., pay rent on time) and will not be a nuisance to other residents.

The MTW funding flexibility allows ECC/HANH offers a full array of self-sufficiency initiatives and to fund staff and contractual costs associated with mental health and substance abuse services provided on site in ECC/HANH's mixed-population developments. Mental health and substance abuse services are provided at four "Elderly and Disabled" buildings. MTW funds cover contractual costs for intensive case management services at these developments.

- **Rationale:** This is a particularly fragile population that includes elderly and/or disabled individuals who require special assistance, including mental health monitoring and transportation to health care appointments.
- **Expected impact:** Reducing expenses related to urgent health responses for the local community and allowing residents to continue to live independently, thus decreasing long-term care costs, as well as costs association with homelessness.

Impact Analysis

The program has enrolled 98 Elderly/Disabled Residents in FY 2017. All residents in the communities have access to all services which increases the quality of life and self sufficiency. The assistance received continues to help the residents to remain in ECC/HANH communities and not face eviction or being moved to a higher level of care. More residents are able to live independently with services provided.

In FY 2014, an average of 126 outreach efforts were made per month. In FY 2015, the efforts increased to an average of 227 per month. In FY 2016, the outreach efforts increased again, to an average of 361 per month. In FY 2017 the outreach efforts increased to 455 per month. These efforts include movie nights, trips to events or local attractions and holiday events. The programs also offer group meetings and one on one visits. In 2014, the average number of group meetings was 118 per. In FY 2017 the average number increased to 159 group meetings. These groups included supports for managing substance abuse, financial responsibility and budgeting, chair yoga, and a range of other topics. The program staff also engaged the residents in individual sessions to assist with their needs.

As inputs per participant (the number of meetings and outreach efforts per participant) have increased, so too have the positive outcomes of the program. Compliance with Action Plans increased from 95% in FY 2015 to 99% in FY 2017, while employment rates increased from 3% in FY 2015 to 13% in FY 2017. Self-sufficiency, a primary goal of the MTW program, saw the greatest increase, from 2% of FY 2015 participants to 37% of FY 2017 participants. More residents have become lease compliant and there has been an increase in community building. This is a major accomplishment considering that participants are all either elderly or disabled. ECC/HANH continues to assist residents to remain independently housed, lease compliant with maximum quality of life.

Outcomes

HUD-Required Metrics

SS #3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Currently employed full-time and part-time	23 employed (2012)	22	- 2017: 13 employed - 2016: 11 employed - 2015: 3 employed - 2014: 6 employed - 2013: 26 employed	No
SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals enrolled	102 (2012)	100	- 2017: 98 - 2016: 96 - 2015: 92 - 2014: 98 - 2013: 105	No
Average number of outreach efforts conducted per month	62 (2013)	85	- 2017: 455 - 2016: 361 - 2015: 227 - 2014: 126	Yes

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average number of group meetings held per month	128 (2013)	85	- 2017: 159 - 2016: 170 - 2015: 151 - 2014: 118	Yes
SS #8: Households Transitioned to Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households transitioned to self sufficiency*	0 (2012)	20	- 2017: 36 - 2016: 20 - 2015: 2 - 2014: 0 - 2013: 0	Yes

** ECC/HANH defines self-sufficiency in the context of the elderly disabled program as an individual's ability to live independently and be lease compliant without case management services.*

Internal Metrics

Compliant with Action Plan				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals compliant with Action Plan*	83 (2013)	80	- 2017: 98 - 2016: 91 - 2015: 80 - 2014: 95	Yes
Non compliant with Action Plan				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals non compliant with Action Plan	22 (2013)	< 25	- 2017: 0 - 2016: 1 - 2015: 4 - 2014: 3	Yes

**Action Plan is a document that contains goals - it is prepared by a case manager after interviewing a resident. Compliance with the action plan is evaluated by the case manager.*

Challenges and Changes

None.

Creation of New Instrumentality Entities to Support ECC/HANH Goals and Strategic Planning Activities

Approved and implemented in FY 2017.

Description of Activity

ECC-HANH has initiated the planning and formation of new affiliate-instrumentality entities to support the Agency's short term and long-term plans to establish a new corporate structure, better align revenues and provide more coordinated and effective services to residents. These new instrumentality entities will be vehicles for the ECC-HANH to partner with financial institutions and other investors to continue to redevelop and modernize ECC portfolio or properties and support the agencies mission of creating and preserving affordable housing opportunities and supportive services for low income and working families, the elderly and persons with disabilities. The business activities of these instrumentality entities will include, but may not be limited to, the provision of property management and consultant services, development of mixed use and mixed income real estate projects, and direction of social services and program activities for ECC-HANH owned and non-owned developments.

Through the establishment of new affiliate entities ECC HANH-Seeks to achieve the following:

- Reduce costs and achieve greater cost effectiveness in federal expenditures
- Give incentives to families with children whose heads of household are either working, seeking work, or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self-sufficient
- Increase housing choices for low-income families

Impact Analysis

The goal of this initiative is to reduce costs and achieve greater cost effectiveness while increasing housing choice and family self-sufficiency. Agency has formed RAD Affiliate 1 and is awaiting approval of its not for profit status from the IRS which should occur by December 2017. Closing on the RAD Group 1 Developments (144 units) are anticipated to take place in January 2018. The ECC-HANH 2018 budget is a reflective of the cost efficiencies that we are seeking to achieve by converting to the RAD Platform and through the creation of the agency 3rd Party Property Management affiliate, 360 Management Group, Co. This new instrumentality entity has been formed and is expected to receive its tax-exempt status determination from the IRS in December 2017.

With the closing of RAD Group 1 in January 2018, we project that we will have achieved 18% of our target leverage goal of $ 60M for the RAD Conversion activities that have been proposed. The approximately $12M in leverage funds committed for RAD Group 1 is a combination of equity generated from the sale of low income housing tax credits and bank financing.
Agency has not yet initiated planning for the creation of its social services entity. FY 2018 activities will be focused on implementation of the RAD Conversion activities and reductions in operating costs associated with the conversion of these units.

Outcomes

HUD-Required Metrics

CE #1: Agency Cost Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Savings related to RAD Conversion Affiliate 1 [Total cost of task in dollars (decrease)]	N/A	N/A	N/A	N/A
Savings related to RAD Conversion Affiliate 2 [Total cost of task in dollars (decrease)]	N/A	N/A	N/A	N/A
Savings related to RAD Conversion Affiliate 3[Total cost of task in dollars (decrease)]	N/A	N/A	N/A	N/A
Savings related to Property Management Affiliate [Total cost of task in dollars (decrease)]	N/A	N/A	N/A	N/A
Total Operating Expenses. HANH for 2016 HANH total operating expenses were approximately $21M.	$21,000,000	10% reduction in operating expenses	2017: 21,000,000	No Yet Achieved

CE #4: Increase in Resources Leveraged (MTW Leverage Ratios)				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
RAD Conversion Affiliate 1	N/A	$60,000,000	Estimated leverage for RAD Group I = $11,600,000	No, this leverage amount has not yet been achieved.
RAD Conversion Affiliate 2	N/A	N/A	N/A	N/A
RAD Conversion Affiliate 3	N/A	N/A	N/A	N/A

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available (increase) due to RAD Conversion Affiliate 1	N/A	N/A	N/A	N/A
Number of housing units preserved for	N/A	N/A	N/A	N/A

households at or below 80% AMI that would otherwise not be available (increase) due to RAD Conversion Affiliate 2				
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available (increase) due to RAD Conversion Affiliate 3	N/A	N/A	N/A	N/A

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average earned income of households or individuals affected by the Resident Services Affiliate	N/A	N/A	N/A	N/A

SS #3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of residence employed due to Resident Services Affiliate	N/A	N/A	N/A	N/A

SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households assisted by services that increase self-sufficiency due to Resident Services Affiliate	N/A	N/A	N/A	N/A

Challenges and Changes

None.

Closed Out Activities that only Required MTW Funding Flexibility:

Activity	Plan Year Implemented	Year Closed Out
Cap on Project-Based Units in a Project	The activity was implemented in FY 2010	FY 2012

Cap on Project-Based Units in a Project

Outcomes

Internal Metrics

Units Created				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of Units to be Created	New Rowe: 32 units QT III: 16 units Brookside Phase I: 50 units Dwight Coop.: 40 units	New Rowe: 0 units QT III: 16 units Brookside Phase I: 1 unit under construct. Dwight Coop.: 0 units	HANH participation in Dwight Coop. canceled; all other benchmarks were on target to be met	Yes
Percentage Project-Based Vouchers	New Rowe: 31% QT III: 48% Brookside Phase I: 50% Dwight Coop.: 50%	New Rowe: 0% QT III: 48% Brookside Phase I: 1 under construct. Dwight Coop.: 0%	HANH participation in Dwight Coop. canceled; all other benchmarks were on target to be met	Yes

Single-Fund Flexibility – MTW Fundability – Planned Sources and Expenditures by Development

Single fund flexibility is made possible by the MTW program. It enables ECC/HANH to make improvements at some of its developments, enables vacancy prep which increases occupancy, enables major redevelopment efforts, and enables provision of services to our residents through the SEHOP Capital improvement program as well as resident services for elderly/disabled.

VI. ADMINISTRATIVE

A. Progress on correction and elimination of observed deficiencies cited in monitoring visits, physical inspections, or other oversight and monitoring mechanisms.

Voluntary Compliance Agreement – Fair Housing and Equal Opportunity

ECC/HANH executed the Voluntary Compliance Agreement (VCA) regarding Fair Housing and Equal Opportunity in June 2007 and has designated a Reasonable Accommodations Coordinator and the Accessible-Unit Construction/Rehabilitation Coordinator. Throughout FY 2012, quarterly reports on ECC/HANH's compliance with the VCA's obligations have been submitted.

ECC/HANH has welcomed three monitoring visits since execution of the VCA; however, a visit was not scheduled during FY 2011 or FY 2012. All of the reports have recognized significant progress made by ECC/HANH in meeting the goals outlined. At this point, ECC/HANH is focused on the development of the planned UFAS units and common area modifications

Voluntary Compliance Agreement – Americans with Disabilities Act

ECC/HANH executed the Voluntary Compliance Agreement (VCA) regarding reasonable accommodation and the Americans with Disabilities Act in January 2013 and has amended the work flow to include a notification directly to the requesting party that the Agency did not receive the requested information and will wait one month. If the requested information is not received after one month's time, the Agency may determine that it will not take any further action on the request and inform the requestor. This is ongoing during FY 2014.

B. Results of Agency-Directed Evaluations of Demonstration.

ECC/HANH has contracted with Enterprise Community Partners to position the agency for a future evaluation of its MTW program and each of its initiatives. Enterprise has completed the first year of a three-year contract to complete ECC/HANH's MTW Plans and Reports each year and has coordinated with ECC/HANH's data collection software provider for optimal data collection. Enterprise has provided data collection recommendations to ensure ECC/HANH is collecting data for metrics to support proper reporting and support a future evaluation.

C. Certification that ECC/HANH has met the three Statutory Requirements

1) 75% of families assisted must be below 50% of AMI at admission

In FY 2016, 90% of the families receiving ECC/HANH assistance are below 50% AMI at admission. Thus, ECC/HANH has met the requirement that 75% of families assisted be below 50% of AMI at admission. ECC/HANH has met this requirement every year since becoming an MTW organization.

New Admissions Only											
Fiscal Year	**2007**	**2008**	**2009**	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**	**2016**	**2017**
Total number of newly admitted families assisted	344	329	344	425	433	447	238	402	560	676	947
Number of families with incomes below 50% of area median	332	310	322	387	394	410	229	372	522	606	872
Percentage of families with incomes below 50% of area median	96.5%	94.2%	93.6%	91.0%	90.9%	91.7%	96.2%	92.5%	93.2%	90.0%	92.1%

2) Baseline for the Number of Eligible Low-Income Families to Be Served

ECC/HANH has served considerably more families since achieving MTW status primarily through its modernization and redevelopment efforts made possible by MTW flexibility. During FY 2017, ECC/HANH served 26.14% more families than at baseline.

Families Served FY 2017 Compared to Baseline	
Baseline number of families to be served (total number of families)	4,827
Total number of families served this fiscal year (HCV: 4,315; LIPH: 1,774)	6,089
Numerical Difference	1,262
Percentage Difference	26.14%

ECC/HANH (CT004)	FY 01	FY 02	FY 03	FY 04	FY 05	FY 06	FY 07	FY 08
Families Served through MTW Public Housing	1,970	2,086	1,895	1,737	1,640	1,553	1,531	2,359
Families Served through MTW Vouchers	2,857	2,889	2,997	3,176	3,454	3,312	3,106	3,030
Other Families Served through MTW	0	0	0	0	0	0	0	0
NUMERATOR – Families Served Total	**4,827**	**4,975**	**4,889**	**4,913**	**5,094**	**4,865**	**4,637**	**5,389**
Number of Families (Public Housing)	1,970	2,086	1,895	1,737	1,640	1,553	1,531	2,359
Incremental Increase to Baseline	0	116	0	0	0	0	0	389
Incremental Decrease to Baseline	0	0	75	233	330	417	439	0
Number of Families (Vouchers)	2,857	2,889	2,994	3,176	3,454	3,312	3,106	3,030
Incremental Increase to Baseline	0	32	140	319	597	455	249	173
Incremental Decrease to Baseline	0	0	0	0	0	0	0	0
TOTAL	**4,827**	**4,975**	**4,889**	**4,913**	**5,094**	**4,865**	**4,637**	**5,389**
% TOTAL	**100%**	**103%**	**101%**	**102%**	**106%**	**101%**	**96%**	**112%**

ECC/HANH (CT004)	FY 09	FY 10	FY 11	FY 12	FY 13	FY 14	FY15	FY 16	FY17
Families Served through MTW Public Housing	1,898	2,017	2,294	2,161	2,590	2,141	3,410	2,134	1,774
Families Served through MTW Vouchers	3,042	3,075	3,089	2,975	3,323	3,338	2,181	3,762	4,315
Other Families Served through MTW	0	0	0	0	0	0	0	0	0
NUMERATOR – Families Served Total	**4,940**	**5,092**	**5,383**	**5,136**	**5,913**	**5,479**	**5,591**	**5,896**	**6,089**
Number of Families (Public Housing)	1,898	2,017	2,294	2,161	2,590	2,141	2,181	2,134	1,774
Incremental Increase to Baseline	0	47	324	191	620	171	1,440	164	0
Incremental Decrease to Baseline	72	0	0	0	0	0	0	0	196
Number of Families (Vouchers)	3,042	3,075	3,089	2,975	3,323	3,338	3,410	3762	4,315
Incremental Increase to Baseline	185	218	232	118	466	481	0	905	1,458
Incremental Decrease to Baseline	0	0	0	0	0	0	676	0	0
TOTAL	**4,940**	**5,092**	**5,383**	**5,136**	**5,913**	**5,479**	**5,591**	**5,896**	**6,089**
% TOTAL	**102%**	**105%**	**111%**	**106%**	**122%**	**114%**	**116%**	**122%**	**126%**

Incremental Increases/Decreases to Baseline			
Reason for Change	**Program**	**Year of Change**	**Change Amount**
Voucher Baseline – HANH gives "Section 8 Participant Demographics" on page 184 of its FY 2002 Annual MTW Report. This number is given as of the beginning of FY 2002 (which would be October of 2001). This is very close to when HANH signed its MTW Agreement. Best number available.	HCV	FY 2001	2,857
Public Housing Baseline – HANH gives public housing households served as 1,146 (families) and 824 (elderly) at the beginning of FY 2002 (which would be October of 2001). This is very close to when HANH signed its MTW Agreement. Best number available.	PH	FY 2001	1,970
Public Housing - 154 actual units demo/dispo in 2002. Pulled from Demo/dispo report on PIC data page, pulled on April 6, 2011.	PH	FY 2002	-154
Public Housing - 36 HOPE VI public housing units added in 2002. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY 2002	36
Vouchers - 77 Enhanced Vouchers became part of MTW program on August 1, 2002.	HCV	FY 2002	77
Public Housing - 277 actual units demo/dispo in 2004. Pulled from Demo/dispo report on PIC data page, pulled on April 6, 2011.	PH	FY 2004	-277
Vouchers - Housing Conversion for Ethan Gardens (28 in January 2005). Housing Conversion for Eastview Terrace (30 in May 2005).	HCV	FY 2005	58
Public Housing - 143 actual units demo/dispo in 2005. Pulled from Demo/dispo report on PIC data page, pulled on April 6, 2011.	PH	FY 2005	-143
Vouchers - Housing Conversion for Canterbury Gardens (34 in December 2005).	HCV	FY 2006	34
Public Housing - 58 HOPE VI public housing units added in 2006. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY 2006	58
Public Housing - 153 actual units demo/dispo in 2007. Pulled from Demo/dispo report on PIC data page, pulled on April 6, 2011.	PH	FY 2007	-153
Public Housing - 28 HOPE VI public housing units added in 2007. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY 2007	28
Public Housing - 90 actual units demo/dispo in 2008. Pulled from Demo/dispo report on PIC data page, pulled on April 6, 2011.	PH	FY 2008	-90
Public Housing - 28 HOPE VI public housing units added in 2008. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY 2008	28
Public Housing - 53 new units brought online at Eastview Terrace.	PH	FY 2009	53
Public Housing - 295 actual units demo/dispo in 2009. Pulled from Demo/dispo report on PIC data page, pulled on April 6, 2011.	PH	FY 2009	-295
Vouchers - Housing Conversion for 77-79 Orchard Street Apartments (6 in August 2010).	HCV	FY 2010	6
Vouchers - William T. Rowe Apartments (9 in July 2011).	HCV	FY 2011	9
Public Housing - ADJUSTMENT - Demo/dispo report for FY 2010 was updated to show one actual unit demolished.	PH	FY 2011	-1

Vouchers	HCV	FY 2012	118
Public Housing	PH	FY 2012	191
Vouchers	HCV	FY 2013	466
Public Housing	PH	FY 2013	620
Vouchers	HCV	FY 2014	481
Public Housing	PH	FY 2014	171
Vouchers	HCV	FY 2015	-676
Public Housing	PH	FY 2015	1,440
Vouchers	HCV	FY 2016	905
Public Housing	PH	FY 2016	164
Vouchers	HCV	FY 2017	1,458
Public Housing	PH	FY 2017	196

Data Source Families Served		
Source	**Year**	**Amount**
2001 - Vouchers - Pulled from page 184 of HANH's FY 2002 Annual MTW Report.	FY 2001	2,857
September 2001 - Public Housing - Pulled from last page of HANH's FY 2002 Annual MTW Report.	FY 2001	1,970
FY 2002 - Vouchers - Pulled from HANH FY 2009 Annual MTW Report (page 22).	FY 2002	2,889
FY 2002 - Public Housing - Pulled from HANH FY 2009 Annual MTW Report (page 22).	FY 2002	2,086
FY 2003 - Vouchers - Pulled from September 2003 VMS Report that includes 2,946 MTW and 48 All Other.	FY 2003	2,994
FY 2003 - Public Housing - Pulled from HANH FY 2009 Annual MTW Report (page 22).	FY 2003	1,895
FY 2004 - Vouchers - Pulled from September 2004 VMS Report that includes 3,176 MTW.	FY 2004	3,176
FY 2004 - Public Housing - Pulled from HANH FY 2009 Annual MTW Report (page 22).	FY 2004	1,737
FY 2005 - Vouchers - Pulled from September 2005 VMS Report that includes 3,333 MTW and 121 HOPE VI.	FY 2005	3,454
FY 2005 - Public Housing - Pulled from HANH FY 2009 Annual MTW Report (page 22).	FY 2005	1,640
FY 2006 - Vouchers - Pulled from September 2006 VMS Report that includes 3,306 MTW, 1 All Other and 5 Tenant Protection.	FY 2006	3,312
FY 2006 - Public Housing - Pulled from HANH FY 2009 Annual MTW Report (page 22).	FY 2006	1,553
FY 2007 - Vouchers - Pulled from September 2007 VMS Report that includes 3,106 MTW.	FY 2007	3,106
FY 2007 - Public Housing - Pulled from HANH FY 2009 Annual MTW Report (page 22).	FY 2007	1,531
FY 2008 - Vouchers - Pulled from September 2008 VMS Report that includes 3,030 MTW.	FY 2008	3,030
FY 2008 - Public Housing - Pulled from HANH FY 2009 Annual MTW Report (page 22).	FY 2008	2,356
FY 2009 - Vouchers - Pulled from September 2009 VMS Report that includes 3,042 MTW.	FY 2009	3,042
FY 2009 - Public Housing - Pulled from HANH FY 2009 Annual MTW Report (page 22).	FY 2009	1,898
FY 2010 - Vouchers - Pulled from September 2010 VMS Report that includes 19 Homeownership, 2,873 MTW, 168 Ports and 15 Tenant Protection.	FY 2010	3,075
FY 2010 - Public Housing - Pulled from HANH FY 2010 Annual MTW Report (page 11).	FY 2010	2,017
FY 2011 - Vouchers - Unit month average pulled from VMS (see third tab).	FY 2011	3,089
FY 2011 - Public Housing - Pulled from Development Detail Report for September 27, 2011. Includes 178 units approved for demo/dispo. This is out of 2,542 (occupancy rate of 90%).	FY 2011	2,294
FY 2012 - Vouchers - Pulled from HANH's FY 2012 Annual MTW Plan. (Page 8)	FY 2012	5,119
FY 2012 - Public Housing - Pulled HANH's FY 2012 Annual MTW Plan. (Page 8)	FY 2012	2,094
FY 2013 - Vouchers - Pulled from HANH's FY 2013 Annual MTW Plan. (Page 8)	FY 2013	3,025
FY 2013 - Public Housing - Pulled HANH's FY 2013 Annual MTW Plan. (Page 8)	FY 2013	2,094
FY 2014 - Public Housing - Pulled from Elite dated November 5, 2014.	FY 2014	2,141
FY 2014 - Vouchers - Pulled from Elite dated November 5, 2014.	FY 2014	3,338
FY 2015 - Public Housing- Pulled from Elite dated November 24, 2015.	FY 2015	3,410
FY 2015 - Vouchers- Pulled from Elite dated November 24, 2015.	FY 2015	2,181
FY 2016 - Public Housing- Pulled from Elite dated October 28, 2016.	FY 2016	2,134
FY 2016 - Vouchers- Pulled from Elite dated October 28, 2016.	FY 2016	3,762
FY 2017 - Public Housing- Pulled from Elite dated September 30, 2017.	FY 2017	1,774
FY 2017 - Vouchers- Pulled from Elite dated September 30, 2017.	FY 2017	4,315

3) Baseline for the Mix of Family Sizes to Be Served

The current mix of family sizes served by ECC/HANH has only slightly changed since MTW was implemented. Specifically, the share of 3-, 4-, and 6+-person families decreased by 2% and the share of 2- and 5-person families decreased by 1%. The share of 1-person families increased by 8%.

Baseline Family Sizes Served by ECC/HANH							
Baselines	**1 person**	**2 people**	**3 people**	**4 people**	**5 people**	**6+ people**	**Total**
Ratio of family sizes to be maintained	32%	24%	20%	13%	6%	5%	100%
Number of families served by family size	2429	1390	1119	638	313	200	6089
Ratio of families served by family size	40%	23%	18%	10%	5%	3%	100%
Percentage Difference	8%	-1%	-2%	-3%	-1%	-2%	0

Certificate of Compliance

Certifications of Compliance

Annual Moving to Work Plan
Certifications of Compliance

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

Certifications of Compliance with Regulations:
Board Resolution to Accompany the Annual Moving to Work 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 Annual Moving to Work Plan for the PHA fiscal year beginning ________, 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 PHA published a notice that a hearing would be held, that the Plan and all information relevant to the public hearing was available for public inspection for at least 30 days, that there were no less than 15 days between the public hearing and the approval of the Plan by the Board of Commissioners, and that the PHA conducted a public hearing to discuss the Plan and invited public comment.
2. The PHA took into consideration public and resident comments (including those of its Resident Advisory Board or Boards) before approval of the Plan by the Board of Commissioners or Board of Directors in order to incorporate any public comments into the Annual MTW Plan.
3. The PHA certifies that the Board of Directors has reviewed and approved the budget for the Capital Fund Program grants contained in the Capital Fund Program Annual Statement/Performance and Evaluation Report, form HUD-50075.1.
4. The PHA 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.
5. 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.

6. 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.
7. The PHA will affirmatively further fair housing by examining its 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. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
9. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
10. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
11. The PHA will comply with requirements with regard to a drug free workplace required by 24 CFR Part 24, Subpart F.
12. The PHA will comply with requirements with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Amendment and implementing regulations at 49 CFR Part 24.

5.105(a).

15. The PHA will provide HUD or the responsible entity any documentation needed to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58. Regardless of who acts as the responsible entity, the PHA will maintain documentation that verifies compliance with environmental requirements pursuant to 24 Part 58 and 24 CFR Part 50 and will make this documentation available to HUD upon its request.

16. 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.

17. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.

18. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.

19. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).

20. 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 Moving to Work Agreement and Statement of Authorizations and included in its Plan.

21. All attachments to the Plan have been and will continue to be available at all times and all locations that the 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 Plan and will continue to be made available at least at the primary business office of the PHA.

Housing Authority of New Haven	CT004
PHA Name	PHA Number/HA Code

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)

Erik M. Clemons	Board Chair
Name of Authorized Official	Title
	12/20/2017
Signature	Date

*Must be signed by either the Chairman or Secretary of the Board of the PHA's legislative body. This certification cannot be signed by an employee unless authorized by the PHA Board to do so. If this document is not signed by the Chairman or Secretary, documentation such as the by-laws or authorizing board resolution must accompany this certification.

To: Board of Commissioners

From: Karen DuBois-Walton, Ph.D., Executive Director

Date: December 19, 2017

RE: Approval of MTW Annual Report for FY 2017

ACTION:	Recommend that the Board of Commissioners adopt Resolution Number 12-196/17-R
TIMING:	Immediately.
DISCUSSION:	As a Moving to Work ECC/ HANH is required to submit to the Office of Housing & Urban Development (HUD) an annual MTW Plan and an Annual MTW Report. The MTW Annual Report is prepared at the end of each fiscal year. It reports ECC/HANH's progress and challenges in achieving the objectives established in the Annual Plan for the corresponding year, and must be submitted to HUD within 90 days after the end of the agency's fiscal year. The public comment period began on Wednesday, November 01, 2017 and the Public Hearing was held on Monday, December 4, 2017. No public comments were received. Attached is a copy of ECC/HANH's proposed MTW Annual Report for Fiscal Year 2017. This resolution requests the Board's authorization for the Executive Director to submit to the U.S. Department of Housing and Urban Development (HUD) the MTW Annual Report for FY 2017, and all required and related certifications, documents and HUD forms.
STAFF:	Leasley Negron, Performance Auditor

Housing Authority of the City of New Haven

Resolution Number 12-196/17-R

APPROVING THE SUBMISSION OF ECC/HANH'S MTW REPORT FOR FY 2017

Whereas, The U.S. Department of Housing and Urban Development (HUD) has granted Moving to Work status to ECC/HANH; and

WHEREAS, As a Moving to Work ECC/ HANH is required to submit to the Office of Housing & Urban Development (HUD) an annual MTW Plan and an Annual MTW Report. The MTW Annual Report is prepared at the end of each fiscal year. It reports ECC/HANH's progress and challenges in achieving the objectives established in the Annual Plan for the corresponding year

WHEREAS, A requirement of the Moving to Work Demonstration program ECC/HANH must submit an MTW Annual Report to HUD within 90 days of the end of the fiscal year;

WHEREAS, The public comment period began on Wednesday, November 01, 2017 and the Public Hearing was held on Monday, December 4, 2017. No public comments were received.

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF COMMISSIONERS OF THE HOUSING AUTHORITY OF THE CITY OF NEW HAVEN that the Board Authorizes the Executive Director to take such actions and execute such documents as necessary to finalize and submit to the U.S. Department of Housing and Urban Development ECC/HANH's MTW Annual Report for Fiscal Year 2017, including all required certifications, documentation, and HUD forms, of which this Board Resolution is a part.

I hereby certify that the above resolution was adopted by a majority of the Commissioners present at a meeting duly called at which a quorum was present, on December 19, 2017.

KDW

Karen DuBois-Walton, Ph. D.
Secretary/Executive Director

12.19.17

Date

REVIEWED:
BERCHEM, MOSES & DEVLIN, P.C.
GENERAL COUNSEL

By: ______________________
Rolan Joni Young Smith, Esq.
A Senior Partner

VII. APPENDICES

Appendix 1: Documentation of Public Hearing and Public Comment Period

Housing Authority of the City of New Haven
PUBLIC HEARING: FY 2017 MTW REPORT

Tuesday, December 4, 2017 @ 4:00 P.M.
360 Orange Street, New Haven, CT 06511

Those present included:
Leasley Negrón, ECC
Catherine Hawthorne, ECC
Maza Rey, ECC
Shenae Draughn, Glendower Group
Michael Southam, ECC
Frank Emery, ECC

The public hearing was called to order at 4:00 p.m. by Leasley Negrón.

Ms. Negrón read the legal notice aloud which stated the reason the public hearing was being called.

> Section VII (A)(f)(ii) of ECC/HANH's Moving to Work Agreement requires that before the Agency can file its Approved Annual Moving to Work Report to the U.S. Department of Housing and Urban Development (HUD), it must conduct a public hearing, consider comments from the hearing on the proposed amendments, and obtain approval from the Board of Commissioners.
>
> Pursuant to said Section, a public hearing is being held to receive comments and recommendations on **Monday, December 4, 2017 at 4:00 PM, at the 3rd Floor Board of Commissioners Conference Room at 360 Orange Street, New Haven, CT 06511**.
>
> A copy of the report will be made available for review starting **Wednesday, November 1, 2017** on ECC/HANH's website at www.elmcitycommunities.com and at the front desk in the main lobby area at 360 Orange Street.
>
> The public is invited to provide written comments addressed to ECC/HANH MTW 2017 Report, Attn: Maza Rey, P.O. Box 1912, New Haven, CT 06509-1912.
>
> Any individuals requiring a reasonable accommodation to participate in the hearing should call Teena Bordeaux, Reasonable Accommodations Coordinator for ECC/ HANH at (203) 498-8800 extension 1507 or at the TDD Number (203) 497-8434.

At 4:03 p.m., the meeting was opened to take public comments.

Public Comments:
There were no attendees from the public and there were no public comments.

Adjournment:
Ms. Negrón thanked the participants and the public hearing was adjourned at 4:15 p.m.

Appendix 2: Alternative TDC and HCC Limits

ECC/HANH's local total development cost (TDC) limits as approved by HUD.
The following pages detail HANH/ELM CITY COMMUNITIES's Alternate TDCs.

HUD HCC 2013								
		0	**1**	**2**	**3**	**4**	**5**	**6**
Detached		$ 96,195	$ 122,916	$ 144,239	$ 170,801	$ 200,549	$ 219,593	$ 237,542
Row House		$ 78,165	$ 102,750	$ 121,542	$ 148,120	$ 176,091	$ 194,147	$ 211,074
Walk Up		$ 71,663	$ 97,219	**$ 123,709**	$ 161,949	$ 201,180	$ 226,579	$ 251,643
Elevator		$ 81,545	$ 114,163	$ 146,781	$ 195,708	$ 244,635	$ 277,253	$ 309,871
HUD HCC FACTORS								
		0	**1**	**2**	**3**	**4**	**5**	**6**
Detached		-33.31%	-14.78%	16.60%	18.42%	39.04%	52.24%	64.69%
Row House		-35.69%	-15.46%	-1.75%	21.87%	44.88%	59.74%	73.66%
Walk Up		-42.07%	-21.41%	0.00%	30.91%	62.62%	83.16%	103.42%
Elevator		-44.44%	-22.22%	0%	33.33%	66.67%	88.89%	111.11%
HANH/ELM CITY COMMUNITIES HCC 2013								
		0	**1**	**2**	**3**	**4**	**5**	**6**
Detached		$ 145,318	$ 185,685	$ 217,896	$ 258,023	$ 302,962	$ 331,731	$ 358,846
Row House		$ 118,081	$ 155,221	$ 183,609	$ 223,759	$ 266,014	$ 293,290	$ 318,861
Walk Up		$ 108,259	$ 146,866	$ 186,882	$ 244,651	$ 303,915	$ 342,285	$ 380,149
Elevator		$ 109,828	$ 153,759	$ 197,690	$ 263,587	$ 329,483	$ 373,414	$ 417,346
HUD TDC 2013								
		0	**1**	**2**	**3**	**4**	**5**	**6**
Detached		$ 168,342	$ 215,103	$ 252,419	$ 298,901	$ 350,961	$ 384,288	$ 415,699
Row House		$ 136,788	$ 179,813	$ 212,699	$ 259,210	$ 308,159	$ 339,757	$ 369,380
Walk Up		$ 125,410	$ 170,134	$ 216,490	$ 283,411	$ 352,064	$ 396,513	$ 440,376
Elevator		$ 130,472	$ 182,661	$ 234,850	$ 313,133	$ 391,416	$ 443,605	$ 495,794

		0	1	2	3	4	5	6
Detached		$ 228,356.69	$ 291,789.97	$ 342,408.21	$ 405,464.41	$ 476,082.62	$ 521,291.12	$ 563,900.08
Row House		$ 185,556.06	$ 243,917.71	$ 288,527.99	$ 351,621.68	$ 418,022.08	$ 460,885.17	$ 501,067.76
Walk Up		$ 170,120.98	$ 230,789.37	$ 293,672.84	$ 384,451.85	$ 477,581.46	$ 537,876.94	$ 597,377.37
Elevator		$ 178,470.14	$ 249,858.09	$ 321,246.04	$ 428,328.23	$ 535,410.42	$ 606,798.37	$ 678,186.32

PERCENT CHANGE HANH/ELM CITY COMMUNITIES TDC 2008-2013								
		0	**1**	**2**	**3**	**4**	**5**	**6**
Detached		15.00%	13.00%	10.73%	9.54%	9.11%	9.20%	8.94%
Row House		1.50%	2.94%	2.73%	5.14%	6.20%	6.94%	7.49%
Walk Up		16.75%	16.65%	17.70%	18.47%	20.73%	21.86%	23.14%
Elevator		10.45%	10.45%	10.45%	10.45%	10.44%	10.45%	10.45%

PERCENT CHANGE COMPARISON HUD TO HANH/ELM CITY COMMUNITIES TDC								
		0	**1**	**2**	**3**	**4**	**5**	**6**
Detached		0.76%	0.74%	0.73%	0.64%	0.72%	0.72%	0.71%
Row House		0.66%	0.67%	0.67%	0.73%	0.69%	0.70%	0.70%
Walk Up		0.76%	0.76%	0.77%	0.79%	0.79%	0.80%	0.80%
Elevator		-0.20%	-0.20%	-0.20%	-0.20%	-0.20%	-0.20%	-0.20%

Appendix 3: Local Asset Based Management

Under the First Amendment to the MTW Agreement 10-15-08, HANH/ELM CITY COMMUNITIES is permitted to design and implement its own Local Asset Based Management Program so long as the HANH/ELM CITY COMMUNITIES and HUD agree that the principles and understanding outlined in the Amendment are adhered to.

HANH/ELM CITY COMMUNITIES developed a program wherein Excess Operating Reserves are funded from the General Fund Account and will be used to cover deficits through a journal voucher once per year to ensure that the transfer of funds from the General Fund to a project to cover any operating deficits are reflected on the income and expense statement of the project.

HANH/ELM CITY COMMUNITIES uses property level management accounting and budgeting for direct costs incurred by each property.

Each project is charged a management fee of $75.08 per unit per month, bookkeeping fee of $7.50 per unit per month, asset management fee of $10 per unit per month if a property has “surplus cash” and other fees that are reasonable and appropriate for services carried out by the Central Office Cost Center. The cost of vacant unit turnovers will be charged to projects based on the fee schedule for turnovers set forth in the third party unit turnover contract which was obtained through competitive procurement.

Cost of legal services will be fee for service basis by charging the project for actual services performed by staff and outside counsel for direct services. These fees are derived and based on a comparison of legal fees paid to outside attorneys that were competitively procured and GSA/Connecticut State rates for attorneys and support staff.

Planning and Development services will be fee for service basis by charging the project for actual services performed by staff and outside counsel for direct services. The fees for architectural type work and related performed by staff are developed based on fess set forth in third party contracts for work of the same nature that was obtained through the competitive procurement process and the GSA Schedule.

An indirect cost approach is used for the cost of implementing the CFP; leasing; centralized wait list; resident services supervisory staff and rent collection all of which are pro rated based upon the number of ACC units or percentage of time charged to a project.

Security costs will be allocated based upon fee schedule set forth in the third party security contract.

Proceeds from the CFP, energy performance contracts and other similar sources to support project operations are not reflected in the operating statements for each project. The COCC operates on the allowable fees and other permitted reimbursements from its LIPH and HCV programs, as well as revenues generated from non-public housing programs. HANH/ELM CITY COMMUNITIES systematically reviews information regarding the financial, physical and management performance of each project and identifies non-performing assets. All non-performing assets will have a management plan that includes a set of measurable goals to address. During FY 2009, HANH/ELM CITY COMMUNITIES conducted an updated Physical Needs Assessment for each project. The work was completed in FY 2010 and was fully reported in the FY 2010 report. Finally, HANH/ELM CITY COMMUNITIES has implemented a Risk Management Program in accordance with §990.270.

Appendix 4: MTW Expenditures and Voucher Costs for PBVs

PBV	Number in 2011	2011 MTW Expenditure	2011 Voucher Cost	Number in 2012	2012 MTW Expenditure	2012 Voucher Cost
Currently under HAP	253		$37,605,888.00	290		$43,131,168.00
HANH overhead		$1,000,000.00				
PreDevelopment Loans		$400,000.00			$460,000.00	
Shartenberg		$101,977.00		20		$180,000.00
CUHO New Construction				8		$81,600.00
Brookside Phase I				50	$5,221,820.00	$630,000.00
Brookside Phase II					$2,865,219.00	
Brookside Homeownership		$833,333.33			$833,333.33	
Rowe	32	$5,032,685.00	$404,304		$5,032,685.00	
Quinnipiac III	5	$1,591,909.00	$56,136			
Mutual Housing						
122 Wilmot Road					$3,375,000.00	
Rockview Phase I						
Rockview Phase II						
Downtown						
Dwight						
Farnam						
Ribicoff						
Eastview/Chatham						
Cedar Hill						
Frank Nasti						
Essex RAD						
Crawford RAD						
Westville Manor RAD						
Scatter Sites RAD						
Working Family Initiative						
Working Young Adults Initiative						
Total PBV	**290**	**$8,959,904.33**	**$38,066,328.00**	**368**	**$17,788,057.33**	**$44,022,768.00**
Number Vouchers that could have been issued for HCV based upon use of MTW funds for redevelopment						
Percentage of Total Budget Authority						
Adjusted HCV Baseline						
Percentage of Allocation						

PBV	Number in 2013	2013 MTW Expenditure	2013 Voucher Cost	Number in 2014	2014 MTW Expenditure	2014 Voucher Cost
Currently under HAP	385		$41,617,800.00			$42,940,800.00
HANH overhead			$7,100,000.00			$7,178,000.00
PreDevelopment Loans						
Shartenberg						
CUHO New Construction						
Brookside Phase I						
Brookside Phase II	51	$955,073.00	$321,300.00			
Brookside Homeownership		$833,333.33				
Rowe						
Quinnipiac III						
Mutual Housing	20		$84,000.00			
122 Wilmot Road	13	$1,125,000.00	$31,200.00			
Rockview Phase I		$678,212.00		47		$444,150.00
Rockview Phase II						
Downtown				50		$315,000.00
Dwight						
Farnam						
Ribicoff						
Eastview/Chatham					$2,800,000.00	
Cedar Hill	4		$12,800.00			
Frank Nasti	8		$8,400.00			
Essex RAD					$2,296,594.00	
Crawford RAD					$723,704.00	
Westville Manor RAD						
Scatter Sites RAD						
Working Family Initiative						
Working Young Adults Initiative						
Total PBV	**481**	**$3,591,618.33**	**$49,175,500.00**	**97**	**$5,820,298.00**	**$50,877,950.00**
Number Vouchers that could have been issued for HCV based upon use of MTW funds for redevelopment						
Percentage of Total Budget Authority						
Adjusted HCV Baseline						
Percentage of Allocation						

PBV	Number in 2015	2015 MTW Expenditure	2015 Voucher Cost	Number in 2016	2016 MTW Expenditure	2016 Voucher Cost

Currently under HAP			$47,129,504.00			$46,108.927
HANH overhead			$7,258,340.00			$3,138,091
PreDevelopment Loans		$600,000				
Fellowship Place I				14.5	$99,104	
Fellowship Place II				4	$36,126	
Cornerstone				3	$26,621	
NHR-Norton Ct				8	$89,442	
Shartenberg						
CUHO New Construction				16.1	$175,924	
MEPT Chapel St				12.9	$84,000	
Fairhaven MHLP				16	$142,633	
Ferry MHA				3	$26,557	
Casa Familia				12	$124,807	
Brookside Phase I				47.6	$576,621	
Brookside Phase II				47.8	$512,069	
Brookside Homeownership						
Rowe				28.3	$362,682	
Quinnipiac III				59.75	$815,878	
Mutual Housing						
122 Wilmot Road				11	$149,906	
Rockview Phase I				43.1	$525,929	
Rockview Phase II						
Downtown						
Dwight						
Farnam	84	$7,164,000.00	$529,200.00			
Ribicoff	100	$3,500,000.00	$672,000.00	44	$395,461	
Ribicoff 4				51	$60,430	
Eastview/Chatham	47		$592,200.00	48.5	$740,721	
Cedar Hill				4	$22,053	
West Village				9	$79,433	
Park Ridge				43	$558,168	
Frank Nasti				11.7	$105,939	
Essex RAD						
Crawford RAD						
Westville Manor RAD						
Scatter Sites RAD						
Working Family Initiative	100		$240,000.00			
Working Young Adults Initiative	100		$240,000.00			
Total PBV	431	$11,264,000.00	$56,661,244.00	538.4	$5,710,504	$49,157,018

PBV	Number in 2017	2017 MTW Expenditure	2017 Voucher Cost

Currently under HAP			$ 51,131,841
HANH overhead			$ 3,479,138.00
PreDevelopment Loans			
Fellowship Place I	17	$ 117,224	
Fellowship Place II	5	$ 50,889	
Cornerstone	3	$ 37,426	
NHR-Norton Ct	7	$ 78,941	
Shartenberg	13	$ 92,615	
CUHO New Construction	1	$ 7,413	
MEPT Chapel St			
Fairhaven MHLP	17	$ 191,985	
Ferry MHA	8	$ 71,748	
Casa Familia	10	$ 128,052	
Brookside Phase I	45	$ 690,483	
Brookside Phase II	46	$ 614,079	
Brookside Homeownership			
Rowe	31	$ 418,177	
Quinnipiac III	59	$ 1,050,485	
Mutual Housing			
122 Wilmot Road	12	$ 829,926	
Rockview Phase I	47	$ 649,965	
Rockview Phase II			
Downtown			
Dwight			
Farnam			
Ribicoff	42	$ 522,082	
Ribicoff 4	46	$ 545,988	
Eastview/Chatham	57	$ 675,924	
Cedar Hill	3	$ 20,937	
West Village	15	$ 148,148	
Park Ridge	59	$ 829,926	
Frank Nasti	8	$ 105,128	
Essex RAD			
Crawford RAD			
Westville Manor RAD			
Scatter Sites RAD			
Working Family Initiative			
Working Young Adults Initiative			
Total PBV	551	$ 7,877,541	$ 54,610,979

Appendix 5: ECC/HANH MTW Evaluation

Executive Summary

A 2015 evaluation of ECC/HANH's MTW program found the following:
MTW has been used extensively by HANH to assist in redeveloping many of its properties. Various MTW flexibilities related to fungibility, income limits, project-based vouchers; and development and construction cost limits have been used to help redevelop over 800 affordable units. Through these projects HANH was also able to earn nearly $5 million in developer fees.

HANH has had success using MTW flexibilities to implement activities that have led to 40K hours of staff time savings and over $500K in cost savings. Key activity drivers of these savings include rent simplification's biennial/triennial reexam schedules, biennial/triennial HQS inspections, mandatory direct deposit for HCV landlords, and limiting HCV landlord rent increases to once per reexam cycle.

MTW flexibility has also been used to create special programs that serve sub-populations with unique challenges including families facing homelessness and foreclosure; and former prisoners who are re-entering the community. HANH has also aided families seeking to move into lower poverty areas through its deconcentration initiative.

The evaluation provided the following recommendations:

1) Improve core self-sufficiency activities by advancing case management and classes.
2) Streamline the number of self-sufficiency programs and review service alternatives.
3) Transform MTW data collection and reporting by advancing data management and streamlining processes.
4) Enhance staff involvement in setting and meeting MTW goals.
5) Continue to streamline administrative processes.
6) Evolve MTW rent policy to enhance motivations for work-able families to work.
7) Raise awareness for MTW programs with clients and partners.

ECC/HANH has been working toward these recommendations. In 2016, the agency contracted with Enterprise Community Partners to position the agency for a future evaluation of its MTW program and each of its initiatives. Enterprise is mid-way through its three-year contract to complete ECC/HANH's MTW Plans and Reports each year and has coordinated with ECC/HANH's data collection software provider for optimal data collection. Enterprise has provided data collection recommendations to ensure ECC/HANH is collecting data for metrics to support proper reporting and to support a future evaluation.

Enterprise Community Partners found the following:

ECC/HANH continues to support housing choice for their residents by redeveloping and repositioning aging low-income public housing developments, replacing demolished units with a variety of affordable housing types, increasing participation in the RAD program, renovating offline units, upgrading units, and making accessibility improvements. These efforts could produce positive ripple effects throughout the city of New Haven, especially near the West Rock Neighborhood where ECC/HANH is working to redevelop all public housing properties. Positive community impacts are being reported at the two ECC/HANH properties for which crime data was analyzed, both of which have had reductions in the number of major crimes. ECC/HANH's efforts to provide housing choice for vulnerable populations continues to increase, as the HCV Preference and

Set-Aside for Victims of Foreclosure has increased by 15 participants and Tenant-Based Vouchers for Supportive Housing for the Homeless has increased by 35 participants since inception.

ECC/HANH continues to work toward improving its self-sufficiency programming, especially for particularly vulnerable populations. To assist the most vulnerable, ECC/HANH continues to serve a high proportion of very low-income households, with 74% of HCV households being very low-income and 82% of LIPH households being very low-income in 2016. Some groups have seen positive outcomes. In 2015, 2 elderly/disabled residents transitioned to self-sufficiency and, in 2016, 12 prison-reentry participants transitioned to self-sufficiency and 11 participants in the Resident Services for Elderly/Disabled program were employed (up from 3 in 2015). Participants in the Tenant-based Vouchers for Supportive Housing for the Homeless have not seen these self-sufficiency successes, which appears to be largely due to difficulties in recruiting residents for self-sufficiency programming.

The self-sufficiency programs saw decreased participation in 2016, including FSS, the Incremental Earned Income Exclusion program (IEIE), and CARES, and so ECC/HANH continues to focus efforts to increasing participation. Despite decreased participation, 100% of literacy students achieved a 7th grade reading level and 2 students earned their GEDs, and the number of students who moved from the beginner to the intermediate computer class increased in 2016. Additionally, both FSS and IEIE saw increased household earnings in 2016 and the CARES incomes remained stable. The average household earnings of all HCV and LIPH households increased by over $7,500 on average from 2015 to 2016.

ECC/HANH has demonstrated continued cost effectiveness by deriving agency revenue from redevelopment fees, leveraging private investment through the mixed-finance process, and reducing administrative burden. The Rent Simplification initiative has saved an average of nearly 7,000 hours of staff time per year since 2008 while the HCV Rent Simplification/Cost Stabilization Measure initiative saved over 200 hours of staff time in 2015 and 2016. Since 2008, ECC/HANH has saved over $166,000 in printing and mailing costs alone by changing the annual recertification schedule. In 2016, ECC/HANH implemented a new quality assurance process that decreased their average error rate for calculating recertifications to just 1% in 2016, reducing administrative burden even further.

Despite efforts to increase the cost effectiveness of its development activities, ECC/HANH still faces a challenges due to eh high construction costs of the area. ECC/HANH improve development design, adherence to competitive bidding procedures and encourage competition among contractors, to drive down costs. However, according to RSMeans cost data for 2014, construction costs in the New Haven metropolitan area were 110.2% of the national average.[1] Comparatively, many much more populous cities experience lower construction costs: Atlanta (87.5%), Denver (93.3%), Los Angeles (107.3%), Phoenix (88.7%) and Washington, DC (97.7%). The 2014 construction costs in New Haven increased by 0.05% from 2010, suggesting that 2017 costs may be even higher than 110.2% of the national average.[2]

ECC/HANH has also focused on further engaging staff with the MTW reporting process and updating their data collection processes and infrastructure. In 2016, Enterprise Community Partners presented metrics and data collection recommendations to ECC/HANH leadership and held listening sessions with ECC/HANH data stewards, which resulted in better tailored metrics and data collection recommendations. ECC/HANH is currently working with a data management organization, Eccovia, to institute a new data management software that will assist in future reporting on key initiatives. In FY 2017, ECC/HANH also engaged staff in a new data reporting process for the FY 2017 annual MTW report.

Enterprise Community Partners provided the following data management suggestions in 2016, which are currently being acted upon:

1) Refine reported metrics to more completely demonstrate the impact of particular initiatives.
2) Collect additional data to be kept internally to provide more robust program evaluations in the future.
3) Standardize and enforce quarterly data collection procedures.
4) For each initiative, report data that reflects only the initiative in question, rather than the greater housing portfolio or all residents.
5) Engage ECC/HANH staff in updating initiative narratives to better tell the story of ECC/HANH's efforts.

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[1] The costs represented in the RSMeans cost data publications are based on national averages for materials and installation.

[2] At time of the submission of this report, ECC/HANH did not have access for the 2017 RSMeans data for the New Haven metro area. Because 2010 construction costs increased by .05% from 109.7% of the national average in 2010 to 110.2% of the national average in 2014, so ECC/HANH expects that 2017 construction costs are even higher than 110.2% of the national average.

Appendix 6: Procedures for Rent Simplification for the Public Housing Program

Public Housing Program Rent Simplification

ECC/HANH/ELM CITY COMMUNITIES believes there is a better way to administer essential housing programs, one that encourages long-term self-sufficiency for both the program participants as well as the agency.

Rent Simplification: Equity & Efficiency
The proposed system rewards families who increase their incomes, and provides them with more opportunities to save while easing ECC/HANH/ELM CITY COMMUNITIES's burden of administering these housing programs.

Everyone Should Contribute
ECC/HANH/ELM CITY COMMUNITIES believes that every family should contribute towards their housing. Under Rent Simplification, the criteria under which a family can claim zero income and not pay any rent are not changed. What will change is the amount of time families will be permitted to request an interim adjustment. The minimum rent will remain at $50.00 per month.

Fiscal Equity for ECC/HANH/ELM CITY COMMUNITIES
Rent Simplification is forecast to be revenue-neutral. In other words, the implementation of Rent Simplification will not increase the amount of rental revenue to the ECC/HANH/ELM CITY COMMUNITIES.

Approvable Method
Rent Simplification allows all stakeholders to easily understand how tenant rents are determined, and armed with some basic income data, anticipate what future rents will be. This will allow families to easily plan for future expenses and savings.

Measurable Reduction in Administrative Time
By simplifying the rent determination and deduction procedures in Federal Public Housing, Rent Simplification makes the job of recertifying tenants significantly easier.

Transition to Avoid Hardships
ECC/HANH/ELM CITY COMMUNITIES has devised a system that is not only revenue neutral for the organization, but will not result in any undue hardship to our families. There will be a transition period of one year from the current income based rent determination process to the new income tiered rent determination process. No family will have an increase in Total Tenant Payment (TTP) during the first year they are subject to the requirements of this Rent Simplification Policy. Please note that this hold harmless provision does not apply to increases in TTP that result from an increase in family annual income above the amount earned in the reporting period immediately preceding the family being subject to Rent Simplification. No family shall be subject to an increase in TTP of greater than $25.00 a month during the second year that the family is subject to the Rent Simplification Policy. The increase in TTP during the third year the family is subject to Rent Simplification shall not exceed $50; $75 a month during the fourth year; and $100 a month above the monthly TTP in the year immediately following the implementation of Rent Simplification

Asset Exclusion
Asset exclusion is raised to $50,000.00. Increasing the asset exclusion amount allows residents to accumulate more assets before they are calculated as income. Families will self certify that they do not have assets in excess of $50,000.00.

Earned Income Disallowance
The Federal Earned Income Disregard (EID) will continue to be implemented. The maximum amount of time a family can be enrolled in the Federal EID is 24 months. After the 24 months have been exhausted, the family may elect to participate in the Family Self Sufficiency (FSS) program for the remaining 24 months so long as any family member is enrolled in FSS. Both program s combined cannot exceed 48 months. When the family joins the FSS program 50% of incremental earnings are excluded for 12 additional months after the end of receiving EID for 24 months and 25% for another 12 months for a total for 48 months of income disallowance The optional income disregard provided under this paragraph is limited to lifetime eligibility of 48 months.

For families who do not receive the Federal EID, it may choose to enroll directly into the optional FSS Earned Income Disregard so long as any member of the household is enrolled in FSS Program. Incremental earnings from wages or salaries are excluded in the first 12 months; 75 percent in the second 12 months; 50% in the third 12 months; and 25% in the fourth 12 months. A family is limited to 48 months of eligibility for this optional EID. This will allow more families to enter and benefit from the program. In no event shall the family receive the FSS exclusion and the Federal EID during the same time period.

Family Self Sufficiency (FSS) Income Exclusion
The average income of our public housing residents is approximately $12,000.00 per year. In order to promote long-term sustainable economic self-sufficiency of the residents, all families that enroll in the FSS program who are members of Very Low Income families will have all incremental earnings and benefits from any qualified Federal, State or Local employment training program training of a family member (including programs not affiliated with the local government) excluded from the determination of Annual Income so long as the family member is enrolled in ECC/HANH/ELM CITY COMMUNITIES's FSS Program.

Additionally, any incremental earning by any family member while enrolled in the FFS Program will be excluded from the determination of Annual Income, 100% during the 1st year, 75% in 2nd year, 50% in 3rd year, 25% in 4th year and 0% during the 5th year of FSS participation. In addition to regurlarly scheduled recertifications, the family member will have their rent re-determined at the conclusion of the FSS Program or termination from the Program.

In addition to expanding the scope of the existing exclusion to include Federal and State programs, an optional exclusion will be provided to cover the incremental increases and wages and salaries so long as that family member is enrolled in the ECC/HANH/ELM CITY COMMUNITIES FSS Program.

There is not a requirement that these increases in rental income must go into an escrow account. Families will be permitted to retain these additional earnings.

Other Exclusions
All adoption assistance payments will be excluded from income calculations under Section 5.609(c) (8) (x11) as the $480 dependent deduction is eliminated. All income earned by full-time college students will no longer be included in the determination since there will no longer be the $480 dependent deduction to offset income.

Annualized Income Calculation
Prospective and past income may be used to calculate resident rents, especially for families with irregular or sporadic employment histories. For families with income of up to and including $5,000.00 we will accept a self-certification. For families earning more than $5,000.00 of wages and salaries we want pay stubs covering the most recent four weeks of employment or a W-2 or 1099 within 180 days of the effective date of recertification. We must complete EIV or other UIV as required by HUD.

Annual Reexaminations
Reexaminations are currently conducted every year for non-elderly households and every two year for elderly and disabled households. ECC/HANH/ELM CITY COMMUNITIES spends on average three hours per annual reexamination. ECC/HANH/ELM CITY COMMUNITIES must perform more than 3,200 LIPH reexaminations every year. This is inordinately time consuming and an exceedingly complex process. Under Rent Simplification, annual reexaminations will occur every two years for non-elderly households and every three years for elderly and disabled households. These changes will allow families who experience increases in income to retain all of their increased earnings between annual reexaminations. Note that families with individuals who are subject to the eight hour community services requirement will be reviewed annually for all household members exempt from having to meet the community services requirement. During the first year all families will be recertified. This process will be phased in over a three-year period.

Effective FY 2015 (October 2014), ECC/HANH updated its definitions of elderly/disabled and work-able families. Under the policy change, an elderly/disabled family will be defined as one in which all adult members (excluding live-in attendants) are elderly and/or disabled. A work-able family will be one that doesn't meet the new elderly/disabled definition. Work-able households under the new definition will have reexaminations every two years (biennial schedule) and elderly/disabled households will have annual reexaminations every three years (triennial schedule).

ECC/HANH believes this new definition more closely matches the spirit of a "work-able" family since all work-able families would have at least one work-able adult. Under the prior definition, an elderly/disabled family only needed a head, co-head, or spouse to be elderly or disabled which led to some families with work-able adults being categories as elderly/disabled. This change will also give ECC/HANH the ability to better track earnings and employment for work-able families; and the better population division will give ECC/HANH the flexibility to implement work-able specific rent policy changes in the future if it so chooses.

Deductions for Exceptional Expenses
Excess resources are dedicated to verifying deductions for child care, medical and disability allowances. Third party verifications of these amounts are difficult to accomplish and the agency more often than not relies upon second and first party verifications of these deductions. Obtaining verification data also places an undue burden on the resident. To simplify this process, ECC/HANH/ELM CITY COMMUNITIES will eliminate standard deductions for these amounts for elderly, disabled and non-elderly households.

Households with exceptional expenses may request a rent reduction. This includes large families (with more than two (2) dependants). It also includes families with high medical expenses, disability assistance expenses, or childcare expenses.

The amount of expense is set in $2,000.00 tiers. This allows ECC/HANH/ELM CITY COMMUNITIES to move away from verifying every last dollar. Tenants are not required to provide documentation of every dollar of expense; rather, tenants need only provide documentation sufficient to meet the appropriate tier.

The amount of monthly rent reduction is established at the mid-range of the tier.

Households with exceptional expenses will receive a direct reduction of the monthly rent. However, no tenant's rent will be reduced below a rent of $50.00 as a result.

Tiered Amount of Expenses	Monthly Rent Reduction
$ 2,000 - $ 3,999	$ 75 (equivalent to $3,000 deduction)
$ 4,000 - $ 5,999	$ 125 (equivalent to $5,000 deduction)
$ 6,000 +	Hardship Review

Changes in Family Composition
Residents are still required to get permission from the Housing Manager and the Director of Housing, Management to add anyone to a household and to report changes in family composition. A family's rent is recalculated if the addition or subtraction of a household member results in an income change of $200.00 per month or more, or that causes the family to move from one income tier to another. This increase in rent does not count as an interim reexamination.

Mandatory Interim Reexaminations Policy
- Residents must request an interim reexamination if any of the following conditions occur:
- Change in family composition that affects the voucher size or bedroom size.
- The addition of a family member 18 years of age or older
- Change in family composition that causes the family to move from one income tier to another with a higher rent schedule.
- Addition of a live-in aid
- Income increase following an interim rent reduction
- If HANH grants an exceptional deduction for any family and there is a subsequent change then the family must report that change to HANH.

Optional Interim Reexaminations Policy
Residents have the option to request three (3) interim reexaminations during every twelve (12) month period. Interims may be granted in the following instances:

- Decrease in family income that is expected to last 90 days or more if it will result in a change in the family's income tier (exclude seasonal workers; see below)
- Increase in Exceptional Expenses of at least $2,000.00

Interim rents normally remain in place until the next scheduled reexamination. If a family experiences an increase in income it is not necessary for the family to report this increase in income until the next scheduled certification date, except when the increase occurs after an interim decrease has been processed.

Households receiving a requested interim rent reduction must report any subsequent income increase to ECC/HANH/ELM CITY COMMUNITIES within thirty (30) days of occurrence. Failure to report the change within thirty (30) days results in retroactive rent changes, and depending on the severity of the circumstances, lease termination.

Seasonal workers who are employed for a period of time less than 12 months annually will have their rent calculated over a 12 month period using the 9 or 10 months of income earned. During the months the worker is not actively working, the family will not be able to request a rent reduction as the rent has already been adjusted over a 12 month period.

Permanent loss of income (i.e., death of an income earner) results in a permanent, rather than interim, rent reduction. This decrease in rent does not count as an interim reexamination. Under this circumstance, the family is not required to report a subsequent increase in income until the next scheduled certification.

Verification of Annual Income from Wages and Salaries and Assets
To reduce the administrative burden associated with the verification of income ECC/HANH/ELM CITY COMMUNITIES will amend its Admission and Continued Occupancy (ACOP) to specify that:

- For earnings from wages and salaries where Annual Income for the prior period of up to and including $5,000.00, self certification from family is all that shall be required as verification of income.
- For earnings from and salaries of more than $5,000.00 the most recent pay stubs for recent 4 weeks of employment, or W-2 or 1099 within 180 days of the anniversary date shall be required in addition to the self-certification, but only to the extent that verification of Annual Income is not available from a third party source of Upfront Income Verification.
- Self-certification of all sources of Annual Income shall be required in all cases.
- For families with total assets of $50,000.00 or less a self-certification of said assets shall be required.

Income Tiered Rents Calculated within $1,000 Bands
Rents are based on $1,000.00 income bands starting at $2,500.00. Using a band-based rent schedule allows the ECC/HANH/ELM CITY COMMUNITIES and residents to move away from verifying every last dollar earned and deducted. (See Exhibit A)

At January 31, 2007, both the median and mode percentage of Total Tenant Payment (TTP) to annual income is 28.5 percent. That is, most families pay 28.5 percent of their family income (before utility allowance) as rent. Fifty two (52) percent of households pay 28 percent or more of annual income for TTP; six percent pay less than 10 percent; 13 percent pay between 10 and 20 percent; and 26 percent pay between 20 and 27 percent of income as TTP.

Rent will be set at 28.50 percent of income for income tiers of $1000.00 starting at $2,500.00. The rent will be calculated at the lower end of each tier. For example, for the $2,500.00 to $3,499.00 tier, the rent will be calculated at 28.50 percent of $2,500.00. Families with incomes below $2,500.00 will be charged the minimum rent. Families will be permitted to apply for a hardship if verifiable proof is provided that there total expenses exceed $2,000.00

Minimum Rents and Flat Rents
Families with annual income below $2,500.00 will pay a minimum rent of $50.00. In no event shall any family pay less than 25 percent of its Annual Income for TTP.

All residents at a rent of $50.00, except for the elderly and persons with disabilities, are referred to the Family Self Sufficiency (FSS) Program for job or benefit counseling. Families may still choose the existing Flat Rent option for public housing.

Zero Income Households
Families with Annual Income below $2,500 annually shall pay the minimum rent of $50.00 per month.

All families placed on minimum rent with the exception of elderly and disabled families will be referred to the Family Self Sufficiency Program.

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long-term hardship exemption from the minimum rent requirements.

All families placed on minimum rent must be informed in writing of the procedures for applying for a hardship exemption from the Minimum Rent Requirement and the ability to have minimum rent waived.

All families who apply for such hardship exemption, with the exception of elderly persons and persons with disabilities, will be referred to the Family Self Sufficiency Program in order to assist the family in moving towards self sufficiency.

ECC/HANH/ELM CITY COMMUNITIES will notify all families of their right to request a hardship exemption from the minimum rent requirements. Residents will be notified of their right to request a hardship exemption through the Application for Exemption from Minimum Rent, a copy of which will be provided to tenants at lease-up and at each recertification appointment and mailed to residents at each interim recertification. The policy and procedures for requesting such hardship exemption will also be included in tenant rent change notifications, the form lease agreement and all form documents related to the exemption process.

Criteria for Hardship Exemption From Minimum Rent Requirement
A family is automatically exempt from the minimum rent requirements for a 90 day period when the family's circumstances fall into any one of the following criteria:

- When a family has lost eligibility or is awaiting eligibility determination from a Federal, State or local assistance program;
- When the family would be evicted because it is unable to pay the minimum rent;
- When the income of the family has decreased because of changed circumstances, including loss of employment;
- When a death in the family has occurred; or
- Other circumstances determined by ECC/HANH/ELM CITY COMMUNITIES to be reasons to waive the minimum rent requirement (collectively, the "Criteria for Minimum Rent Exemption").

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long-term hardship exemption from the minimum rent requirement.

A temporary hardship exemption exists when none of the above criteria is expected to last for more than 90 days.

A long-term hardship exemption exists when at least one of the above criteria is expected to last for more than 90 days.

A family may only receive one hardship exemption from the minimum rent requirement during a twelve month period, unless a tenant is elderly, disabled, or is enrolled in ECC/HANH/ELM CITY COMMUNITIES's

Family Self Sufficiency Program. The minimum rent requirement may be waived more than once during a twelve month period if at least one adult member of the household enrolls in the Family Self Sufficiency Program (the "FSS Program"). Elderly and disabled families are not required to enroll in the FSS Program.

Once ECC/HANH identifies a resident's need for a hardship exemption from the minimum rent requirement or the family requests such exemption, the minimum rent shall be suspended immediately for a period of 90 days.

Hardship Review Committee

All "Applications for Exemption from Minimum Rent" shall be forwarded to the Hardship Review Committee.

The Hardship Review Committee shall consist of the Executive Director or his/her designee, the Chief Operations Officer or his/her designee, the Service Center Director or his/her designee, and the Assistant Executive Director of Community and Economic Development or his/her designee. At the family's option, the Hardship Review Committee may include one (1) resident of ECC/HANH/ELM CITY COMMUNITIES who is in good standing.

The Application for Exemption from Minimum Rent shall originate from the family or from a ECC/HANH/ELM CITY COMMUNITIES employee whenever evidence exists that the family falls into any one of the Criteria for Minimum Rent Exemption.

When a resident submits an application or a ECC/HANH/ELM CITY COMMUNITIES employee submits an application on behalf of a resident, ECC/HANH/ELM CITY COMMUNITIES will suspend the minimum rent requirement commencing on the first of the month following the date of the application for a period of 90 days.

The resident cannot be evicted for nonpayment of minimum rent while resident's Application for Exemption from Minimum Rent is pending or during the 90 day period of suspension, whichever is longer.

The Hardship Review Committee shall send a letter to all resident families who have applied for hardship exemption from minimum rent stating:

- that ECC/HANH/ELM CITY COMMUNITIES has received an Application for Exemption from Minimum Rent,
- that ECC/HANH/ELM CITY COMMUNITIES will suspend the minimum rent requirement for 90 days effective as of the first of the next month and the effective dates of the 90 day suspension,
- that there can be no eviction for non-payment of rent during the suspension period;
- the date for a meeting with the resident to discuss the hardship exemption request, giving the resident family at least ten days advance notice of such meeting and informing the resident that he or she may have one opportunity to reschedule the meeting; and
- that, with the exception of elderly and disabled families, the resident family has been referred to the FSS program and will not be able to receive a hardship exemption in excess of 90 days without enrolling in the program.

The Hardship Review Committee will review the circumstances surrounding the request and determine if the request is temporary, long term or nonexistent.

- If the Committee determines that ***the hardship is of a temporary nature (the hardship is expected to last less than 90 days)***, at the end of the 90-day period, the resident's rent will be reinstated to the minimum rent retroactively to the initial date of suspension. The resident will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH/ELM CITY COMMUNITIES for any back rent that is due and owing to ECC/HANH/ELM CITY COMMUNITIES.

- If the Committee determines that the ***hardship is of a long-term nature (the hardship is expected to last more than 90 days),*** the tenant shall be exempt from the minimum rent requirement from the first of the month following the date of the application for exemption from the minimum rent until such time that the hardship no longer exists.
    - ECC/HANH/ELM CITY COMMUNITIES may deny a resident a long-term exemption from the minimum rent requirement, if the resident fails to attend the scheduled meeting with the Hardship Review Committee. ECC/HANH/ELM CITY COMMUNITIES will provide each resident one opportunity to reschedule the meeting. If the resident fails to attend the scheduled meetings, ECC/HANH/ELM CITY COMMUNITIES may deny the long-term exemption from the minimum rent requirement. The letter scheduling the meeting shall inform residents that persons with disabilities are entitled to reasonable accommodation with regard to this requirement.
    - Except for Elderly or Disabled families, no tenant shall be exempt from the minimum rent requirement for more than 90 days during a one year period unless at least one member of the family who is 18 years of age or older enrolls and actively participates in ECC/HANH/ELM CITY COMMUNITIES's FSS Program for job or benefit counseling. Such family member(s) shall enroll in the FSS Program within 30 days from the date of the Application for Exemption from Minimum Rent.

- If the ***hardship is determined to be non-existent,*** the resident will be responsible for paying rent to ECC/HANH/ELM CITY COMMUNITIES for any rent that was suspended while tenant's Application for Exemption from Minimum Rent was pending. The minimum rent shall be re-instated retroactively to the initial date of the suspension. The resident will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH/ELM CITY COMMUNITIES for any back rent that is due and owing to ECC/HANH/ELM CITY COMMUNITIES.

Upon completion of the review process, the Hardship Review Committee shall render a written recommendation to the Executive Director, who shall then adopt or reject the recommendation and shall issue a written decision that states as follows:

- **If the hardship exemption is determined to be temporary:**
    - that a temporary hardship exemption was granted;
    - the effective dates of the exemption;
    - the basis for the decision to grant a temporary hardship exemption, including that a long-term exemption was denied and the reason that such long-term exemption was denied; and
    - that the resident has a right to enter into a reasonable repayment agreement with ECC/HANH/ELM CITY COMMUNITIES for the minimum rent that was suspended and is now owing to ECC/HANH/ELM CITY COMMUNITIES.

- **If the hardship exemption is determined to be long-term:**
    - that a long-term hardship exemption was granted;

- whether the long-term exemption is permanent or subject to periodic review and, if subject to periodic review, when such review will take place;
- that all non-elderly, non-disabled residents are required to comply with FSS requirements as a condition of the receipt of a long-term exemption; and
- that the resident must notify ECC/HANH/ELM CITY COMMUNITIES within 10 days if the hardship ceases to exist because the resident has obtained a source of income sufficient to pay (at least) the minimum rent.

- **If the hardship is determined to be non-existent:**
  - that a hardship exemption was denied;
  - the reason for such determination; and
  - the terms and conditions on which the resident family must pay back the minimum rent that was suspended and is now owing to ECC/HANH/ELM CITY COMMUNITIES.

    All letters concerning Hardship Review Committee determinations shall state that any resident who disagrees with the decision may request a grievance in accordance with ECC/HANH/ELM CITY COMMUNITIES's grievance procedures, a copy of which will be included with the written decision. In cases where a grievance is sought, no action shall be taken by ECC/HANH/ELM CITY COMMUNITIES until the grievance process is completed.

Mixed Families
For mixed families, where some households include members with citizenship or eligible immigration status as well as those without, rents are calculated using the simplification model; subsidy is then prorated using current methods.

Fraud Prevention
After two or more instances of job loss or income drop within ninety (90) days of a scheduled reexamination (based on current and prior reexamination history), ECC/HANH/ELM CITY COMMUNITIES sets a rent based on the past year's W-2 or other information available for income verification. Households are advised that this is a potential fraud issue and that they have the right to grieve through the normal process to more fully explain the reasons for the pattern of income loss. ECC/HANH/ELM CITY COMMUNITIES will set the rent after the Conference Panel review.

Households with two or more instances of job loss or income drop within ninety (90) days of a scheduled certification do not have access to the Hardship Review Committee.

Rent Simplification Implementation - Public Housing
Residents will receive notice of the new policy on July 1, 2007 and the policy will take effect on January 1, 2008 for all reexaminations with an anniversary effective date on or after January 1, 2008 and for all new lease-ups and residents requesting interim reexaminations after January 1, 2008.

A staggered approach is used to integrate the two-year and three year reexamination cycles.
- Initially in fiscal year 2008, all families will be re-examined during the first year.
- In the second year of the program (2009), two thirds of the elderly/disabled families will be re-examined and one half of the non-elderly/non-disabled families.
- In the third year of the program (2010), one third on the elderly/disabled families will be re-examined and one-half of the remaining non-elderly/non-disabled families.

Rent Simplification is expected to be fully implemented by December 31, 2010.

Low Income Public Housing (LIPH) Program: Rent Simplification Rent Tier Schedule

Rent Tier						
Income Range						
$0	$2,499	$50		$26,500	$27,499	$629
$2,500	$3,499	$59		$27,500	$28,499	$653
$3,500	$4,499	$83		$28,500	$29,499	$677
$4,500	$5,499	$107		$29,500	$30,499	$701
$5,500	$6,499	$131		$30,500	$31,499	$724
$6,500	$7,499	$154		$31,500	$32,499	$748
$7,500	$8,499	$178		$32,500	$33,499	$772
$8,500	$9,499	$202		$33,500	$34,499	$796
$9,500	$10,499	$226		$34,500	$35,499	$819
$10,500	$11,499	$249		$35,500	$36,499	$843
$11,500	$12,499	$273		$36,500	$37,499	$867
$12,500	$13,499	$297		$37,500	$38,499	$891
$13,500	$14,499	$321		$38,500	$39,499	$914
$14,500	$15,499	$344		$39,500	$40,499	$938
$15,500	$16,499	$368		$40,500	$41,499	$962
$16,500	$17,499	$392		$41,500	$42,499	$986
$17,500	$18,499	$416		$42,500	$43,499	$1,009
$18,500	$19,499	$439		$43,500	$44,499	$1,033
$19,500	$20,499	$463		$44,500	$45,499	$1,057
$20,500	$21,499	$487		$45,500	$46,499	$1,081
$21,500	$22,499	$511		$46,500	$47,499	$1,104
$22,500	$23,499	$534		$47,500	$48,499	$1,128
$23,500	$24,499	$558		$48,500	$49,449	$1,152
$24,500	$25,499	$582		$49,500	Above	$1,176
$25,500	$26,499	$606				

Hardship Waiver Policy and Guidelines

Families with Annual Income below $2,500 annually shall pay the minimum rent of $50.00 per month.

All families placed on minimum rent with the exception of elderly and disabled families will be referred to the Family Self Sufficiency Program.

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long-term hardship exemption from the minimum rent requirements.

All families placed on minimum rent must be informed in writing of the procedures for applying for a hardship exemption from the Minimum Rent Requirement and the ability to have minimum rent waived.

All families who apply for such hardship exemption, with the exception of elderly persons and persons with disabilities, will be referred to the Family Self Sufficiency Program in order to assist the family in moving towards self sufficiency.

ECC/HANH/ELM CITY COMMUNITIES will notify all families of their right to request a hardship exemption from the minimum rent requirements and in accordance with the provisions set forth herein. Residents will be notified of their right to request a hardship exemption through the Application for Exemption from Minimum Rent, a copy of which will be provided to tenants at lease-up and at each recertification appointment and mailed to residents at each interim recertification. The policy and procedures for requesting such hardship exemption will also be included in tenant rent change notifications, the form lease agreement and all form documents related to the exemption process.

1. Criteria for Hardship Exemption from Minimum Rent Requirement

A family is automatically exempt from the minimum rent requirements for a 90 day period when the family's circumstances fall into any one of the following criteria:

- When a family has lost eligibility or is awaiting eligibility determination from a Federal, State or local assistance program;
- When the family would be evicted because it is unable to pay the minimum rent;
- When the income of the family has decreased because of changed circumstances, including loss of employment;
- When a death in the family has occurred; or
- Other circumstances determined by ECC/HANH/ELM CITY COMMUNITIES to be reasons to waive the minimum rent requirement (collectively, the "Criteria for Minimum Rent Exemption").

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long-term hardship exemption from the minimum rent requirement.

A temporary hardship exemption exists when none of the above criteria is expected to last for more than 90 days.

A long-term hardship exemption exists when at least one of the above criteria is expected to last for more than 90 days.

A family may only receive one hardship exemption from the minimum rent requirement during a twelve month period, unless a tenant is elderly, disabled, or is enrolled in ECC/HANH/ELM CITY COMMUNITIES's Family Self Sufficiency Program. The minimum rent requirement may be waived more than once during a twelve month period if at least one adult member of the household enrolls in the Family Self Sufficiency Program (the "FSS Program"). Elderly and disabled families are not required to enroll in the FSS Program.

Once ECC/HANH identifies a resident's need for a hardship exemption from the minimum rent requirement or the family requests such exemption, the minimum rent shall be suspended immediately for a period of 90 days.

2. Initiation of Hardship Exemption Review

An Application for Exemption from Minimum Rent may originate from either a ECC/HANH/ELM CITY COMMUNITIES employee or the resident family.

ECC/HANH/ELM CITY COMMUNITIES employees must complete and submit an Application for Exemption from Minimum Rent on behalf of a resident family whenever any evidence exists that the family falls into any one of the Criteria for Minimum Rent Exemption (as set forth above).

A resident family also has the right to request a hardship exemption from minimum rent. Such request must be in writing and must state the family circumstances that qualify the family for a hardship exemption.

3. Notification of the Right to a Hardship Exemption

ECC/HANH/ELM CITY COMMUNITIES will notify all families of the ability to receive a hardship exemption from minimum rent and the procedures for applying for such a hardship exemption in the Application for Exemption from Minimum Rent, a copy of which will be provided to residents at lease up and at each recertification appointment or mailed to residents for interim recertifications.

ECC/HANH/ELM CITY COMMUNITIES will also notify all families in writing of the ability to receive a hardship exemption from minimum rent and the procedures for applying for such a hardship exemption in the following documents: resident rent change notifications when monthly rent is set at the minimum rent, the form lease agreement and all form documents related to the hardship exemption process.

ECC/HANH/ELM CITY COMMUNITIES will also notify all families in all of the above documents that all families that are exempt from the minimum rent requirement will be referred to the Family Self Sufficiency (FSS) Program in order to assist the family in moving toward self sufficiency. Elderly and disabled families are not required to participate in the FSS program.

4. Hardship Review Committee

All “Applications for Exemption from Minimum Rent” shall be forwarded to the Hardship Review Committee.

The Hardship Review Committee shall consist of the Executive Director or his/her designee, the Chief Operations Officer or his/her designee, the Service Center Director or his/her designee, and the Assistant Executive Director of Community and Economic Development or his/her designee. At the family’s option, the Hardship Review Committee may include one (1) resident of ECC/HANH/ ELM CITY COMMUNITIES who is in good standing.

The Application for Exemption from Minimum Rent shall originate from the family or from a ECC/HANH/ELM CITY COMMUNITIES employee whenever evidence exists that the family falls into any one of the Criteria for Minimum Rent Exemption.

When a resident submits an application or a ECC/HANH/ELM CITY COMMUNITIES employee submits an application on behalf of a resident, ECC/HANH/ELM CITY COMMUNITIES will suspend the minimum rent requirement commencing on the first of the month following the date of the application for a period of 90 days.

The resident cannot be evicted for nonpayment of minimum rent while resident's Application for Exemption from Minimum Rent is pending or during the 90 day period of suspension, whichever is longer.

The Hardship Review Committee shall send a letter to all resident families who have applied for hardship exemption from minimum rent stating:

- that ECC/HANH/ELM CITY COMMUNITIES has received an Application for Exemption from Minimum Rent,

- that ECC/HANH/ELM CITY COMMUNITIES will suspend the minimum rent requirement for 90 days effective as of the first of the next month and the effective dates of the 90 day suspension,

- that there can be no eviction for non-payment of rent during the suspension period;

- the date for a meeting with the resident to discuss the hardship exemption request, giving the resident family at least ten days advance notice of such meeting and informing the resident that he or she may have one opportunity to reschedule the meeting; and

- that, with the exception of elderly and disabled families, the resident family has been referred to the FSS program and will not be able to receive a hardship exemption in excess of 90 days without enrolling in the program.

The Hardship Review Committee will review the circumstances surrounding the request and determine if the request is temporary, long term or nonexistent.

- If the Committee determines that ***the hardship is of a temporary nature (the hardship is expected to last less than 90 days)***, at the end of the 90-day period, the resident's rent will be reinstated to the minimum rent retroactively to the initial date of suspension. The resident will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH/ELM CITY COMMUNITIES for any back rent that is due and owing to ECC/HANH/ELM CITY COMMUNITIES.

- If the Committee determines that the ***hardship is of a long-term nature (the hardship is expected to last more than 90 days),*** the tenant shall be exempt from the minimum rent requirement from the first of the month following the date of the application for exemption from the minimum rent until such time that the hardship no longer exists.

  ECC/HANH/ELM CITY COMMUNITIES may deny a resident a long-term exemption from the minimum rent requirement, if the resident fails to attend the scheduled meeting with the Hardship Review Committee. ECC/HANH/ELM CITY COMMUNITIES will provide each resident one opportunity to reschedule the meeting. If the resident fails to attend the scheduled meetings, ECC/HANH/ELM CITY COMMUNITIES may deny the long-term exemption from the minimum rent requirement. The letter scheduling the meeting shall inform residents that persons with disabilities are entitled to reasonable accommodation with regard to this requirement.

  Except for Elderly or Disabled families, no tenant shall be exempt from the minimum rent requirement for more than 90 days during a one year period unless at least one member of the family who is 18 years of age or older enrolls and actively participates in ECC/HANH/ELM CITY COMMUNITIES's FSS Program for job or benefit counseling. Such family member(s) shall enroll in the FSS Program within 30 days from the date of the Application for Exemption from Minimum Rent.

- If the ***hardship is determined to be non-existent,*** the resident will be responsible for paying rent to ECC/HANH/ELM CITY COMMUNITIES for any rent that was suspended while tenant's Application for Exemption from Minimum Rent was pending. The minimum rent shall be re-instated retroactively to the initial date of the suspension. The resident will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH/ELM CITY COMMUNITIES for any back rent that is due and owing to ECC/HANH/ELM CITY COMMUNITIES.

Upon completion of the review process, the Hardship Review Committee shall render a written recommendation to the Executive Director, who shall then adopt or reject the recommendation and shall issue a written decision that states as follows:

- **If the hardship exemption is determined to be temporary:**
  - That a temporary hardship exemption was granted;
  - the effective dates of the exemption;
  - the basis for the decision to grant a temporary hardship exemption, including that a long-term exemption was denied and the reason that such long-term exemption was denied; and
  - that the resident has a right to enter into a reasonable repayment agreement with ECC/HANH/ELM CITY COMMUNITIES for the minimum rent that was suspended and is now owing to ECC/HANH/ELM CITY COMMUNITIES.

- **If the hardship exemption is determined to be long-term:**
  - that a long-term hardship exemption was granted;
  - whether the long-term exemption is permanent or subject to periodic review and, if subject to periodic review, when such review will take place;
  - that all non-elderly, non-disabled residents are required to comply with FSS requirements as a condition of the receipt of a long-term exemption; and
  - that the resident must notify ECC/HANH/ELM CITY COMMUNITIES within 10 days if the hardship ceases to exist because the resident has obtained a source of income sufficient to pay (at least) the minimum rent.

- **If the hardship is determined to be non-existent:**
  - that a hardship exemption was denied;
  - the reason for such determination; and
  - the terms and conditions on which the resident family must pay back the minimum rent that was suspended and is now owing to ECC/HANH/ELM CITY COMMUNITIES.

All letters concerning Hardship Review Committee determinations shall state that any resident who disagrees with the decision may request a grievance in accordance with ECC/HANH/ELM CITY COMMUNITIES's grievance procedures, a copy of which will be included with the written decision. In cases where a grievance is sought, no action shall be taken by ECC/HANH/ELM CITY COMMUNITIES until the grievance process is completed.

Termination of Long-Term Exemptions

ECC/HANH/ELM CITY COMMUNITIES may conduct periodic reviews of all long-term hardship exemptions to determine if the hardship continues to exist and, for non-elderly and non-disabled residents, whether the resident is complying with FSS requirements.

If ECC/HANH/ELM CITY COMMUNITIES determines that a family is no longer eligible for a long-term hardship exemption (because the hardship no longer exists or the non-elderly/non-disabled tenant has not complied with FSS requirements), ECC/HANH/ELM CITY COMMUNITIES shall notify the family of the proposed termination of the long-term hardship exemption, the effective date of the proposed termination, and the reason for such proposed termination. This letter shall be delivered to the resident by first class mail no later than thirty (30) days prior to the effective date of the proposed termination. Any resident who disagrees with the proposed termination may request a grievance in accordance with ECC/HANH/ELM CITY COMMUNITIES's grievance procedures, a copy of which will be included in the notice of termination. In cases where an appeal is sought, no action shall be taken by ECC/HANH/ELM CITY COMMUNITIES until the grievance process is completed.

The Executive Director may waive any or all of these requirements in cases where he/she determines that the hardship conditions are likely to be permanent.

PUBLIC HOUSING RENT SIMPLIFICATION SUMMARY: EXCEPTIONS TO LIPH REGULATIONS

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
Annual Income	24 CFR Part 5.609(a)(4) 5.609(c)(8)(x11	Any income derived from an asset to which any member of the family has access Adoption assistance payments for any child in excess of $480.00 received.	Excludes asset from the determination of annual income to the extent the amount does not exceed $50,000. All income earned by fulltime student will be excluded who is over18. Students who are HOH or spouse are not excluded. All income earned by a family from adoption assistance will be excluded.
Income Exclusion for Person Enrolled in FSS Program	24 CFR Part 5.609(b)(1)	Incremental earnings and benefits resulting in any family member from participation in a 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.	Exclude 100 percent of any incremental earnings from wages or salaries earned by any family member during the first year of FSS program participation, 75% in 2nd year, 50% in 3rd year, 25% in 4th year and 0% in 5th year, as long as the household is enrolled in the FSS Program. This will not exceed 5 years. A family's eligibility to receive this optional income disallowance is limited to a total of 48 months. In addition, for families that qualify and receive the federal EID, the total number of months that a family may receive the optional income disallowance provided for under this subparagraph and under the Federal Earned Income Disregard (EID) may not exceed 48 months. In no event shall the family receive the exclusion provided for under this subparagraph during the same period said family member is receiving the federal EID as set forth in 24 CFR Part 5.617. Additionally, the current exclusion covering incremental earnings of any family participating in a state or local program will be expanded to include any qualifying **federal** program, whether

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
			or not the member is enrolled in the FSS program
Business Income for Resident Owned Businesses	24 CFR Part 5.609(b)(2)	The net income from the operation of a business or profession is included in determining annual income.	Exclude 100 Percent of any net income derived from the operation of a businesses; provided the business qualifies as **a resident owned business** under 24 CFR Part 963.5. During the first year of enrollment in FSS program 100 percent; 75 percent in the second year; 50 percent in the third year; 25 percent in the fourth year; 0 percent exclusion thereafter.
Earned Income Disallowance	24 CFR Part 960.255	Incremental income earned by a family member, provided the increase in income is the result (1) of employment of a family member was previously unemployed for one or more years prior to employment; (2) increased earnings by a family member during participation in any economic self-sufficiency or other job training program; or (3) result of new employment or increased earnings of a family member during or within six months after receiving assistance, benefits or services under any state program for temporary assistance for needy families	ECC/HANH/ELM CITY COMMUNITIES will continue to implement the Earned Income Disregard (EID). The maximum amount of time a family may participate in the program combined with the Family Self Sufficiency Program (FSS) is 48 months. After 24 months, when the EID is exhausted, the family member may enter the FSS Program and 50% of their earnings may be excluded. They will then continue to exclude 25% in the fourth year and 0% thereafter. This will allow more families to enter and benefit from the program. In no event shall the family receive the exclusion provided for under this subparagraph during the same period said family member is receiving EID as set forth in 24 CFR Part 5.617.In addition, the total number of months that a family may receive the exclusion provided for under this subparagraph and under the EID may not exceed 48 months.
Mandatory Deductions	24 CFR Part 5.611	(1) $480 for each dependent; (2) $400 for any elderly family or disabled family; (3) The sum of the following to the extent the sum exceeds three percent of annual income: (i) Un-reimbursed medical expenses of any elderly family or disabled family; and (ii) reimbursed reasonable attendant care and auxiliary apparatus expenses for each member of the family who is a person with disabilities (4) Any reasonable child care expenses necessary to enable a member of the family to be employed or to further his or her education.	Eliminate the outlined mandatory deductions under this part. These deductions will be considered as Exceptional Expense Deductions
Additional (Exception) Expenses Deductions	24 CFR 5.611	A PHA may adopt additional deductions from annual income. ECC/HANH/ELM CITY COMMUNITIES had none	Families with verifiable deductions in excess of $2,000 will be allowed to request that these additional expenses be used in determining TTP. These verifiable deductions must exceed $2,000 and shall be the sum of (1) Mandatory Deductions determined in accordance with Section 5.611 (2), plus non-reimbursed utility expenses (except telephone and cable)

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
Total Tenant Payment	24 CFR 5.628	(a) Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (1) 30 percent of the family's monthly adjusted income; (2) 10 percent of the family's monthly income; (3) If the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (4) The minimum rent, as determined in accordance with Sec. 5.630.	The Total Tenant Payment (TTP) will be based upon (1) income-tiered TTP structure or the minimum TTP $50 for a family with income of up to $2,500 annually.
Hardship Provision for Exceptional Expenses	24 CFR 5.611(2))	A PHA may adopt additional deductions from annual income. The PHA must establish a written policy for such deductions.	A family may be exempt from minimum rent as follows; (a) When the family has lost eligibility for or is awaiting an eligibility determination for a Federal, State or local assistance program, including a family that includes a member who is a non-citizen (b) When the family would be evicted because it is unable to pay the minimum rent (c) When the income of the family has decreased because of changed circumstances, including loss of employment. Family whose shelter expenses, plus un-reimbursed medical, childcare and disability expenses exceed 40 percent of annual income or whose medical, childcare or disability expenses of $6,000 or more annually may seek a deduction in rent for exceptional expenses.
Minimum Rent	24 CFR 5.630	A family may be exempt from minimum rent of $50.00 as follows: (i) When the family has lost eligibility for or is awaiting an eligibility determination for a Federal, State, or local assistance program, including a family that includes a member who is a non-citizen; (ii) When the family would be evicted because it is unable to pay the minimum rent; (iii) When the income of the family has decreased because of changed circumstances; (iv) a death has occurred in the family's household; (v) any other circumstances to be considered by the PHA to be reason to waive the minimum rent requirement.	A family may only receive one hardship exemption from the minimum rent requirement during a twelve month period, unless a tenant is elderly, disabled, or is enrolled in ECC/HANH/ELM CITY COMMUNITIES's Family Self Sufficiency Program. The minimum rent requirement may be waived more than once during a twelve month period if at least one adult member of the household enrolls in the Family Self Sufficiency Program (the "FSS Program"). Elderly and disabled families are not required to enroll in the FSS Program.
Utility Allowances and Reimbursements	24 CFR 5.632(a) and (b)	Tenant Paid Utilities to be deducted from TTP to determine tenant rent.	No. Change. ECC/HANH/ELM CITY COMMUNITIES will pay all utilities except for electricity at Westville Manor, Fairmont Heights, McConaughy Terrace and all Scattered Site properties.
Annual Reexamination of Income and Family Composition	24 CFR 960 Part 257	Reexamination of income must occur every year, except every two years for elderly or disabled households.	Reexamination of income will occur every three years for Elderly and Disabled families and every two years for all other families. Annual update of changes in family composition for persons 18 years of age and older that are added or subtracted from the family. ECC/HANH/ELM CITY COMMUNITIES will do UIV and submit a 50058 annually. Additionally the Community Service requirement will be reviewed annually for all household members who are not disabled, working less than 20 hours per week or enrolled in classes under the FSS program.

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
Interim Reexamination	24 CFR 960 Part 257	A family may request an interim reexamination of family income because of any changes since the last examination. The owner must make the interim reexamination within a reasonable time after the family request. Currently, family must report any change in income that amounts to $200 or more a month.	A family can request only three interim re-examinations each 12 months with the exceptions of those conditions where they are required to report certain changes in family composition or certain changes in family income. A family, except for elderly or disabled or a family enrolled in FSS may make **one** request for an **interim** for a hardship exemption each 12 months.
Verification of Wages, Salaries and Assets below $5,000 and Assets below $50,000	24 CFR 5.659	The owner must obtain and document in the family's file third party verification of the following factors, or must document in the file why third party verification was not available :(1) Reported family annual income; (2) The value of assets; (3) Expenses related to deductions from annual income; and (4) Other factors that affect the determination of adjusted income.	Only a self-certification will be required for income up to and including $5,000.00. For income above $5,000.00 two most recent pay stubs or a W-2 or 1099 dated within 90 days of effective date of re-examination. ECC/HANH/ELM CITY COMMUNITIES will continue to conduct EIV or UIV. Asset exclusion is raised to $50,000.00 and only self certification will be required.
Determination of Tenant Total Payment (TTP)	24 CFR 5.628	a) Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (1) 30 percent of the family's monthly adjusted income; (2) 10 percent of the family's monthly income; (3) If the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (4) The minimum rent	TTP based upon income-tiered approach. No family shall be subject to an increase in TTP of greater than $25.00 a month during the second year that the family is subject to the Rent Simplification Policy. The increase in TTP during the third year the family is subject to Rent Simplification shall not exceed more than $50 during the third year; $75 a month during the fourth year; and $100 a month above the monthly TTP in the year immediately preceding the implementation of Rent Simplification. The families TTP after the fifth year shall be whatever amount is determined under Rent Simplification. These limitations on rent increase shall only apply to increases in TTP that result from the imposition of Rent Simplification and not for increases that result from changes in family composition or changes in family income.

Appendix 7: Procedures for Rent Simplification for the Section 8 MTW Voucher Program

Housing Choice Voucher Program Rent Simplification

ECC/HANH/ELM CITY COMMUNITIES believes there is a better way to administer essential housing programs, one that encourages long-term self-sufficiency for both the program participants as well as the agency.

The Rent Simplification policies apply only to the Housing Choice Voucher (HCV) Program included under the agency's MTW Program. The Moderate Rehabilitation Program, Mainstream for Elderly, Welfare to Work and Enhanced Vouchers are not covered by these policies.

Rent Simplification: Equity & Efficiency

The proposed system rewards families who increase their incomes, and provides them with more opportunities to save while easing ECC/HANH/ELM CITY COMMUNITIES's burden of administering these housing programs.

Everyone Should Contribute

ECC/HANH/ELM CITY COMMUNITIES believes that every family should contribute towards their housing. Under Rent Simplification, the criteria under which a family can claim zero income and not pay any rent are not changed. What will change is the amount of time families will be permitted to request an interim adjustment. The minimum rent will be increased from $25.00 per month to $50.00 per month for the HCV Program.

Fiscal Equity for ECC/HANH/ELM CITY COMMUNITIES

Rent Simplification is forecast to be revenue-neutral. In other words, the implementation of Rent Simplification will not increase the amount of rental revenue to the ECC/HANH/ELM CITY COMMUNITIES.

Approvable Method

Rent Simplification allows all stakeholders to easily understand how tenant rents are determined, and armed with some basic income data, anticipate what future rents will be. This will allow families to easily plan for future expenses and savings.

Measurable Reduction in Administrative Time

By simplifying the rent determination and deduction procedures in Federal Public Housing, Rent Simplification makes the job of recertifying tenants significantly easier.

Transition to Avoid Hardships

ECC/HANH/ELM CITY COMMUNITIES has devised a system that is not only revenue neutral for the organization, but will not result in any undue hardship to our families. There will be a transition period of one year from the current income based rent determination process to the new income tiered rent determination process. No family will have an increase in Total Tenant Payment (TTP) during the first year they are subject to the requirements of this Rent Simplification Policy. Please note that this hold harmless provision does not apply to increases in TTP that result from an increase in family annual income above the amount earned in the reporting period immediately preceding the family being subject to Rent Simplification. No family shall be subject to an increase in TTP of greater than $25.00 a month during the second year that the family is subject to the Rent Simplification Policy. The increase in TTP during the third year the family is subject to Rent Simplification shall not exceed $50; $75 a month during the fourth year; and $100 a month above the monthly TTP in the year immediately following the implementation of Rent Simplification.

Asset Exclusion

Asset exclusion is raised to $50,000.00. Increasing the asset exclusion amount allows residents to accumulate more assets before they are calculated as income. Families will self certify that they do not have assets in excess of $50,000.00.

Earned Income Disallowance

The Earned Income exclusion under Sec. 5.617 for Self-Sufficiency incentives for persons with disabilities who experience increases in annual income is eliminated. Instead, family members over the age of 18 who enroll in ECC/HANH's Family Self Sufficiency (FSS) Program will have all I**ncremental earnings** and benefits resulting to the family member from participation in qualifying Federal, State or City of New Haven employment training programs (including training programs not affiliated with a local government) and training of a family member while enrolled in the FSS Program excluded from determination of Annual Income so long as the family member is enrolled in the FSS Program.

Family Self Sufficiency (FSS) Income Exclusions

The average annual income of our participants in the HCV Program is approximately $15,700.00 and the median is $12,900.00 per year. In order to promote long-term sustainable economic self-sufficiency of the residents, all families that enroll in the FSS program who are members of Very Low Income families will have all incremental earnings and benefits from any qualified Federal, State or Local employment training program training of a family member (including programs not affiliated with the local government) excluded from the determination of Annual Income so long as the family member is enrolled in HANH/ELM CITY COMMUNITIES's FSS Program.

Additionally, any incremental earning by any family member while enrolled in the FFS Program will be excluded from the determination of Annual Income, 100% during the 1st year, 75% in 2nd year, 50% in 3rd year, 25% in 4th year and 0% during the 5th year of FSS participation. In addition to regularly scheduled recertifications, the family member will have their rent re-determined at the conclusion of the FSS Program or termination from the Program.

Families may choose to enroll directly into the optional FSS Earned Income Disregard so long as any member of the household is enrolled in FSS Program. Incremental earnings from wages or salaries are excluded in the first 12 months; 75% in the second 12 months; 50% in the third 12 months; and 25% in the fourth 12 months. A family is limited to 48 months of eligibility for this optional IEE.

In addition to expanding the scope of the existing exclusion to include Federal and State programs, an optional exclusion will be provided to cover the incremental increases and wages and salaries so long as that family member is enrolled in the ECC/HANH/ELM CITY COMMUNITIES FSS Program.

There is not a requirement that these increases in rental income must go into an escrow account. Families will be permitted to retain these additional earnings.

Other Exclusions

All adoption assistance payments will be excluded from income calculations under Section 5.609(c) (8) (v) as the $480 dependent deduction is eliminated. All income earned by full-time college students will no longer be included in the determination since there will no longer be the $480 dependent deduction to offset income.

Annualized Income Calculation

Prospective and past income may be used to calculate resident rents, especially for families with irregular or sporadic employment histories. For families with income of up to and including $5,000.00 we will accept a self-certification. For families earning more than $5,000.00 of wages and salaries we want pay stubs covering the most recent four weeks of employment or a W-2 or 1099 within 180 days of the effective date of recertification. We must complete EIV or other UIV as required by HUD.

Annual Reexaminations

Reexaminations are currently conducted every year for non-elderly households and every two year for elderly and disabled households. ECC/HANH/ELM CITY COMMUNITIES spends on average three hours per annual reexamination. Under Rent Simplification, annual reexaminations will occur every two years for non-elderly households and every three years for elderly and disabled households. These changes will allow families who experience increases in income to retain all of their increased earnings between annual reexaminations. During the first year all families will be recertified. This process will be phased in over a three-year period.

Effective FY 2015 (October 2014), ECC/HANH updated its definitions of elderly/disabled and work-able families. Under the policy change, an elderly/disabled family will be defined as one in which all adult members (excluding live-in attendants) are elderly and/or disabled. A work-able family will be one that doesn't meet the new elderly/disabled definition. Work-able households under the new definition will have reexaminations every two years (biennial schedule) and elderly/disabled households will have annual reexaminations every three years (triennial schedule).

ECC/HANH believes this new definition more closely matches the spirit of a "work-able" family since all work-able families would have at least one work-able adult. Under the prior definition, an elderly/disabled family only needed a head, co-head, or spouse to be elderly or disabled which led to some families with work-able adults being categories as elderly/disabled. This change will also give ECC/HANH the ability to better track earnings and employment for work-able families; and the better population division will give ECC/HANH the flexibility to implement work-able specific rent policy changes in the future if it so chooses.

Deductions for Exceptional Expenses

Excess resources are dedicated to verifying deductions for child care, medical and disability allowances. Third party verifications of these amounts are difficult to accomplish and the agency more often than not relies upon second and first party verifications of these deductions. Obtaining verification data also places an undue burden on the resident. To simplify this process, ECC/HANH/ELM CITY COMMUNITIES will eliminate standard deductions for these amounts for elderly, disabled and non-elderly households.

Households with exceptional expenses may request a rent reduction. This includes large families (more than two children). It also includes families with high medical expenses, disability assistance expenses, or childcare expenses. Combined, exceptional expenses must total no less than $2000.00 in order for family to qualify for the additional monthly rent deduction.

The amount of expense is set in $2,000.00 tiers. This allows ECC/HANH/ELM CITY COMMUNITIES to move away from verifying every last dollar. Tenants are not required to provide documentation of every dollar of expense; rather, tenants need only provide documentation sufficient to meet the appropriate tier.

The amount of monthly rent reduction is established at the mid-range of the tier.

Households with exceptional expenses will receive a direct reduction of the monthly rent. However, no tenant's rent will be reduced below a rent of $50.00 as a result.

Tiered Amount of Expenses	Monthly Rent Reduction
$ 2,000 - $ 3,999	$ 75 (equivalent to $3,000 deduction)
$ 4,000 - $ 5,999	$ 125 (equivalent to $5,000 deduction)
$ 6,000 +	Hardship Review

Changes in Family Composition

Residents are still required to get permission from the Housing Choice Voucher staff to add anyone to a household and to report changes in family composition. A family's rent is recalculated if the addition or subtraction of a household member results in an income change of $200.00 per month or more, or that causes the family to move from one income tier to another. This increase in rent does not count as an interim reexamination.

Mandatory Interim Reexaminations Policy

- Residents must request an interim reexamination if any of the following conditions occur:
- Change in family composition that affects the voucher size or bedroom size.

- The addition of a family member 18 years of age or older
- Change in family composition that causes the family to move from one income tier to another with a higher rent schedule.
- Addition of a live-in aid
- Income increase following an interim rent reduction
- If HANH grants an exceptional deduction for any family and there is a subsequent change then the family must report that change to HANH.

Optional Interim Reexaminations Policy

Residents have the option to request three (3) interim reexaminations during every twelve (12) month period. Interims may be granted in the following instances:

- Decrease in family income that is expected to last 90 days or more if it will result in a change in the family's income (exclude seasonal workers; see below)
- Increase in Exceptional Expenses of at least $2,000.00

Interim rents normally remain in place until the next scheduled reexamination. If a family experiences an increase in income it is not necessary for the family to report this increase in income until the next scheduled certification date, except when the increase occurs after an interim decrease has been processed.

Households receiving a requested interim rent reduction must report any subsequent income increase to ECC/HANH/ELM CITY COMMUNITIES within thirty (30) days of occurrence. Failure to report the change within thirty (30) days results in retroactive rent changes, and depending on the severity of the circumstances, lease termination.

Seasonal workers who are employed for a period of time less than 12 months annually will have their rent calculated over a 12 month period using the 9 or 10 months of income earned. During the months the worker is not actively working, the family will not be able to request a rent reduction as the rent has already been adjusted over a 12 month period.

Permanent loss of income (i.e., death of an income earner) results in a permanent, rather than interim, rent reduction. This decrease in rent does not count as an interim reexamination. Under this circumstance, the family is not required to report a subsequent increase in income until the next scheduled certification.

Verification of Annual Income from Wages and Salaries and Assets

To reduce the administrative burden associated with the verification of income ECC/HANH/ELM CITY COMMUNITIES will amend its Admission and Continued Occupancy (ACOP) to specify that:

- For earnings from wages and salaries where Annual Income for the prior period is up to and including $5,000.00, self certification from family is all that shall be required as verification of income.
- For earnings from and salaries of more than $5,000.00 the most recent pay stubs for recent 4 weeks of employment, or W-2 or 1099 within 180 days of the anniversary date shall be required in addition to the self-certification, but only to the extent that verification of Annual Income is not available from a third party source of Upfront Income Verification.
- Self-certification of all sources of Annual Income shall be required in all cases.
- For families with total assets of $50,000.00 or less a self-certification of said assets shall be required.

Income Tiered Rents Calculated within $1,000 Bands

Rents are based on $1,000.00 income bands starting at $2,500.00. Using a band-based rent schedule allows the ECC/HANH/ELM CITY COMMUNITIES and residents to move away from verifying every last dollar earned and deducted. **(See Exhibit A)**

Currently, almost 58 percent of the families in the HCV Program pay 25 percent or more of Annual Income for TTP; approximately 18 percent pay between 20 and 25 percent of Annual Income for TTP; approximately 17 percent pay between 10 and 20 percent of Annual Income for TTP; and approximately 7 percent pay less than 10 percent of Annual Income for TTP.

Currently, the median TTP is $251.00 per month. The median Housing Assistance Payment is $725.00 per month. The median Tenant Rent (TTP minus utility allowance) to owner is $121.00 per month. One of the goals of the Rent Simplification is that it be revenue neutral.

Total Tenant Payment for HCV families shall be set at 28.5 percent of the lower range of each income band. For example, for a family with Annual Income between $2,500.00 and $3,499.00, the TTP rent will be calculated at 28.5 percent of $2,500.00. Families with incomes below $2,500.00 will pay the minimum rent of $50.00. Families will be permitted to submit documentation for Additional or Excess Deductions where they have verifiable proof that total deductions as defined herein equal or exceed $2,000.00

Minimum Rents

Families with annual income below $2,500.00 will pay a rent of $50.00.

Zero (0) Income Households

A family claiming zero ($0) rent is automatically exempt from the minimum rent requirements for a 90 day period when the family's circumstances fall into any one f the following criteria:

- When a family has lost eligibility or is awaiting eligibility determination from a Federal, State or local assistance program;
- When the family would be evicted because it is unable to pay the minimum rent;
- When the income of the family has decreased because of changed circumstances, including loss of employment;
- When a death in the family has occurred; or
- Other circumstances determined by ECC/HANH to be reasons to waive the minimum rent requirement (collectively, the "Criteria for Minimum Rent Exemption").

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long term exemption from the minimum rent requirement and the HAP will be adjusted accordingly.

A temporary hardship exemption exists when none of the above criteria is expected to last for more than 90 days.

A long tern hardship exemption exists when at least one of the above criteria is expected to last for more than 90 days.

A family may only receive one hardship exemption from the minimum rent requirement during a twelve month period, unless a participant is elderly, disabled or is enrolled in ECC/HANH's Family Self-Sufficiency Program. The minimum rent requirement may be waived more than once during a twelve month period if at least one adult member of the household enrolls in the Family Self Sufficiency Program (the FSS Program). Elderly and disabled families are not required to enroll in the FSS Program.

Once ECC/HANH identifies a participant's need for a hardship exemption from the minimum rent requirement or the family requests such exemption, the minimum rent shall be suspended immediately for a period of 90 days.

Hardship Review

All "Applications for Exemption from Minimum Rent" shall be forwarded to the Hardship Review Committee.

The Hardship Review Committee shall consist of the Executive Director or his/her designee, the Chief Operations Officer or his/her designee, the Service Center Director or his/her designee, and the Assistant Executive Director of Community and Economic Development or his/her designee. At the family's option, the Hardship Review Committee may include one (1) participant of ECC/HANH who is in good standing.

The Application for Exemption from Minimum Rent shall originate from the family or a ECC/HANH employee if the family experiences any one of the Criteria for Minimum Rent Exemption.

When a participant submits an application or a ECC/HANH employee submits an application on behalf of a participant. ECC/HANH will suspend the minimum rent requirement commencing on the first of the month following the date of the application for a period of 90 days and adjust the HAP payment accordingly.

The participant's assistance cannot be terminated for nonpayment of minimum rent while participant's Application for Exemption from Minimum Rent is pending or during the 90 day period of suspension, whichever is longer.

The Hardship Review Committee shall send a letter to all participant families who have applied for Hardship Exemption from Minimum Rent stating:

- that ECC/HANH has received an Application for Exemption from Minimum Rent,
- that ECC/HANH will suspend the minimum rent requirement for 90 days effective as of the first of the next month and the effective dates of the 90 day suspension,
- that there can be no termination of assistance for non-payment of rent during the suspension period;
- the date for a meeting with the participant to discuss the hardship exemption request, giving the participant family at least ten days advance notice of such meeting and informing the participant that he or she may have one opportunity to reschedule the meeting; and
- that, with the exception of elderly and disabled families, the participant family has been referred to the FSS program and will not be able to receive a hardship exemption in excess of 90 days without enrolling in the program.

The Hardship Review Committee will review the circumstances surrounding the request and determine if the request is temporary, long term or nonexistent.

- If the Committee determines that ***the hardship is of a temporary nature (the hardship is expected to last less than 90 days***), at the end of the 90-day period, the participant's rent will be reinstated to the minimum rent retroactively to the initial date of suspension. The participant will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH for any back rent that is due and owing to ECC/HANH.

- If the Committee determines that the ***hardship is of a long-term nature (the hardship is expected to last more than 90 days),*** the tenant shall be exempt from the minimum rent requirement from the first of the month following the date of the application for exemption from the minimum rent until such time that the hardship no longer exists.
    - ECC/HANH may deny a participant a long term exemption from the minimum rent requirement, if the participant fails to attend the scheduled meetings with the Hardship Review Committee. ECC/HANH will provide each participant one opportunity to reschedule the meeting. If the participant fails to attend the scheduled meetings, ECC/HANH may deny the long-term exemption from the minimum rent requirement. The letter scheduling the meeting, shall inform participants that persons with disabilities are entitled to reasonable accommodation with regard to this requirement.
    - Except for Elderly or Disabled families, no tenant shall be exempt from the minimum rent requirements for more than 90 days during a one year period unless at least one member of the family who is 18 years of age or older enrolls and actively participates in ECC/HANH's FSS Program for job or benefit counseling. Such family member(s) shall enroll in the FSS program within 30 days from the date of the Application of Exemption from Minimum Rent.

- If the hardship is determined to be nonexistent, the participant will be responsible for paying rent to ECC/HANH for any rent that was suspended while tenant's Application for Exemption from Minimum Rent was pending. The minimum rent shall be re-instated retroactively to the initial date of the suspension. Participant will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH for any back rent that is due and owing to ECC/HANH.

Upon completion of the review process, the Hardship Review Committee shall render a written recommendation to the Executive Director, who shall then adopt or reject the recommendation and shall issue a written decision that states as follows:

- If the hardship exemption is determined to be short term:
    - that a short-term hardship exemption was granted;
    - the effective dates of the exemption;
    - the basis for the decision to grant a short-term exemption, including that a long-term exemption was denied and the reason that such long-term exemption was denied; and
    - that the participant has a right to enter into a reasonable repayment agreement with ECC/HANH for the minimum rent that was suspended and is now owing to ECC/HANH.

- If the hardship exemption is determined to be long term:
    - that a long-term hardship exemption was granted;
    - whether the long-term exemption is permanent or subject to periodic review and, if subject to periodic review, when such review will take place; and
    - that all non-elderly, non-disabled participants are required to comply with FSS requirements as a condition of the receipt of a long term exemption; and
    - that the participant must notify ECC/HANH within 10 days if the hardship ceases to exist because the participant has obtained a source of income sufficient to pay (at least) the minimum rent.

- If the hardship is determined to be non-existent:
    - that a hardship exemption was denied;
    - the reason for such determination; and
    - the terms and condition on which the participant family must pay back the minimum rent that was suspended and is now owing to ECC/HANH.

All letters concerning Hardship Review Committee determinations shall state that any participant who disagrees with the decision may request an informal hearing in accordance with ECC/HANH's hearing procedures, a copy of which will be included with the written decision. In cases where a hearing is sought, no action shall be taken by ECC/HANH until the grievance process is completed.

Mixed Families

For mixed families, where some households include members with citizenship or eligible immigration status as well as those without, rents are calculated using the simplification model; subsidy is then prorated using current methods.

Fraud Prevention

After two or more instances of job loss or income drop within ninety (90) days of a scheduled reexamination (based on current and prior reexamination history), ECC/HANH/ELM CITY COMMUNITIES sets a rent based on the past year's W-2 or other information available for income verification. Households are advised that this is a potential fraud issue and that they have the right to grieve through the normal process to more fully explain the reasons for the pattern of income loss. ECC/HANH/ELM CITY COMMUNITIES will set the rent after the Conference Panel review.

Households with two or more instances of job loss or income drop within ninety (90) days of a scheduled certification do not have access to the Hardship Review Committee.

Rent Simplification Implementation – Housing Choice

Residents will receive notice of the new policy on July 1, 2007 and the policy will take effect on January 1, 2008 for all reexaminations with an anniversary effective date on or after January 1, 2008 and for all new lease-ups and residents requesting interim reexaminations after January 1, 2008.

A staggered approach is used to integrate the two-year and three year reexamination cycles.

- Initially in fiscal year 2008, all families will be re-examined during the first year.
- In the second year of the program (2009), two thirds of the elderly/disabled families will be re-examined and one half of the non-elderly/non-disabled families.
- In the third year of the program (2010), one third on the elderly/disabled families will be re-examined and one-half of the remaining non-elderly/non-disabled families.

Rent Simplification is expected to be fully implemented by December 31, 2010.

SEMAP WAIVERS

The SEMAP verification methods and ratings are set forth under 24 CFR Part 983. As a result of the Rent Simplification Plan many of these indicators will either no longer be relevant or ECC/HANH and/or HUD will be unable to measure ECC/HANH's performance; therefore, ECC/HANH will request a waiver of the following SEMAP indicators beginning October 1, 2007.

- Sec. 985.3(c). **Determination of Adjusted Income**.
  Beginning October 1, 2007, Total Tenant Payment will be based Annual Income by income tiers. Additional, ECC/HANH will no longer include assets of less than $50,000in the determination of Annual Income. There will no longer be any Mandatory Deductions; therefore, a waiver of this Section is required.

- Section 985.3(j) **Annual reexaminations**.
  This indicator shows whether the PHA completes a reexamination for each participating family at least every 12 months (24 CFR 5.617). A waiver of this indicator is required since ECC/HANH will no longer reexamine every family each year.

- Section 985.3(m) **Annual HQS Inspections**.
  This indicator shows whether the PHA inspects each unit under contract at least annually. (24 CFR 982.405(a). ECC/HANH will no longer inspect every unit every year, but will instead inspect units according to the families' biennial or triennial recertification schedule.

- Section 985.507(m) **Rent to Owner: Reasonable Rent**

- Section 985.3(n) **Lease-Up**.
  This indicator shows whether the PHA enters HAP contracts for the number of units reserved under ACC for at least one year. Due to the funding fungibility under MTW, Section 8 funds are used according to the priorities set forth in the MTW Annual Plan.

Alternative Inspection Schedule

ECC/HANH will no longer inspect each unit every year, but will instead inspect units according to the families' biennial or triennial recertification schedule, unless:

- The participant or landlord requests a special inspection due to violations noticed by either party.

Hardship Waiver Policy and Guidelines

Families with Annual Income below $2,500 annually shall pay the minimum rent of $50.00 per month.

All families placed on minimum rent with the exception of elderly and disabled families will be referred to the Family Self Sufficiency Program.

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long-term hardship exemption from the minimum rent requirements.

All families placed on minimum rent must be informed in writing of the procedures for applying for a hardship exemption from the Minimum Rent Requirement and the ability to have minimum rent waived.

All families who apply for such hardship exemption, with the exception of elderly persons and persons with disabilities, will be referred to the Family Self Sufficiency Program in order to assist the family in moving towards self-sufficiency.

ECC/HANH will notify all families of their right to request a hardship exemption from the minimum rent requirement and in accordance with the provisions set forth herein. Participants will be notified of their right to request a hardship exemption through the Application for Exemption from Minimum Rent, a copy of which will be provided to participants at lease-up and at each recertification appointment and mailed to participants at each interim recertification. The policy and procedures for requesting such hardship exemption will also be included in participant rent change notifications, Application for Exemption from Minimum Rent and all form documents related to the exemption process.

Criteria for Hardship Exemption from Minimum Rent Requirement.

A family is automatically exempt from the minimum rent requirements for a 90 day period when the family's circumstances fall into any one of the following criteria:

- When a family has lost eligibility or is awaiting eligibility determination from a Federal, State or local assistance program;
- When the family would be evicted because it is unable to pay the minimum rent;
- When the income of the family has decreased because of changed circumstances, including loss of employment;
- When a death in the family has occurred; or
- Other circumstances determined by ECC/HANH to be reasons to waive the minimum rent requirement (collectively, the "Criteria for Minimum Rent Exemption").

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long term exemption from the minimum rent requirement and the HAP will be adjusted accordingly.

A temporary hardship exemption exists when none of the above criteria is expected to last for more than 90 days.

A long tern hardship exemption exists when at least one of the above criteria is expected to last for more than 90 days.

A family may only receive one hardship exemption from the minimum rent requirement during a twelve month period, unless a participant is elderly, disabled or is enrolled in ECC/HANH's Family Self-Sufficiency Program. The minimum rent requirement may be waived more than once during a twelve month period if at least one adult member of the household enrolls in the Family Self Sufficiency Program (the FSS Program). Elderly and disabled families are not required to enroll in the FSS Program.

Once ECC/HANH identifies a participant's need for a hardship exemption from the minimum rent requirement or the family requests such exemption, the minimum rent shall be suspended immediately for a period of 90 days.

Initiation of Hardship Exemption Review
An application for Exemption from Minimum Rent may originate from either a ECC/HANH employee or the participant family.

ECC/HANH employees must complete and submit an Application for Exemption from Minimum Rent on behalf of a participant family whenever any evidence exists that the family falls into any one of the Criteria for Minimum Rent Exemption (as set forth above).

A participant family also has the right to request a hardship exemption from minimum rent. Such request must be in writing and must state the family circumstances that qualify the family for a hardship exemption.

Notification of the Right to a Hardship Exemption
ECC/HANH will notify all families of the ability to receive a hardship exemption from minimum rent and the procedures for applying for such a hardship exemption in the Application for Exemption from Minimum Rent, a copy of which will be provided to participants at lease up and at each recertification appointment or mailed to participants for interim recertifications.

ECC/HANH will also notify all families in writing of the ability to receive a hardship exemption from minimum rent and the procedures for applying for such a hardship exemption in the following documents: participant rent change notifications, the Application for Exemption from Minimum Rent and all form documents related to the hardship exemption process.

ECC/HANH will also notify all families in all of the above documents that all families that are exempt from the minimum rent requirements will be referred to the Family Self Sufficiency (FSS) Program in order to assist the family in moving toward self sufficiency. Elderly and disabled families are not required to participate in the FSS program.

Exceptional Expenses
Applicability- Deductions permitted under 24 CFR Part 5.611(a) shall be permitted only to the extent the sum of anticipated deductions permitted under said Part 5.611(a) for the year are expected to equal or exceed $2,000. Families with Exceptional Expenses that equal or exceed $2,000 may request a rent deduction. The amounts of expenses are set in $2,000 tiers. This allows ECC/HANH to move away from having to verify every dollar of every deduction. Participants will no longer be required to provide documentation for every dollar of expenses, but, instead, participants need only provide documentation sufficient to the expenses of the appropriate tier.

The amount of the rent deduction is established at the mid-range of each tier. Families with Exceptional Expenses will receive a reduction in the rental payment as set forth on the following table:

- Families must have more than two qualifying dependents in order to qualify for additional Dependent Deductions
- The Elderly/Disabled deductions shall not be used in determining Exceptional Expenses.
- Dependent deduction shall only be allowed for families with more than two dependents since the standard amount of this deduction has been included in the determination of the percentage used to calculate tenant rent.

Tiered Amount of Exceptional Expenses	Monthly Rent Reduction
$ 2,000 - $ 3,999	$ 75 (equivalent to $3,000 deduction)
$ 4,000 - $ 5,999	$ 125 (equivalent to $5,000 deduction)
$ 6,000 +	Hardship Review

Elderly persons and persons with disabilities always have the right to request a Reasonable Accommodation(s). Rents are determined in accordance with the methods and income measures set forth in ECC/HANH's Public Housing Rent Simplification Policies.

ATTACHMENT C-1: EXCEPTION TO HCV REGULATIONS

Topic	Exceptions to HCV Program Regulations	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
Annual Income	24 CFR Part 5.609(a)(4)	Any income derived from an asset, to which any member of the family has access.	Excludes assets, from the determination of annual income, to extent the amount is $50,000 or less. All income earned by a fulltime student will be excluded. All income earned by a family from adoption assistance will be excluded.
Income Exclusion for Person Enrolled in FSS Program	24 CFR Part 5.609(b)(1)	Incremental earnings and benefits to any family member, received from participation in a qualifying **State or local employment training** program, (including training programs not affiliated with a local government); and training of a family member participating as resident management staff.	Exclude 100 percent of any incremental earnings from wages or salaries earned by any family member during the first year of FSS program participation, 75% in 2nd year, 50% in 3rd year, 25% in 4th year and 0% in 5th year, as long as the household is enrolled in the FSS Program. This will not exceed 5 years. Additionally, the current exclusion covering incremental earnings of any family participating in a state or local program will be expanded to include any qualifying **federal** program, whether or not the member is enrolled in the FSS program.
Business Income for Resident Owned Businesses	24 CFR Part 5.609(b)(2)	The net income from the operation of a business or profession is included in determining annual income.	During the first year of enrollment in the FSS program, exclude 100 percent of any net income derived from the operation of a business; provided the business qualifies as **a resident owned business** under 24 CFR Part 963.5. • 50 percent exclusion during the second year; • 25 percent exclusion the third year.
Earned Income Disallowance for Persons with Disabilities	24 CFR Part 5.617(a)	Incremental income earned by a previously unemployed disabled person in the 12 months prior to becoming employed, provided the increase in income is the result of; employment of a family member, previously unemployed for one or more years prior to employment; (2) increased earnings by a family member during participation in any economic self-sufficiency or other job training program; or (3) result of new employment or increased earnings of	Eliminated since any family member that enrolls in the FSS program will have all incremental earnings excluded as long as the member remains in the FSS program.

Topic	Exceptions to HCV Program Regulations	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
		a family member during or within six months after receiving assistance, benefits or services under any state program for temporary assistance for needy families.	
Mandatory Deductions	24 CFR Part 5.611	**(1)** $480 for each dependent; **(2)** $400 for any elderly family or disabled family; **(3)** The sum of the following, to the extent the sum exceeds three percent of annual income: (i)Un-reimbursed medical expenses of any elderly family or disabled family; and (ii) reimbursed reasonable attendant care and auxiliary apparatus expenses for each member of the family who is a person with disabilities **(4)** Any reasonable childcare expenses necessary to enable a member of the family to be employed or to further his or her education.	Eliminate all mandatory deductions.
Additional (Exception) Expenses Deductions	24 CFR 5.611	None	Families with verifiable deductions that or exceed of $2,000 will be allowed to request that these additional expenses be used in determining TTP. These verifiable deductions must equal or exceed $2,000 and shall be the sum of: Mandatory Deductions determined in accordance with Section 5.611 (a), plus non-reimbursed utility expenses (except telephone).
Total Tenant Payment	24 CFR 5.628	Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (a) 30 percent of the family's monthly adjusted income; (b) 10 percent of the family's monthly income; (c) If the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (d) The minimum rent, as determined in accordance with Sec. 5.630.	TTP to be based upon (1) income-tiered TTP structure or the minimum TTP $50 for a family with income of up to $2,500 annually
Hardship Provision	24 CFR 5.630(b)	A family may be exempt from minimum rent as follows: (i) When the family has lost eligibility or is waiting an eligibility determination for a Federal, State, or local assistance program, including a family that includes a member who is a non-citizen; (ii) When the family would be evicted because it is unable to pay the minimum rent; (iii) When the income of the family has decreased because of changed circumstances, including loss of employment.	A family whose shelter expenses, plus un-reimbursed medical, childcare and disability expenses exceed 40 % of annual income or whose medical, childcare or disability expenses of $6,000 or more annually may seek hardship.
Minimum Rent	24 CFR 5.630	$25.00 for HCV. $50.00 for LIPH	HCV increased from $25.00 a month to $50.00 a month so that LIPH and HCV have same minimum rent amount.
Utility Allowances and Reimbursements	24 CFR 5.632(a) and (b)	Tenant Paid Utilities to be deducted from TTP to determine tenant rent.	No change. Tenant paid utilities to be deducted from TTP to determine tenant rent.
Medical Deductions	24 CFR 5.611(c)		No longer applicable unless they exceed applicable threshold.
Annual Reexamination of Income and Family	24 CFR 982.516	Reexamination of income must occur every year, except every two years for elderly or disabled households.	Reexamination of family income will occur every three years for Elderly or Disabled families and every two years for all other families, instead of every year.

Topic	Exceptions to HCV Program Regulations	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
Composition			Reexamination of family composition will only occur if a family notifies ECC/HANH of a change in family composition since this will affect the determination of appropriate size unit. . Annual update of changes in family composition for persons 18 years of age and older that are added or subtracted from the family. ECC/HANH will do UIV and submit a 50058 annually.
Interim Reexamination	24 CFR 982.516	A family may request an interim reexamination of family income for any changes since the last annual reexamination. ECC/HANH must conduct the interim reexamination within a reasonable time period after the family request. Currently, family must report any change in income that exceeds $200 or more a month.	A family may request a maximum of three interim re-examinations within a 12-month period, with the exception of those conditions where they are required to report certain changes in family composition or certain changes in family income. A family, except for elderly or disabled, may only make **one** request for an **interim** for a hardship exemption each 12 months, unless one (1) household member is enrolled in the FSS program..
Verification of Wages, Salaries and Assets below $5,000 and Assets below $50,000	24 CFR 5.659	ECC/HANH must obtain and document in the family's file third party verification of the following factors, or must document in the file why third party verification was not available: (1) Reported family annual income; (2) The value of assets; (3) Expenses related to deductions from annual income; and (4) Other factors that affect the determination of adjusted income.	Only a self-certification will be required for income up to and including $5,000. For income above $5,000 two most recent pay stubs or a W-2 or 1099 dated within 90 days of effective date of re-examination. ECC/HANH will continue to conduct EIV or UIV.
Determination of Tenant Total Payment (TTP)	24 CFR 5.628	Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (1) 30 percent of the family's monthly adjusted income; (2) 10 percent of the family's monthly income; (3) if the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (4) The minimum rent	TTP based upon income-tiered approach. No family shall be subject to an increase in TTP greater than $25.00 a month during the second year family is of the Rent Simplification Policy. The increase in TTP during the third year of the Rent Simplification Policy shall not exceed $50 a month. The increase in TTP during the fourth year of the Rent Simplification Policy shall not $75 a month. The increase in TTP during the fifth yearshall not exceed $100 a month above the monthly TTP in the year immediately preceding the implementation of Rent Simplification Policy. • **These limitations on rent increase shall only apply to increases in TTP that result from the implementation of the Rent Simplification Policy and not rent increases that result from changes in family composition or changes in family income.**
Annual Inspections	24 CFR Part 982.405(a)	ECC/HANH must inspect each unit annually during Section 8 assisted occupancy. 24 CFRP Part 982.405 (a) states that : The PHA must inspect the unit leased to a family prior to the initial term of the lease, at least annually during assisted occupancy, and at other times as needed, to determine if the unit meets the HQS. (See §982.305(b)(2) concerning timing of initial inspection by the PHA.)	ECC/HANH will no longer inspect every unit every year, but will instead inspect units every two years, unless the first unit inspection conducted after the implementation of the Rent Simplification Policy shows that the unit; (1) failed an inspection, or (2) the unit had a failed inspection in the three
			years prior to the implementation of the Rent Simplification Policy.

Topic	Exceptions to HCV Program Regulations	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
			A unit must have three consecutive years without a failed inspection to qualify for the bi-annual inspection. **Units for which landlords are requesting increases in HAP payment will also be inspected prior to ECC/HANH granting any such increase.**
Waiver of SEMAP Indicator	24 CFR Part 985.3(c).		**Determination of Adjusted Income**. Beginning October 1, 2007, Total Tenant Payment will be based Annual Income by income tiers. Additional, ECC/HANH will no longer include assets of less than $50,000 is the determination of Annual Income. There will no longer be any Mandatory Deductions; therefore, a waiver of this Section is required by HUD.
Waiver of SEMAP Indicator	24 CFR Part 985.3(m)		**Annual HQS Inspections**. This indicator shows whether the PHA inspects each unit under contract at least annually. (24 CFR 982.405(a). ECC/HANH will no longer inspect every unit every year, but will instead inspect a unit every two years unless the unit's inspection history indicates a need for an annual inspection as set forth above.
Waiver of SEMAP Indicator	24 CFR Part 985.3 (n)		**Lease-Up**. This indicator shows whether or not ECC/HANH enters HAP contracts for the number of units reserved under ACC for at least one year. ECC/HANH currently has a waiver of this provision and request that it be extended until September 30, 2008
Portability procedures	24 CFR Part 983.355 (c) (1)	ECC/HANH would like to have the ability to re-determine the eligibility of adult household members by performing a background check to ensure that family members do not have a criminal background.	

Housing Choice Voucher (HCV) Program: Rent Simplification Rent Tier Schedule

Utility Allowance						
Income Range						
$0	$2,499	$50		$26,500	$27,499	$629
$2,500	$3,499	$59		$27,500	$28,499	$653
$3,500	$4,499	$83		$28,500	$29,499	$677
$4,500	$5,499	$107		$29,500	$30,499	$701
$5,500	$6,499	$131		$30,500	$31,499	$724
$6,500	$7,499	$154		$31,500	$32,499	$748
$7,500	$8,499	$178		$32,500	$33,499	$772
$8,500	$9,499	$202		$33,500	$34,499	$796
$9,500	$10,499	$226		$34,500	$35,499	$819
$10,500	$11,499	$249		$35,500	$36,499	$843

$11,500	$12,499	$273		$36,500	$37,499	$867
$12,500	$13,499	$297		$37,500	$38,499	$891
$13,500	$14,499	$321		$38,500	$39,499	$914
$14,500	$15,499	$344		$39,500	$40,499	$938
$15,500	$16,499	$368		$40,500	$41,499	$962
$16,500	$17,499	$392		$41,500	$42,499	$986
$17,500	$18,499	$416		$42,500	$43,499	$1,009
$18,500	$19,499	$439		$43,500	$44,499	$1,033
$19,500	$20,499	$463		$44,500	$45,499	$1,057
$20,500	$21,499	$487		$45,500	$46,499	$1,081
$21,500	$22,499	$511		$46,500	$47,499	$1,104
$22,500	$23,499	$534		$47,500	$48,499	$1,128
$23,500	$24,499	$558		$48,500	$49,449	$1,152
$24,500	$25,499	$582		$49,500	Above	$1,176
$25,500	$26,499	$606				