

# 2018 MOVING TO WORK ANNUAL PLAN

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## **I. Introduction**

In 2001, the 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. ECC/HANH is one of thirty-nine housing authorities nationwide selected for participation in the MTW Demonstration Program. During ECC/HANH's MTW term, in lieu of the standard 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 ECC/HANH's MTW Agreement.

This MTW Annual Plan states ECC/HANH's MTW goals and objectives, our current status toward achieving these goals and objectives, and our planned activities and objectives for FY 2018 (October 1, 2017 to September 30, 2018).

### **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 3 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 (CFP formula grants), and Section 8 (Housing Choice Voucher) Program for vouchers on yearly 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 Quinpiac Terrace/Riverview, any future HOPE VI Revitalization grants, Rental Assistance Demonstration 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 Plan for FY 2018.

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 for 10 years. ECC/HANH executed the Amended and Restated Moving to Work Agreement on May 2, 2008. The Amended and Restated MTW Agreement governs ECC/HANH's MTW status through 2018. 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.

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, ECC/HANH has executed the Second Amendment to its Restated and Amended Moving to Work Agreement with HUD which clarifies such authority.

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's MTW program is the product of an extensive planning process, conducted initially 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 FYs 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 Strategic Plan for 2015-2018.

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 on-going activities and by addressing new concerns by establishing new goals and objectives for FY 2018. The 2018 Annual MTW Plan sets forth a short and long-term vision for the agency for the next 10 years. The long-term vision for the agency centers on streamlining its processes to become more effective and innovative. The long-term vision also calls for the agency to enhance its efforts to promote the economic self-sufficiency of its residents and to increase the housing choices for them and its program participants, as well. The agency recognizes that its long-term viability rest with the economic well being of its residents and the variety of housing choices that it is able to provide them. The long-term plan is focused on the operational sustainability and capacity of the agency to meet the needs of the present day and be positioned to succeed over the long-term.

ECC/HANH's 2018 MTW Annual Plan was made available for public review on May 1, 2017 and a public hearing was held on May 30, 2017. On June 20, 2017, the Board of Commissioners passed Resolution #06-81/17-R approving the 2018 MTW Annual Plan.

The 1<sup>st</sup> amendment for 2018 MTW Annual Plan was made available for public review on January 29, 2018 and a public hearing was held on February 28, 2018. On March 20, 2018, the Board of Commissioners passed Resolution #03-30/18R approving the 2018 MTW Annual Plan Amendment #1.

## A. Short Term Strategic Plan

### **Cost Effectiveness**

- Create a new organizational structure
  - Elm City Communities will become the parent organization to several affiliated non-profits
  - Launch property management entity
  - Launch social services entity
  - Create structures across all affiliates for leadership, purchased services and partnerships
- Aligning expenses with resources
  - Develop business model to sell professional services
  - Structure Property management company staffing such that it is fully funded by property management fees
  - Effectively manage property and capital fund expenditures
  - Maintain high rent collection and occupancy rates
  - Reduce staff costs through attrition and incentives
- Diversify funding for affiliated entities
  - Develop private donors fundraising plan for social services entity
  - Pursue funding opportunities through state and federal grants
  - Secure commercial leasing opportunities
- Effectively use technology
  - Issue and award IT services RFP
  - Implement resource user model for IT training and support
  - Carry out 2014-2018 IT Strategic Plan
- Develop and train staff
  - Establish annual training plan
  - Cultivate professional development opportunities
- Improve internal organization communication and collaboration
  - Create an employee workgroup to improve communication and champion agency morale building efforts
  - Administer and analyze annual employee satisfaction survey
  - Establish new mechanisms for staff feedback and communication
- Enhance Operational effectiveness
  - Conduct a review of commonly performed tasks to identify efficiencies
  - Institute a process improvement program

### **Family Self-Sufficiency**

- Structure the social services entity for maximum flexibility
- Strengthen partnerships with community based providers
  - Communicate the likely consequences of MTW funding reductions with partners in the community
  - Work with community partners to identify alternate sources of funding for critical services



### **Housing Choice**

- Continue implementation of development and modernization plan
  - RAD conversions and investments
  - Westville Manor redevelopment
  - Rockview Phase 2
  - Choice Neighborhood –Crawford Manor
- Evaluate ECC Program Effectiveness
  - Develop and collect program outcome data
  - Partner with external evaluator to assess program impact
- Become an advocate to improve affordable housing in CT
  - Advocate for policies to increase housing affordability statewide
  - Address hurdles to regionalization
  - Advocate for increased linkages between housing and education systems
- Tell ECC story to a broader audience
  - Protect spending flexibility
  - Reduce barriers to regional housing models
- Fully commit to ECC brand
  - Revise all forms, reports and brochures to use the ECC brand
  - Train staff to be more disciplined about using the ECC name
- Strengthen partnerships with community based providers
  - Communicate the likely consequences of MTW funding reductions with partners in the community
  - Work with community partners to identify alternate sources of funding for critical services
- Assume greater role in developing affordable housing for the New Haven community
  - Partner with city leadership to identify opportunities for affordable housing development
    - Church St. South redevelopment
    - Clock Factory redevelopment
    - Hill-to-Downtown

## **B. Long-Term Strategic Plan**

### **Cost Effectiveness**

- Elm City Communities includes 4 well-funded, mission aligned entities that develop and manage affordable housing and provide services to the recipients of the housing resources
  - High performing traditional housing authority programs through LIPH and HCV platforms
  - Cost effective and efficient Property Management services delivered through Elm City Properties, Inc.
  - Development of housing through Glendower Group, Inc.
  - Social services entity delivers quality and relevant two-generation self sufficiency and youth development programs to residents of the City of New Haven's affordable housing communities that breaks cycles of poverty and builds self-sufficient families
- Elm City Communities includes a stable, well supported technology platform that created efficiencies for staff and customers
- ECC staff is well trained, effective and efficient and feels engaged in the work that they perform
- Funding flexibility is maintained and utilized to continue to increase housing choice for low income families, create opportunities for self sufficiency and improve the cost effectiveness of service delivery

### **Self-Sufficiency**

- Social services entity delivers quality and relevant two-generation self sufficiency and youth development programs to residents of the City of New Haven's affordable housing communities that breaks cycles of poverty and builds self-sufficient families
- Empowered resident/participants actively engaged in policy and direction setting for the agency
- Maintains sustaining relationships with community providers that benefits the residents of ECC housing to reach self sufficiency goals

### **Housing Choice**

- ECC properties are redeveloped and modernized with useful life extended at least 20 years
- Achieves high-performing status across all measures
- ECC serves as a partners to incoming MTW agencies
- ECC effectively secures regional opportunities in CT
- ECC leads CT efforts in implementation of balanced place-based and choice models of affordable housing development
- ECC brand is widely known throughout City, Region, State and Nation.
- Implement a City Housing Policy that supports the inclusion of affordable housing component in otherwise market rate housing

## Overview of MTW Initiatives

Initiative	Description	MTW	Status
1.1	Development of Mixed Use development of 122 Wilmot Road –FY2009	Increase Housing Choice	Closed <sup>1</sup>
1.2	Local Total Development Cost (TDC) limits initiative – FY2009	Cost effectiveness	On going
1.3	Fungibility of MTW funds – FY2012	Cost effectiveness	Closed <sup>2</sup>
1.4	Income Eligibility for HCV PBV units in Mixed Finance Developments - FY2012	Cost Effectiveness	On going
1.5	HCV Preference and Set Aside for Victims of Foreclosure – FY2009	Increase Housing Choice	On going
1.6	Deconcentration of Poverty Promote Expanded Housing Opportunities for HCV	Increase Housing Choice	On going
1.7	Tenant-Based Vouchers for Supportive Housing for the Homeless – FY2011	Increase Housing Choice	On going
1.8	Farnam Courts Transformation Plan - FY2011	Increase Housing Choice	On going
1.9	Increase the Allowed Percentage of Project Based Voucher “PBV” Units from	Increase Housing Choice	On going
1.10	Income Skewing for PBVs in Mixed Finance Developments - FY2012	Cost effectiveness	On going
1.11	Increase the percentage of Housing Choice Voucher budget authority for the	Increase Housing Choice	On going
1.12	Development of Replacement Public Housing Units with MTW Block Grant	Increase Housing Choice	On going
1.13	Creation of a commercial business venture at 122 Wilmot Road – FY2008	Cost Effectiveness	Closed out <sup>3</sup>
1.14	Redevelopment of Edgewood Avenue k/n/a Dwight Gardens – FY2013	Increase Housing Choice	Closed out <sup>4</sup>
1.15	Development of RAD Development for Rockview Phase II Rental-	Increase Housing Choice	On going
1.16	Crawford Manor Transformation Plan- FY	Increase Housing Choice	On hold
1.17	Westville Manor Transformation Plan –	Increase Housing Choice	On going
2.1	Family Self Sufficiency Program - FY2004	Increase Family Self-Sufficiency	On going
2.2	Promotion of Self Sufficiency/ Earned/Income Exclusion - FY2008	Increase Family Self-Sufficiency	On going
2.3	Caring About Resident Economic Self	Increase Family Self-Sufficiency	On going
2.4	Teacher in Residence Program – FY 2016	Increase Family Self-Sufficiency	On going
3.1	Rent Simplification - FY2008	Cost effectiveness	On going
3.2	UPCS Inspections - FY2008	Cost effectiveness	Closed <sup>5</sup>
3.3	Revised HQS Inspection Protocol – FY 2011	Cost effectiveness	Closed <sup>6</sup>
3.4	Mandatory Direct Deposit - FY2009	Cost effectiveness	Closed <sup>7</sup>
3.5	HCV Rent Simplification/Cost Stabilization Measures- FY2014	Cost effectiveness	On going

<sup>1</sup> Project completed

<sup>2</sup> Per HUD directive this initiative does not need to be reported

<sup>3</sup> Project completed

<sup>4</sup> Project not being pursued

<sup>5</sup> Initiative no longer requires MTW flexibility

<sup>6</sup> Initiative was revised and relaunched as item 3.5

<sup>7</sup> Initiative does not require MTW flexibility

## MTW Initiatives requiring Funding Flexibility only

Description	MTW	Status
<b>Property Disposition</b> <ul style="list-style-type: none"> <li>620 Grand Ave</li> <li>Sheffield Manor</li> <li>7 Shelton St.</li> <li>Valley St/South Genessee Park at McConaughy Terrace</li> </ul>	Cost effectiveness	<ul style="list-style-type: none"> <li>Closed</li> <li>On going</li> <li>On going</li> <li>Closed</li> </ul>
<b>Local Asset Management Program</b>	Cost effectiveness	On going
<b>Use of Frozen/Fixed Utility Consumptions</b>	Cost effectiveness	On going
<b>Research and evaluation</b>	Cost effectiveness	On going
<b>Energy Performance Contract</b>	Cost effectiveness	On going
<b>ECC/HANH Believes! Youth Academic Achievement initiative</b>	Increase Family Self-Sufficiency	On going
<b>Section 3 Employment and Training</b>	Increase Family Self-Sufficiency	Closed <sup>8</sup>
<b>Specialized Training Initiative</b>	Increase Family Self-Sufficiency	On going
<b>Resident Owned Business Development Support Initiative</b>	Increase Family Self-Sufficiency	On going
<b>SEHOP Capital Improvement Program</b>	Increase Family Self-Sufficiency	On going
<b>Resident Services – Family development</b>	Increase Family Self-Sufficiency	On going
<b>Resident Services – Elderly/Disabled development</b>	Increase Family Self-Sufficiency	On going
<b>Supportive services in Elderly/Disabled developments</b>	Increase Family Self-Sufficiency	On going
<b>Community Re-entry Program</b>	Increase Family Self-Sufficiency	On going
<b>Project modernization – various projects</b>	Increase Housing Choice	On going
<b>Valentina Macri disposition and conversion to supportive housing for formerly homeless</b>	Increase Housing Choice	On going
<b>Redevelopment projects</b> Brookside I, II and Homeownership <b>Rockview I</b> 122 Wilmot Road <b>Rowe</b> Eastview Terrace <b>Ribicoff I</b> <b>Ribicoff II</b> Fair Haven Farnam	Increase Housing Choice	On going Closed Closed Closed Closed Closed On going On going On going On going
<b>Capital Fund Financing Program</b>	Increase Housing Choice	Closed

<sup>8</sup> Initiative has been replaced by Specialized Training Initiative

<b>Section Eight Homeownership Program</b>	Increase Housing Choice	On going
<b>Rental Assistance Demonstration Program (RAD)</b>	Increase Housing Choice	On going
<b>Creation of new instrumentality entities to support ECC/HANH goals and</b>	Cost Effectiveness	New- On going

## II. General Housing Authority Operating Information

Planned New Public Housing Units to be Added During the Fiscal Year											
AMP Name and Number	Bedroom Size							Total Units	Population Type *	# of UFAS Units	
										Fully Accessible	Adaptable
	0	1	2	3	4	5	6+				
PIC Dev. # /AMP	0	0	0	0	0	0	0	0	n/a	n/a	n/a
PIC Dev. Name											
PIC Dev. # /AMP	0	0	0	0	0	0	0	0	n/a	n/a	n/a
PIC Dev. Name											
PIC Dev. # /AMP	0	0	0	0	0	0	0	0	n/a	n/a	n/a
PIC Dev. Name											
PIC Dev. # /AMP	0	0	0	0	0	0	0	0	n/a	n/a	n/a
PIC Dev. Name											
Total Public Housing Units to be Added								0			
* Select Population Type from: Elderly, Disabled, General, Elderly/Disabled, Other If Other, please describe: n/a											

**Planned Public Housing Units to be Removed During the Fiscal Year**

PIC Dev. # / AMP and PIC Dev. Name	Number of Units to be Removed	Explanation for Removal
CT004000015 Fairmont Heights	98	Conversion to RAD
CT004000011 McQueeny Towers	150	Conversion to RAD
CT004000012 Winslow Celentano	65	Conversion to RAD
CT004000013 Robert T. Wolfe	93	Conversion to RAD
CT004000015 Ruoppolo Manor	105	Conversion to RAD
CT004000014 Farnam Courts	92	Conversion to RAD
CT004000005 Waverly Townhouses	52	Conversion to RAD
CT004000021     Scattered Sites Multi	20	Conversion to RAD
CT004000006 Katherine Harvey	17	Conversion to RAD
CT004000007 New Hall Gardens	26	Conversion to RAD
CT004000009     CB Motley	45	Conversion to RAD
CT004000008 Prescott Bush	56	Conversion to RAD
<b>Total Number of Units to be Removed</b>	<b>819</b>	

## New Housing Choice Vouchers to be Project Based During the Fiscal Year

Property Name	Anticipated Number of New Vouchers to be Project-Based *	Description of Project
Edmond Commons	60	Edmond Commons is a 60 unit elderly and disabled development. All AEC units will be converted under the RAD portfolio award.
Charles T. Mc Graw-Hill	150	Charles T. Mc Graw-Hill is a 150 unit elderly and disabled development. All AEC units will be converted under the RAD portfolio award.
William Coleman	60	William Coleman is a 60 unit elderly and disabled development. All AEC units will be converted under the RAD portfolio award.
Robert T. White	30	Robert T. White is a 30 unit elderly and disabled development. All AEC units will be converted under the RAD portfolio award.
Harold A. Wilson	175	Harold A. Wilson is a 175 unit elderly and disabled development. All AEC units will be converted under the RAD portfolio award.
Harmon Court	29	The Harmon redevelopment is a part of the Housing Authority of the City of New Haven's (HANH) comprehensive long-range transformation plan that calls for the development of 228 units of housing (apartments and cottages), retail and commercial space. The Plan also provides for new parks, streets and utilities and a comprehensive economic self-sufficiency program. The Harmon Phase I project involves the demolition of 120 distressed public housing units to be replaced with the new construction of 94 units of low-income housing in two new multi-story buildings, 2,000 square feet of retail commercial space on the front of the site. As a part of the replacement units for Harmon Phase I, the Authority completed its 9% LIHTC Fair Haven Development which consists of 57 multi-housing units at 14 Fairview Terrace and Orchard Street off-site location. 32 units will move on site during FY2016 and the balance of 25 units will move on site during FY2017.
Waverly Townhomes	52	Waverly Townhomes is a 52 unit family development. All AEC units will be converted under the RAD portfolio award.
Starboard Sites (MID)	21	Starboard Sites (MID) is a 21 unit development. 20 AEC units will be converted under the RAD portfolio award.



New Housing Choice Vouchers to be Project Based During the Fiscal Year		
Property Name	Anticipated Number of New Vouchers to be Project-Based *	Description of Project
Katherine Harvey	17	Katherine Harvey is a 17 unit elderly development. All ACC units will be converted under the RAD portfolio award.
CB Motley	45	Constance Baker Motley is a 45 unit elderly development. All ACC units will be converted under the RAD portfolio award.

West Hill Gardens	28	West Hill Gardens is a 28 unit elderly development. All ACC units will be converted under the RAD portfolio award.
West Hill Gardens	28	West Hill Gardens is a 28 unit elderly development. All ACC units will be converted under the RAD portfolio award.
Anticipated Total New Vouchers to be Project-Based	126	<p>Anticipated Total Number of Project-Based Vouchers Committed at the End of the Fiscal Year</p> <p>Anticipated Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year</p>



### Other Changes to the Housing Stock Anticipated During the Fiscal Year

N/A

Description of other changes to the housing stock anticipated during the fiscal year

Description of other changes to the housing stock anticipated during the fiscal year

Examples of the types of other changes can include but are not limited to units that are held off-line due to the relocation of residents, units that are off-line due to substantial rehabilitation and potential plans for acquiring units.

### General Description of All Planned Capital Fund Expenditures During the Plan Year

During FY2018, ECC/HANH is continuing to address hazardous material remediation and return of long term vacancies to occupancy, as well as, making modifications to office and common space areas for increased efficiency and improved client service. ECC/HANH is continuing with agency wide UFAS compliance, agency wide vacancy reduction efforts and performing environmental remediation work where needed. ECC/HANH intends to complete Crawford Manor HVAC in unit heating in phases, Crawford Manor bathroom upgrades with grab bars in phases, McQueeney interior & exterior upgrades including windows, kitchens & bathroom renovations in phases, etc. (under RAD conversion) or RAD conversion costs for any of the RAD portfolio developments, McConaughy Terrace storm and sanitary sewers in phases, McConaughy Terrace furnace & hot water heater replacement in phases, Winslow-Celentano interior & exterior upgrades including compactors, building-site lighting, radiators, etc. (under RAD conversion) or RAD conversion costs for any of the RAD portfolio developments, Architectural and Engineering services for multiple projects, Environmental consulting services for multiple projects, Brookside bond debt service and Administration salaries-benefits (CFP only).

**Planned Number of Households Served at the End of the Fiscal Year**

<b>MTW Households to be Served Through:</b>	<b>Planned Number of Households to</b>	<b>Planned Number of Unit</b>
Federal MTW Public Housing Units to be Leased	1,030	12,360
Federal MTW Voucher (HCV) Units to be Utilized	5,178	62,136
Number of Units to be Occupied/Leased through Local, Non-Traditional, MTW Funded, Property-Based Assistance Programs **	0	0
Number of Units to be Occupied/Leased through Local, Non-Traditional, MTW Funded, Tenant-Based Assistance Programs **	0	0
<b>Total Households Projected to be Served</b>	<b>6,208</b>	<b>74,496</b>

\* Calculated by dividing the planned 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 to be served, the PHA should estimate the number of households to be served.

\*\*\*Unit Months Occupied/Leased is the total number of months the PHA has leased/occupied units, according to unit category during the fiscal year.

### Reporting Compliance with Statutory MTW Requirements

If the PHA has been out of compliance with any of the required statutory MTW requirements listed in Section II(C) of the Standard MTW Agreement, the PHA will provide a narrative discussion and a plan as to how it will return to compliance. If the PHA is currently in compliance, no discussion or reporting is necessary.

ECC/HANH is in compliance with its MTW statutory requirements.

### Description of any Anticipated Issues Related to Leasing of Public Housing, Housing Choice Vouchers and/or Local, Non-Traditional Units and Possible Solutions

Housing Program	Description of Anticipated Leasing Issues and Possible Solutions
HCV RAD	RAD conversion may result in vacancies while work is conducted in units however; ECC/HANH has set aside swing units to assist with moves related to RAD conversions. Staff will work diligently to assure work in units begins and end according to conversion schedules and any timeline the agency decides on and commits to. ECC/HANH plans to have families move in immediately to minimize reduction in occupancy.
LIPH	Vacancy reduction contracts will result in LIPH units being off-line during renovation; however, ECC/HANH has set aside swing units to assist with moves related to RAD conversions. Staff will work diligently to assure work in units begins and end according to conversion schedules and any timeline the agency decides on and commits to. Overall, the current occupancy rate for ECC/HANH LIPH units is at 96%. ECC/HANH continues to work toward 100% occupancy by end of FY 2018
n/a	n/a

If Local, Non-Traditional Housing Program, please describe:

n/a
n/a
n/a

### C. MTW Plan: Wait List Information

#### Wait List Information Projected for the Beginning of the Fiscal Year

Housing Program(s) *	Wait List Type**	Number of Households on	Wait List Open, Partially Open	Are There Plans to Open the Wait List
MTW Public Housing	Site Based	6,489	Partially Opened	Yes
MTW Housing Choice Voucher	Program Specific	2,408	Closed	Yes
N/A	N/A	N/A	N/A	N/A

Rows for additional waiting lists may be added, if needed.

\* *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 bedrooms; Accessible unit waitlists remain open; Scattered Site waitlists to open during FY2018.
n/a
n/a

If Local, Non-Traditional Housing Program, please describe:

n/a
n/a
n/a

If Other Wait List Type, please describe:

n/a
n/a
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.

n/a
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## Who We Serve

ECC/HANH serves 6,031 families through its low income public housing and housing choice voucher programs. During the 2001 baseline year, ECC/HANH served a total of 4,827 families. Current numbers reflect an increase of approximately 1,312 families or 25%, 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 83% of LIPH and 74% of HCV families in this income category. 30% percent of LIPH families and 37% of HCV families earn wages. No significant growth is noted over the last year. No significant change is noted over last year in the percentage of families reporting no income with 4% of LIPH and 5% of HCV families in this status.

86% of households in LIPH range from 1 person to 3 person families and 79% of households in HCV range from 1 person to 3 person families. The following table summarizes the population demographics.

ECC/HANH Population Demographics- 2018					
	LIPH		HCV		Total
Total households	1,782	30%	4,249	70%	6,031
Total individuals	3,674	26%	10,239	74%	13,913
Average income	\$13,401		\$16,330		
Average TTP	\$303		\$381		
Households with Extremely low income	1,487	83%	3,124	74%	
Households with Very low income	200	11%	742	17%	
Households with Low income	47	3%	259	6%	
Households Above low income	48	3%	124	3%	
Households with No income	77	4%	200	5%	
Households with Employment Income	541	30%	1,562	37%	
Households with Public Assistance	265	15%	348	8%	
Households with Social Security	892	50%	1,774	42%	
Households with Other Income	119	7%	413	10%	
Minority households	1,183	66%	2,460	58%	
Non-minority	599	34%	1,789	42%	
Elderly families	429	24%	977	23%	
Disabled families	939	53%	1,583	37%	
1 member	848	48%	1,547	36%	
2 members	406	23%	974	23%	
3 members	279	16%	817	19%	
4 members	135	8%	503	12%	
5 members	68	4%	255	6%	
6 members	29	2%	104	2%	
7 members	14	1%	27	1%	
8+ members	3	0%	22	1%	

## Low Income Public Housing

ECC/HANH plans to complete FY2018 with a MTW public housing stock of 1,030 public housing units. This includes 734 site-based family units; 126 Elderly/Disabled units, and 1170 Scattered Site units.

This reduction in units is due to the conversion of LIPH units to RAD PBV units through the Rental Assistance Demonstration Program and is accompanied by a commensurate increase in HCV RAD vouchers noted in the following section. This reduction in LIPH units is offset by the conversion of these units to RAD units that with the infusion of capital investment have earned at least 20 more years of useful life. ECC/HANH's RAD conversion includes approval for 1,464 units. At the start of ECC/HANH's MTW status, ECC/HANH's LIPH housing stock included 2,965 total units; however, as noted previously, significantly more families are being assisted through ECC/HANH's affordable housing programs.

Of these LIPH units, post RAD-conversion, 12 units will remain approved vacancies for units off line for officers in residence, Asset Management offices and TRC offices/food banks and the ECC Teacher in Residence Program.

Development Name	Development Type	Units beginning FY2018	Planned Units to Add	Planned Units to Remove	Planned Units at end of FY2018
Val Macri	Elderly/Disabled	17	0	0	17
Ribicoff Cottages	Elderly/Disabled	0	0	0	0
Fairmont Heights	Elderly /Disabled	98	0	98	0
Crawford Manor	Elderly /Disabled	109	0	0	109
McQueeney Towers	Elderly /Disabled	150	0	150	0
Winslow Celentano	Elderly /Disabled	65	0	65	0
RT Wolfe	Elderly /Disabled	93	0	93	0
Wilmont Crossing	Elderly/Disabled	0	0	0	0
Ruoppolo Manor	Elderly /Disabled	105	0	105	0
Valley Townhouses	Family	40	0	0	40
Eastview Terrace	Family	0	0	0	0
Farnam Courts	Family	92	0	92	0
Westville Manor	Family	151	0	0	151
McConaughy Terrace	Family	201	0	0	201
Waverly Townhouses	Family	52	0	52	0
Quinnipiac Terrace 1	Family	58	0	0	58
Quinnipiac Terrace 2	Family	56	0	0	56
Quinnipiac Terrace 3	Family	17	0	0	17
Essex Townhouses	Family	35	0	0	35
Monterey 1	Family	0	0	0	0
Monterey 2	Family	0	0	0	0
Monterey 3	Family	0	0	0	0
Monterey 4	Family	0	0	0	0
Monterey 5	Family	0	0	0	0
Monterey Phase 2R	Family/Elderly	0	0	0	0
New Rowe	Family	46	0	0	46

<b>Brookside Phase 1</b>	Family	50	0	0	50
<b>Brookside Phase II</b>	Family	50	0	0	50
<b>Edith Johnson Towers</b>	Elderly	0	0	0	0
<b>William Griffin</b>	Elderly	0	0	0	0
<b>Rockview Phase 1 Rental</b>	Family	30	0	0	30
<b>Scattered Site - Multi Family</b>	Scattered Sites	115	0	20	95
<b>Scattered Site - West</b>	Scattered Sites	23	0	0	23
<b>Scattered Site - East</b>	Scattered Sites	52	0	0	52
<b>Katherine Harvey</b>	Elderly	17	0	17	0
<b>Newhall Gardens</b>	Elderly	26	0	26	0
<b>Prescott Bush</b>	Elderly	56	0	56	0
<b>CB Motley</b>	Elderly	45	0	45	0
Total		<b>1,849</b>	<b>0</b>	<b>819</b>	<b>1030</b>

## Housing Choice Voucher Program

At the start of FY 2018 ECC/HANH has budget authority for 4,660 MTW Vouchers (including SRO Vouchers), 605 RAD vouchers and 85 VASH Vouchers for a total vouchers pool of 5,350 vouchers. Over the course of fiscal 2018, ECC-HANH will convert 826 Low Income Public Housing Units (LIPH) to RAD platform. The conversion of the aforementioned public housing units to the RAD Platform will increase the agency total RAD Units to 1431, and increase the agency voucher capacity to 6,176.

Summary	FY17 Avg Voucher Value	Baseline	Amendment
MTW Vouchers (including SRO)		4,660	4,660
RAD Vouchers		605	605
New RAD Vouchers in Amendment for FY18		0	826
VASH Vouchers		85	85
<b>Total ECC-HANH Voucher Pool</b>		<b>5,350</b>	<b>6,176</b>
Total Projected Voucher Allocation		5,027	5,925
<b>Estimated Utilization (assuming 100% occupancy)</b>		<b>93.96%</b>	<b>95.94%</b>
Total Projected Cost of Vouchers @ 100% Utilization	<b>\$975</b>	\$58,815,900	\$69,322,500
Projected Vouchers available for allocation		323	251
Estimated Value of Vouchers Available for allocation	<b>\$1,000</b>	\$3,779,100	\$2,936,700

HANH MTW Activities Summary	Description	2017 Voucher Baseline	Planned Units to be Removed	Planned Units to be Added
MTW Tenant Based Voucher	Portable tenant based assistance	3,113	0	
Expanding Housing Choice	Support mobility and homeownership opportunities for residents	407	83	
PBV Efforts to End Homelessness	Allocation to homeless providers	58	0	
PBV Housing Development	Project Based Voucher Assistance for redevelopment projects	469	20	
RAD	Conversion of LIPH Units to RAD Platform	605	0	
PBV Supportive Housing Efforts	Subsidies for supportive housing efforts	210	8	
Mod Rehab-Single Room Occupancy	80 SRO units	80	0	
HUD VASH	85 Veterans Supportive Housing	85	0	
<b>TOTALS</b>		<b>5,027</b>	<b>111</b>	

<b>Tenant Based Vouchers (not assigned to special use)</b>		<b>3113</b>	<b>0</b>	
<b>Tenant Based Voucher Subtotal</b>		<b>3113</b>	<b>0</b>	

<b>Expanding Housing Choice</b>				
<b>CARES (SEHOP)</b>	10 Vouchers set aside	10	5	



	for CARES participants			
Section Eight Home Ownership Program (SEHOP)	50 Vouchers set aside for LIPH & HCV Homeownership Program	60	10	
West Rock Homeownership Phase 1	5 new homeownership units	5	3	
William T. Rowe relocation vouchers		0	0	
Tenant Protection Vouchers for Church St. South	270 vouchers for CSS dislocated residents	266	25	
RAD IIA Tenant Relocation Voucher	Support relocation of 70 Families in RAD Group 2A	0		
RAD IIB Tenant Relocation Vouchers	Support relocation of 32 families RAD Group 2B	0		
State and Local Initiatives vouchers to support housing choice and preservation	New Activity 50 Vouchers	50	40	
<b>Expanding Housing Choice Subtotal</b>		<b>391</b>	<b>83</b>	
<b>PBV Efforts to End Homelessness</b>				
PBV Fellowship I	100% Supportive Housing	18	0	
PBV Fellowship II	100% Supportive Housing	5	0	
PBV Also Cornerstone (Continuum of Care)	100% Supportive Housing	4	0	
PBV Norton Court (Continuum of Care)	100% Supportive Housing	12	0	
PBV Cedar Hill	100% Supportive Housing	4	0	
PBV West Village	52 Howe St. – 100% Supportive Housing Single Room Occupancy Units	15	0	
<b>PBV Efforts to End Homeless Subtotal</b>		<b>58</b>	<b>0</b>	
<b>PBV Housing Redevelopment</b>				
PBV QT Phase 1	81 units – 28% of units PBV	23	0	
PBV QT Phase 2	79 units – 29% of units PBV	23	0	
PBV QT Phase 3	33 rental units 48% are PBV	16	0	
PBV Eastview Phase I	102 units – 48% of units are PBV	49	0	
PBV Brookside Phase I Rental	100 affordable rental mixed - 50% of units are PBV	51	0	
PBV Brookside Phase 2 Rental	51 PBV for affordable housing for families in 1 to 4 bedroom units	51	0	

PBV Rockview Phase I Rental	47 units foraffordable housing, 61% of units are PBV	47	0	
PBV New Rowe Building	104 affordable mixed use, mixed finance development 31% of units are PBV	32	0	
PBV 122 Wilmot Road	13 PBV for affordable housing for elderly in 1 and 2 bedroom accessible units	13	0	
PBV Park Ridge	100% Elderly/disabled housing	60	0	
PBV Frank Nasti Existing	Scattered Site PBV-Families	11	3	
PBV CUHO Existing	Scattered site PBV units for families	24	8	
PBV CUHO New Construction	Affordable 8 unit rental housing development-Families	8	3	
PBV Shartenburg	20 PBV units for the City initiative 360 State-Families	20	6	
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	
PBV Mutual Housing Assoc. (Neighborhood Works/New Horizon)	10 MHA PBV units	10	0	
PBV Casa Otonal		12	0	
PBV Christian Community Action	Rehabilitation- Progrm Units Families in Transition	0	0	
Residences at Ninth Square	Support the redevelopment of 9th Square Development	0		
PBV Housing Redevelopment Subtotal		470	20	
<b>RAD Conversion</b>				
RAD 122 Wilmot Road	34 PBV	34	0	
RAD Eastview Phase I	102 units – 48% of units are PBV; remaining 53 ACC units converted to RAD PBV	53	0	
RAD Ribicoff (Twin Brook)– 9%	44 units of RAD converted ACC units – 80% PBV; 11 market rate units	44	0	
RAD Ribicoff (Twin Brook) -4%	51 units of RAD converted ACC units	51	0	
RAD Fair Haven/ Farnam	55 units of RAD converted ACC units and 2 PBVs	57	0	

RAD Monterey Place- Edith B Johnson	95 units of RAD converted ACC units	95	0	
RAD Monterey Place- William Griffin	4 units of RAD converted ACC units	4	0	
RAD Monterey Place 1	42 units of RAD converted ACC units	42	0	
RAD Monterey Place 2	7 units of RAD converted ACC units	7	0	
RAD Monterey Place 3	45 units of RAD converted ACC units	45	0	
RAD Monterey Place 4	42 units of RAD converted ACC units	42	0	
RAD Monterey Place 5	17 units of RAD converted ACC units	17	0	
RAD Monterey Place 2R	28 units of RAD converted ACC units	28	0	
RAD McQueeney Towers	150 units of converted ACC units	0	0	
RAD Fairmont Heights	98 units of converted ACC units	0	0	
RAD Matthew Ruoppolo Manor	105 units of converted ACC units	0	0	
RAD Winslow Celentano	65 units of converted ACC units	0	0	
RAD Robert T. Wolfe	93 units of converted ACC units	0	0	
RAD Prescott Bush	56 units of converted ACC units	0	0	
RAD Waverly Townhouses	52 units of converted ACC	0	0	
RAD Valley Townhouses	40 units of converted ACC	0	0	
RAD CB Motley	45 units of converted ACC	0	0	
RAD Newhall Gardens	26 units of converted ACC	0	0	
RAD Katherine Harvey Terrace	17 units of converted ACC	0	0	
RAD Fulton Park	12 units of converted ACC	0	0	
RAD Chamberlain Court (Justice Landing)	7 units of converted ACC	0	0	
RAD Chamberlain Court (Justice Landing)	1 units of converted ACC	0	0	
RAD Farnam Onsite I	86 units converted ACC	86		
RAD Conversion Subtotal		605	0	

TBV Supportive Housing Efforts				
Tenant Based DHMAS Supportive – Housing First	Supportive Housing	10	0	
DMHAS Mental Health Transformation Grant – FUSE	Supportive Housing	10	0	
Family Options – Homeless	Supportive Housing	15	0	
Permanent Enrichment	Supportive Housing	10	0	
Foreclosure Protection	Foreclosure Protection	25	8	
Family Unification Supportive Housing	DCF Family	20	0	

Homelessness/Imminent Danger of Homelessness	(Formerly Foreclosure PBV)	40	0	
Supportive Housing/Homelessness Prevention I	Supportive Housing/Homelessness Prevention	51	0	
Project Longevity	20 vouchers for city initiative targeting homeless former offenders	20	0	
Re-entry Fresh Start	10 vouchers for re-entry applicants through City Fresh Start	10	0	
Supportive Housing Efforts Subtotal		211	8	

### III: Proposed MTW Activities

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

Below is a summary of proposed changes for the FY2018 MTW Plan.

Increase Housing Choice	<i>Summary Description</i>
No new initiatives	<ul style="list-style-type: none"><li>•</li></ul>
Increase Family Self-Sufficiency	
No new initiatives <ul style="list-style-type: none"><li>•</li></ul>	<ul style="list-style-type: none"><li>• ECC/HANH proposes to co develop Non-traditional housing supports for 19 units of affordable housing for families transitioning from homelessness. This support is targeted toward families seeking economic self sufficiency following shelter and transitional housing offered through a community provider.</li></ul>
Cost Effective and Efficient Service Delivery	
No new initiatives	

## **IV: Approved MTW Activities**

### **A. IMPLEMENTED ACTIVITIES**

#### **Increase Housing Choice**

##### **Initiative 1.2 – Local Total Development Cost (TDC) Limits**

This initiative was approved in FY2008 and implemented in FY2009. This activity establishes TDC and HCC limits for ECC/HANH separate from HUD's standard limits to better reflect local market conditions for development and redevelopment activities.

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 Fiscal Year 2009 Report. On July 2, 2010, ECC/HANH received HUD approval for its Alternate TDCs and HCC limits. During Fiscal Year 2012, ECC/HANH submitted revised TDC and HCC limits and 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 current approved TDC schedule are attached in Appendix 1.

ECC/HANH does not anticipate any changes to the metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objectives of cost effectiveness and increasing housing choice.

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

This initiative was approved in FY2012 and implemented in FY2013. This activity defines the incomes to be eligible for Project Based Voucher Programs as follows:

- No less than 40 percent of the project based vouchers awarded in any year to be awarded to families with incomes at or below 30 percent of the area median income, adjusted for family size.
- HANH will award up to 15 percent of the PBV's allocated to for any mixed finance project to families with incomes between 50 and 80 percent of Area Median Income for Brookside Phase 1 Rental.
- 45 percent of PBV may be allocated to families with income between 50 and 80 percent AMI for Brookside Phase 2 Rental mixed finance development.

ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objectives of cost effectiveness and increasing housing choice.

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
Wilmont 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

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

This initiative was approved in FY2009 and implemented in FY2010.

New Haven, like many municipalities faced an increasing crisis related to mortgage foreclosures. As 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.

This program originally included 25 TBV and 25 PBV with the combined total will to not exceed 50 Vouchers to 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. PBVs would be awarded through a competitive process in partnership with the City of New Haven's Neighborhood Stabilization Program that targets foreclosed properties. TBVs would be 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. The program is not designed for the landlord who is in foreclosure.

Note: Since implementation, demand for the PBVs was not sufficient and therefore vouchers were reallocated to areas of greater demand. 10 of the 25 PBVs were reallocated another initiative for a total of 40 vouchers allocated for Victims of Foreclosure is currently, all being TBVs.

In FY2017, due to further decreased demand ECC/HANH reallocated 16 of the 40 vouchers to another initiative, bringing the new total to 24. ECC/HANH does not anticipate any changes to the metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing housing choice.

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

This initiative was approved in FY2008 and implemented in FY2009. 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 FY2008, 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 will 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.

ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing housing choice.



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

This initiative was approved in FY2010 and implemented in FY2011. 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.

ECC/HANH has designated use of housing choice voucher resources for the purpose of ending homelessness. ECC/HANH works in conjunction with City and Regional entities, Continuum of Care, shelters, transitional and permanent housing providers to prioritize and identify 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.

25 vouchers were reallocated to the Homeless /Imminent Danger of Homelessness, formerly Foreclosure PBV. These vouchers were taken from the Foreclosure Protection program which previously had 50 and now has 25 vouchers. *In FY 2018 a total of 8 Voucher are being reallocated to other programs from Foreclosure protection; leaving this program with a total of 17 vouchers. Decision to re-allocate vouchers was based on a reduction requests from ECC-HANH partners for this type of assistance. Re-allocated vouchers will be used to support of agency initiatives and priorities. Agency will continue to monitor proposed utilization of these vouchers by tenants, and make changes as need.*

There continues to be a need for vouchers for the homeless population and we are forming additional partnerships with homeless advocates. ECC/HANH does not anticipate any changes to the metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing housing choice.

Use of Tenant Based Vouchers to End Homelessness					
Efforts to End Homelessness		Original	Reallocated	Added	Total
Tenant Based DHMAS Supportive – Housing First	Supportive Housing	10	0	0	10
DMHAS Mental Health Transformation Grant – FUSE		10	0	0	10
Family Options – Homeless		15	0	0	15
Permanent Enrichment		10	0	0	10
Foreclosure Protection		25	8		17
Family Unification Supportive Housing	DCF Family	20	0	0	20
Homelessness/Imminent Danger of Homelessness	(Formerly Foreclosure PBV)	40	0	0	40
Supportive Housing/Homelessness Prevention I	Supportive Housing/Homelessness Prevention	51	0	0	51
Project Longevity	20 vouchers for city initiative targeting homeless former offenders	20	0	0	20
Re-entry Fresh Start	10 vouchers for re-entry applicants through City Fresh Start	10	0	0	10

<b>Total</b>					<b>203</b>
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## Initiative 1.8 – Farnam Court Transformation Plan

This initiative was approved in FY2011 and was implemented in FY2012.

The Authority 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 is proposing not only a redevelopment of the housing units at Farnam Court but 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 Grand Ave./Mill River corridor. Through collaboration with other community partners, including the Economic Development Corporation, City of New Haven, the Board of Education and many more, the Authority anticipates to redesign 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. 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.

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.

Farnam Court Phase II- on site will include the demolition of the remaining 92 units and construction of 111 units -87 RAD assisted and 24 market rate units and a 3,600 sq. feet community center and park..

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.

ECC/HANH does not anticipate any changes to the metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing housing choice.

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

This initiative was approved in FY2012 and implemented in FY2013. 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 includes 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 conducted analysis of 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 percent as previously approved by HUD to 100 percent for the purpose of converting ACC units to PBV units under this initiative. The purpose is to provide cash flow to enable ECC/HANH to borrow private funds for the purpose of rehabilitating aging developments in ECC/HANH’s portfolio. ECC/HANH also seeks to waive the requirement of one-year tenancy which will 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.

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

HUD development of the Rental Assistance Demonstration Program has made this initiative unnecessary for projects approved for RAD conversion. However, ECC/HANH continues to have 985 units that are not currently approved for RAD conversion for which this authorization remains vital.

ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objectives of cost effectiveness and increasing housing choice.

## **Initiative 1.11 – Increase the percentage of Housing Choice Voucher budget authority for the Agency that is permitted to project-base from 20% up to 25%**

This initiative was approved in FY2013 and implemented in FY2014. This authorization will allow for the continued redevelopment efforts of the underperforming developments as well as increase housing choices for our residents. It allows the Authority to use its vouchers to pool monies together in order to leverage funds for redevelopment efforts. This initiative was contemplated prior to the advent of the RAD program. The percentage of MTW project based did not include the full conversion of ACC sites to PBVs. The advent of RAD increases the proportion of the portfolio that will be project-based. ECC/HANH’s current percentage of non-RAD project based MTW vouchers is 11% (527 vouchers).

With the RAD portfolio award, ECC/HANH expects that percentage to increase to 29% of the portfolio during FY2018. The Housing Authority closed on in FY 2015 Ribicoff 9% and Ribicoff 4%; and closed on Fair Haven and Farnam Phase I on site during FY 2016. ECC/HANH will close on Farnam Phase II during FY2018. Additionally, ECC/HANH’s RAD portfolio award approval allows for the project based conversion of 1,128 ACC units during FY2017. ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing housing choice.

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

This initiative was approved in FY2013 and implemented in FY2014. 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 FY2013, 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 intended to pursue this initiative at certain specific sites in FY 2013, including Farnam Courts and Abraham Ribicoff Cottages and Extensions, but intended to use this same model at other sites to be identified in the future.

Essentially, ECC/HANH will use MTW block grant funds (which are 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 will be 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 will use 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 will allow 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 will revise required forms to provide for this mix of applicable rules and seek any necessary HUD approvals.

To date, the applicable transactions include the following completed by or planned for FY2018:

Development Name	PH Units	PBV Units	Total # of Assisted Units	# of Market Rate Units	Total # of Units
Eastview Terrace	0	102	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	51	101	0	101
Brookside Phase II	50	51	101	0	101
Rockview Phase I	30	47	77	0	77
William T. Rowe	46	32	78	26	104
Wilmont Crossing	0	47	47	0	47
Monterey Place 1[1]	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
Twin Brook	0	94	94	11	105
Farnam Courts redevelopment	0	219	219	0	219
Farnam Courts-Fair Haven			0	0	0
Farnam Court Phase I onsite		86	86	8	94
Total	399	977	1376	45	1421

ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing housing choice.

### **Initiative 1.15 – RAD Finance Development for Rockview Phase II Rental**

This initiative was approved and implemented in FY2014.

ECC/HANH has aggressively redeveloped the West Rock community home to four low income public housing sites. To date, Brookside, Rockview, Ribicoff Cottages and the newly created Wilmont 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.

The Authority 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. The Authority intends to demolish Westville Manor and will 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 FY2014, was subsequently put on hold in FY2015, and was reactivated in FY2017.

The Authority submitted a 9% tax credit application in November 2016 which was awarded in FY2017. Closing is planned for FY2018.

ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing housing choice.

### **Initiative 1.17 – Westville Manor Transformation Plan**

This initiative was approved in FY2014 and implemented in FY2016. It is the intent of the Authority 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 Wilnot 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 Wilnot Road.

Master planning for the redevelopment of this site into a mixed income 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 in the Westville Manor redevelopment. The Authority or the Glendower Group will purchase the adjacent property located at 34 Level Street to afford for a comprehensive redevelopment. ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing housing choice.

## Increase Family Self-Sufficiency

### Initiative 2.1 – Family Self-Sufficiency (FSS) Program

This initiative was approved and implemented in FY2007. 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, etc. Further ECC/HANH has invested in Computer/Learning Labs which offer services that assist families in their move toward self-sufficiency.

ECC/HANH also created a "Specialized Training" program which 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.

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 Amendment proposes a reduction in the number of vouchers being allocated to residents in the CARES Program and within the Section 8 Homeownership Program (SEHOP). Reducing vouchers committed in the CARES program from 10 to 5; and reducing vouchers committed to the SEHOP Program from 60 to 50. The reduction in vouchers allocated to these activities does not represent a change in agency commitment to move residents to self-sufficiency through homeownership. The proposed change is a temporary re-allocation of vouchers resource based on utilization. Re-allocated vouchers will be used to support of agency initiatives and priorities. Agency will continue to monitor proposed utilization of these vouchers by tenants, and make changes as need.*

Program	Number of Slots	Benefits from Escrow	Owner	Supports
HUD FSS Grant Funded Slots	100	Yes	FSS Coordinators	RSCs, Program Managers & LCSW
CARES Program	Up to 277	Yes	CARES Coordinators	Program Managers, & LCSW
Work-Able families	60	Yes	Program Managers	FSS Coordinators , RSCs & LCSW
	200	Yes	FSS Coordinators	
SEHOP	50	Yes	FSS Coordinators	FSS Coordinators
TOTAL	687			

ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing family self-sufficiency.

### Initiative 2.2 – Incremental Earned Income Exclusion

This initiative was approved and implemented in FY2008. ECC/HANH believes promoting self-sufficiency is most effectively accomplished through helping residents to access services and supports. 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 will exclude 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 is excluded in increments according to the year of participation: 1<sup>st</sup> year of participation = 100%, 2<sup>nd</sup> year of participation =



75%, 3<sup>rd</sup> year of participation = 50%, 4<sup>th</sup> year of participation = 25%, 5th year of participation = 0%. During the 5<sup>th</sup> 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 1<sup>st</sup> year and may or may not during the following based on the rent increase and income exclusions.

ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing family self-sufficiency.

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

This initiative was approved in FY2012 and implemented in FY2013. 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 and Rock View (not RAD sites) 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 and Rock View, 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 101 units developed in the Brookside Phase II Rental project and 77 at Rock View, all 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 the Authority'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.

The CARES program description can be found in Appendix 3.

ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing family self-sufficiency.

## Initiative 2.4. Teacher in Residence

This initiative was approved in FY2015 and implemented in FY2015. As part of ECC/HANH Believes, an ECC/HANH youth initiative, Elm City Communities 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 offers housing to teachers in exchange for the delivery of homework help and tutorial services for our youth. Teachers housed through ECC/HANH Believes will be 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, will be required to provide educational assistance to ECC/HANH’s youth Waverly Townhouses (the development selected for the pilot where the Teachers in Residence will be housed). Educational assistance to Elm City Communities’ school-aged youth is defined as follows:

- Conduct a site-base 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 will host 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 to evaluate and alter the program as needed. Specific terms of the program will be 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 will increase the economic self-sufficiency of our families. Anticipated outcomes include improved academic success as students receive additional academic assistance, improved attendance in school as students better understand their respective 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 has received HUD approval for one (1) MTW neighborhood services special use dwelling units, at Waverly townhouses. Interviews for the position began during June of 2016. To date, one teacher has been placed at Waverly Townhouses.

ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing family self-sufficiency.



## Cost Effective and Efficient Service Delivery

### Initiative 3.1 – Rent Simplification

This initiative was approved in FY2007 and implemented in FY2008. ECC/HANH's rent simplification program description can be found in Appendix 5. ECC/HANH utilizes EIV for all third party verifications. In FY2009 ECC/HANH implemented the multi-year recertification cycles with "work-able" families recertified every two years and elderly/disabled families recertified every three years.

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 All adult members (excluding live-in attendants) of the household are elderly (age 62) and/or disabled.); and Biennial cycle (every two years) for work-able households (those that don't meet the elderly/disabled definition).

**ii. Simplified Rent Tiers that incorporates deductions.** Rent tiers were built in order 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.

**iii. Exceptional expense tiers.** Households with exceptional expenses may request a rent reduction. This includes large families (more than 2 dependants). It also includes families with excessive medical, disability assistance, 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.

- 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

**iv. Minimum Rent of \$50.** ECC/HANH established a minimum rent of \$50 with the expectation that everyone pays something for their housing. There are residents who are unable to pay the minimum rent and can request a hardship. These individuals meet with ECC/HANH staff to determine the nature and length of the hardship and their rent is then modified based on information collected. In order to move these residents towards self sufficiency they are referred to the Family Self-Sufficiency program.

#### **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 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.

ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of cost effectiveness.

### Initiative 3.5 – HCV Rent Simplification/Cost Stabilization Measures

This initiative was approved and implemented FY2008 and updated in FY2014. The Authority enacted Rent Simplification measures consistent with the FY2008 MTW Plan. This initiative seeks to expand upon those streamlining measures. This initiative will replace previous Initiative 3.3 (closed-out) and will be transitioned once HCV organizational changes and caseload optimization have been completed.

This proposed activity has three components:

### **Part 1. HQS Inspections on Biennial/Triennial Schedule**

Unit inspections and rent increases will be placed on a schedule consistent with recertifications (in other words, recertifications and HQS inspections will coincide). However, Housing Choice Voucher participants and landlords can request a Special inspection, if necessary, at any point that deficiencies are suspected.

### **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.

### **Part 3. Landlord Rent Increases on Biennial/Triennial Schedule**

Landlord rent increases will only be 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 will be placed on the same schedule as HCV recertifications. Since the proposed HCV caseload optimization will change recertification dates, HQS inspection dates will change correspondingly. See Initiative 3.1 for definitions of elderly/disabled and work-able families.

ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of cost effectiveness.

## **B. Not Yet Implemented Activities**

ECC/HANH has no activities listed under Not Yet Implemented

## **C. Activities On Hold**

This section includes approved activities that have been implemented and ECC/HANH has stopped implementing but has plans to reactivate in the future.

### **Initiative 1.16 – Crawford Manor Transformation Plan**

This initiative was approved in FY2013, implemented in FY2016, and placed on hold in FY2017.

The Authority applied for the Choice Neighborhoods Initiative Planning Grant, but it was not awarded. This initiative is being placed on hold while an alternative plan and timeline is being devised. This grant would have allowed for a comprehensive approach to neighborhood transformation, including the provision of up to \$500,000 in funding to develop a transformation plan to revitalize Crawford Manor and the surrounding neighborhood. The Authority also planned to use this grant to assist with detailing a comprehensive neighborhood transformation plan. As one of the older, blighted developments in our portfolio, Crawford Manor is an ideal center focus towards initiating a transformation plan.

The transformation plan would have included not only a redevelopment of the housing units at Crawford Manor, but 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, the Board of Education and many more, the Authority anticipates to redesign 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.

## D. Closed-Out Activities

This section includes all approved activities that have been closed out, including activities that ECC/HANH does not plan to implement and obsolete activities.

### LIPH Income Targeting: Marketing Initiatives for Higher Income Eligible Families

**1. Specify the Plan Year in which the activity was first approved, implemented, and placed on hold.**

This initiative was first approved in FY2008. Due to ECC/HANH's focus on redevelopment activities, this initiative was placed on hold in FY2012 and continued to be deferred in FY2014.

Implementation of the marketing initiatives for Higher Income Eligible families began during FY09 with the development of marketing materials. Outreach will continue during FY11.

**2. Report any actions that were taken towards reactivating the activity.**

No actions were taken towards reactivating this activity in FY 2016, ECC/HANH will no longer pursue this activity.

### Initiative 1.1 - Development of Mixed Use Development at 122 Wilmot Road

**1. Specify the Plan Year in which the activity was first approved and implemented (if applicable).**

This activity was Proposed and approved in 2009 MTW Annual Plan, it was implemented in FY 2014. The development was completed and occupied in September 2013.

**2. Explain why the activities was closed out.**

ECC/HANH was directed by HUD to close out this activity.

**3. Provide the year the activity was closed out.**

This activity was closed out in FY2014.

### Initiative 1.3 - Fungibility

**1. Specify the Plan Year in which the activity was first approved and implemented (if applicable).**

Approved in FY2012 and implemented in FY2013.

**2. Explain why the activities was closed out.**

ECC/HANH was directed by HUD to eliminate in MTW reporting as it is not necessary to list as an initiative.

**3. Provide the year the activity was closed out.**

This activity was closed out in FY2013.

## **Initiative 1.13 - Creation of a Commercial Business Venture at 122 Wilmot Road**

### **1. Specify the Plan Year in which the activity was first approved and implemented (if applicable).**

Approved in FY2013.

### **2. Explain why the activities was closed out.**

HUD instructed ECC/HANH to close-out this activity. It was combined with Section V: Initiatives Requiring MTW Funding Flexibility Only, Major Redevelopment Efforts at West Rock and the description of the activity is now placed in that section of the report.

### **3. Provide the year the activity was closed out.**

This activity was closed out in FY2014.

## **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

### **1. Specify the Plan Year in which the activity was first approved and implemented (if applicable).**

This activity was approved in FY2013 and was never implemented.

### **2. Explain why the activities was closed out.**

ECC/HANH was directed by HUD to eliminate in MTW reporting. The Authority and its instrumentality, the Glendower Group, Inc., determined that this redevelopment undertaking was no longer feasible and therefore did not pursue the redevelopment efforts with the co-developer. During FY2014 ECC determined that the Redevelopment of 99 Edgewood Avenue k/n/a Dwight Gardens would not benefit ECC/HANH because the feasibility of the project needed to be expended in order to complete the redevelopment.

### **3. Provide the year the activity was closed out.**

This activity was closed out in FY2014.

## **Initiative 3.2. UPCS Inspections**

### **1. Specify the Plan Year in which the activity was first approved and implemented (if applicable).**

UPCS Inspections were approved and implemented in FY2008.

### **2. Explain why the activities was closed out.**

MTW authorization was no longer required. Since ECC/HANH implemented the initiative in FY2008, HUD subsequently permitted all PHAs to inspect on a similar schedule. It is no longer being reported on as an MTW initiative.

### **3. Provide the year the activity was closed out.**

This activity was closed out in FY2013.

## **Initiative 3.3 - Revised HQS Inspection Protocol**

### **1. Specify the Plan Year in which the activity was first approved and implemented (if applicable).**

Revised HQS Inspections: Approved and implemented in FY2011.

### **2. Explain why the activities was closed out.**

This activity will be replaced with Initiative 3.5.

**3. Provide the year the activity was closed out.**

This activity will be closed out in FY2015.

### **Initiative 3.4. Mandatory Direct Deposit for Housing Choice Voucher Landlords**

**1. Specify the Plan Year in which the activity was first approved and implemented (if applicable).**

Mandatory direct deposit for Housing Choice Voucher landlords was approved and implemented in FY2010.

**2. Explain why the activities was closed out.**

This activity was closed since it does not require MTW flexibility as it is covered by general operational flexibility provided to all PHAs. Although the activity continued in FY2014 and will in the future, it will no longer be reported on as an MTW initiative.

**3. Provide the year the activity was closed out.**

This activity was closed out in FY2014.

## **V. Sources and Uses of Funds**

### **Estimated Sources of MTW Funding for the Fiscal Year**

PHAs shall provide the estimated sources and amounts of MTW funding by FDS line item.

#### **Sources**

<b>FDS Line Item</b>	<b>FDS Line Item Name</b>	<b>Dollar Amount</b>
70500 (70300+70400)	Total Tenant Revenue	\$3,071,000
70600	HUD PHA Operating Grants	\$82,112,000
70610	Capital Grants	\$4,756,000
70700 (70710+70720+70730+70740+70750)	Total Fee Revenue	\$1,495,000
71100+72000	Interest Income	\$4,000
71600	Gain or Loss on Sale of Capital Assets	\$ -
71200+71300+71310+71400+71500	Other Income	\$272,000
70000	Total Revenue	\$91,710,000

**Estimated Uses of MTW Funding for the Fiscal Year**

**PHAs shall provide the estimated uses and amounts of MTW spending by FDS line item.**

<b>Uses</b>		
<b>FDS Line Item</b>	<b>FDS Line Item Name</b>	<b>Dollar Amount</b>
91000 (91100+91200+91400+91500+91600+91700+91800+91900)	Total Operating - Administrative	\$ 11,358,000.00
91300+91310+92000	Management Fee Expense	\$ 2,310,000.00
91810	Allocated Overhead	\$ -
92500 (92100+92200+92300+92400)	Total Tenant Services	\$ 2,590,000.00
93000 (93100+93600+93200+93300+93400+93800)	Total Utilities	\$ 3,524,000.00
93500+93700	Labor	\$ -
94000 (94100+94200+94300+94500)	Total Ordinary Maintenance	\$ 6,670,000.00
95000 (95100+95200+95300+95500)	Total Protective Services	\$ 1,071,000.00
96100 (96110+96120+96130+96140)	Total insurance Premiums	\$ 1,080,000.00
96000 (96200+96210+96300+96400+96500+96600+96800)	Total Other General Expenses	\$ 1,561,000.00
96700 (96710+96720+96730)	Total Interest Expense and Amortization Cost	\$ -
97100+97200	Total Extraordinary Maintenance	\$ 48,000.00
97300+97350	Housing Assistance Payments + HAP Portability-In	\$ 55,942,000.00
97400	Depreciation Expense	\$ 6,916,000.00
97500+97600+97700+97800	All Other Expenses	\$ 300,000.00
<b>90000</b>	<b>Total Expenses</b>	<b>\$ 93,370,000.00</b>

### Describe the Activities that Will Use 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, Resident Owned Business program and the Prison/Community Reentry Program as well as the Resident Services for Elderly/Disabled. MTW Single Fund Flexibility is under Section (V).

### B. MTW Plan: Local Asset Management Plan

Is the PHA allocating costs within statute?

<input type="checkbox"/>	or	<input checked="" type="checkbox"/> NO
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Is the PHA implementing a local asset management plan (LAMP)?

<input checked="" type="checkbox"/> Yes	or	<input type="checkbox"/>
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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. The narrative 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?

<input checked="" type="checkbox"/> Yes	or	<input type="checkbox"/>
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The management fee for each project was changes from \$75.08 to \$78.78. The plan also as excess operating reserves to fund COCC costs. Please refer to Appendix 2 for ECC/HANH's Local Asset Management Plan.

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

	FY 2018 Project Total	MTW	ROSS	CED Escrow for RAD	Escrow Accounts	Other	RAD Operating Budget
<b>Community, Economic and Development</b>							
Tenant Services Salaries & Benefits	\$ 1,549,215.00	\$ 1,049,440.00	\$181,000.00				\$ 318,775.00
SEHOP Capital Improvement	\$ 50,000.00	\$ 50,000.00					
Parent Organizer	\$ 75,000.00	\$ 25,000.00				\$ 50,000.00	
CARES	\$ 250,000.00	\$ 250,000.00					
McQueeney	\$ 50,765.00	\$ 45,315.00					\$ 5,450.00
Crawford	\$ 20,000.00	\$ 14,550.00					\$ 5,450.00
Ruoppolo & Fairmont	\$ 44,000.00	\$ 44,000.00					
Robert T. Wolfe	\$ 57,000.00	\$ 57,000.00					
William R. Rowe	\$ 15,000.00	\$ 15,000.00					
Winslow-Celentano	\$ 15,000.00	\$ 15,000.00					
Westville Manor	\$ 125,000.00	\$ 125,000.00					
McConaughy Terrace	\$ 50,000.00	\$ 50,000.00					
Valley & Waverly Townhouses	\$ 15,000.00	\$ 15,000.00					
Katherine Harvey Terrace	\$ 4,000.00	\$ 1,475.00					\$ 2,525.00
Newhall Gardens	\$ 6,000.00	\$ 3,475.00					\$ 2,525.00
Prescott Bush	\$ 12,000.00	\$ 9,475.00					\$ 2,525.00
Constance Baker Motley	\$ 10,000.00	\$ 7,475.00					\$ 2,525.00
Farnam Courts	\$ 15,000.00	\$ 15,000.00					
Essex Townhouses	\$ 7,000.00	\$ 4,275.00					\$ 2,725.00
Scattered Sites	\$ 40,000.00	\$ 37,275.00					\$ 2,725.00
Quinnipiac Terrace	\$ 25,000.00				\$ 25,000.00		
Miscellaneous	\$ 500,000.00	\$ 100,000.00		\$ 400,000.00			
<b>Total CED</b>	<b>\$ 2,934,980.00</b>	<b>\$ 1,933,755.00</b>	<b>\$181,000.00</b>	<b>\$ 400,000.00</b>	<b>\$ 25,000.00</b>	<b>\$ 50,000.00</b>	<b>\$ 345,225.00</b>



Modernization Costs					
Description	Total Planned During FY	Source CFP	Source MTW	Source RHF	Total Estimated Project Costs
Agency Wide Vacancy Reduction	\$ 200,000.00	\$ 50,000.00	\$ 150,000.00	\$ -	\$ 200,000.00
Crawford Boiler/Heating System Upgrades in Phases	\$ 100,000.00	\$ 100,000.00	\$ -	\$ -	\$ 1,691,900.00
Crawford Bathroom Upgrades-Grab Bars in Phases	\$ 50,000.00	\$ 50,000.00	\$ -	\$ -	\$ 2,500,000.00
McConaughy Sewer Replacement in Phases	\$ 50,000.00	\$ 50,000.00		\$ -	\$ 2,000,000.00
McConaughy Furnace & Hot Water Heater Replacement in Phases	\$ 100,000.00	\$ 100,000.00	\$ -	\$ -	\$ 2,175,000.00
AMP Environmental Remediation	\$ 100,000.00	\$ -	\$ 100,000.00	\$ -	\$ 100,000.00
IOC A&E	\$ 100,000.00	\$ 100,000.00	\$ -	\$ -	\$ 100,000.00
IOC Environmental	\$ 100,000.00	\$ 100,000.00	\$ -	\$ -	\$ 100,000.00
Administration Salaries-Benefits (CFP only)	\$ 200,000.00	\$ 200,000.00	\$ -	\$ -	\$ 200,000.00
Total	\$ 1,000,000.00	\$ 750,000.00	\$ 250,000.00	\$ -	\$ 9,066,900.00

# Development Costs

## Glendower Group

	FY 2018 Project Total	Capital Grants	MTW	DECD	Developer Fees	Other	Tax Credit Equity	DOH	Bank Loan	Est Total Project Cost
<i>Development</i>										
Eastview Terrace I RAD	\$100,000		\$100,000							\$100,000
Wimot Road RAD	\$100,000		\$100,000							\$100,000
Farnam Courts Phase II- RAD	\$53,381,755		\$8,569,200			\$7,142,600	\$16,717,180	\$6,500,000	\$14,452,775	\$53,381,755
Farnam Courts Phase I- RAD	\$31,611,552		\$7,164,000			\$12,000,029	\$11,660,130	\$5,000,000	\$7,787,422	\$31,611,552
Valley Townhouses RAD	\$100,000									\$14,113,659
Waverly Townhouses RAD	\$9,196,504		\$1,005,000				\$3,250,000		\$4,941,504	\$9,196,504
Constance Baker Motley RAD	\$10,636,572	\$1,000,000	\$2,475,785				\$5,231,893		\$1,928,894	\$10,636,572
Chamberlain Courts RAD	\$957,460		\$107,460						\$850,000	\$957,460
Fulton Park RAD	\$2,361,240		\$950,000						\$1,411,240	\$2,361,240
Katherine Harvey Terrace RAD	\$2,697,053		\$1,027,420				\$871,045		\$798,588	\$2,697,053
Newhall Gardens RAD	\$4,314,638		\$1,509,910				\$1,719,035		\$1,085,693	\$4,314,638
Prescott Bush RAD	\$5,597,848		\$1,100,750				\$3,343,782		\$1,153,316	\$5,597,848
Robert T. Wolfe RAD	\$11,763,337	\$1,000,000	\$1,182,993				\$6,270,818		\$3,309,526	\$11,763,337
Winslow-Celentano RAD	\$8,776,073	\$100,000	\$3,023,163				\$2,419,300		\$3,233,610	\$8,776,073
Matthew Ruoppolo Manor RAD	\$13,086,651		\$2,466,151				\$6,520,500		\$4,100,000	\$13,086,651
Fairmont Heights RAD	\$11,671,276		\$1,028,000				\$5,776,380		\$4,866,896	\$11,671,276
McQueeney Towers RAD	\$18,472,149	\$1,000,000	\$1,316,688				\$10,098,141		\$6,057,320	\$18,472,149
Westville Manor- RAD	\$100,000		\$100,000							TBD
Rockview Phase II	\$100,000		\$100,000							\$30,773,840
Rockview Community Center	\$100,000		\$100,000							\$100,000
Brookside 1 Rental CFFP Bond	\$906,138	\$906,138								\$906,138
GAP Financing	\$1,500,000		\$1,500,000							\$1,500,000
Commercial space										
<b>Total Development Projects</b>	<b>\$187,530,246</b>	<b>\$4,006,138</b>	<b>\$34,926,520</b>	<b>\$0</b>	<b>\$0</b>	<b>\$7,142,600</b>	<b>\$73,878,204</b>	<b>\$11,500,000</b>	<b>\$55,976,784</b>	<b>\$232,117,745</b>

## Initiatives Requiring MTW Funding Flexibility Only

### Project Modernization

During FY2018, ECC/HANH is continuing to address hazardous material remediation and return of long term vacancies to occupancy, as well as, making modifications to office and common space areas for increased efficiency and improved client service.

- ECC/HANH is continuing with agency wide UFAS compliance, agency wide vacancy reduction efforts and performing environmental remediation work where needed. ECC/HANH intends to complete Crawford Manor HVAC in unit heating in phases, Crawford Manor bathroom upgrades with grab bars in phases, McQueeney interior & exterior upgrades including windows, kitchens & bathroom renovations in phases, etc. (under RAD conversion) or RAD conversion costs for any of the RAD portfolio developments, McConaughy Terrace storm and sanitary sewers in phases, McConaughy Terrace furnace & hot water heater replacement in phases, Winslow-Celentano interior & exterior upgrades including compactors, building-site lighting, radiators, etc. (under RAD conversion) or RAD conversion costs for any of the RAD portfolio developments, Architectural and Engineering services for multiple projects, Environmental consulting services for multiple projects, Brookside bond debt service and Administration salaries-benefits (CFP only).

### Vacancy Reduction

Implemented in FY2008.

ECC/HANH will continue to show improvement from the baseline FY2008 vacancy rate of 10%. Efforts will continue in FY2018. ECC/HANH currently uses the funding flexibility to perform more unit turn over to maintain an Occupancy percentage of 96%. The Agency has set a standard of unit turns by bedroom size. Typically a 0 or 1 bedroom unit turn should occur within a 5 week period. A larger 3-5 bedroom unit may take several weeks particularly if hazardous materials (asbestos/lead) have been found in the unit. Funding allows the Agency to bulk, abate hazardous materials, renovate the unit and manage all administrative functions supporting vacancy reduction.

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

Approved in ECC/HANH received approval of HUD to dispose of the Brookside property in FY2010. ECC/HANH requested approval of disposal of Rockview in FY2012. Per HUD direction, Initiative 1.13 was folded into this Section V description since only single fund flexibility was required.

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.

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, improved essential services to residents and improve the quality of the surrounding neighborhood and integrate it more fully into the surrounding city.

In FY2014, Initiative 1.13 – Creation of a Commercial Business Venture at 122 Wilmont Road has been combined into this initiative. The following few 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. The 122 Wilmot Road is a part of the West Rock Redevelopment efforts of ECC/HANH. The mixed-use facility will provide for 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 FY2013, 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 FY2014 ECC/HANH/Glendower continued to outreach to the community for businesses that would be interested in being housed in the Crossings at Wilmont Road and started to explore the feasibility of a cooperative venture being housed in the facility.

In FY2015, ECC/HANH/Glendower closed on the redevelopment of Ribicoff Cottages and Ribicoff Cottages Extension.

The Authority successfully completed Brookside Phase 1, Brookside Phase 2, Rockview Phase 1, and Brookside Homeownership. The Authority closed on the Ribicoff 4% and Ribicoff 9% development deals. Ribicoff 9% will be occupied by December 2015 and Ribicoff 4% will be occupied in the spring of 2016. The Rockview Phase II development will be an off-site component of the Westville Manor redevelopment. The Authority applied for a 9% tax credit application in November 2016 with a closing planned for Fall of 2018. This redevelopment effort will also include the redevelopment of the community center.

The following table shows which MTW initiative was utilized in each redeveloped property.

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%	Febraury 2015	April 2016	x	x
Westville Manor	Under Design	Not Applicable	x	x

## Resident Owned Business Development

This initiative was approved and implemented in FY2009.

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 Resident Owned Businesses once a week.
- Provide quarterly training workshops for participants that will assist Resident Owned Businesses 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 plans 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 is; 1) only ECC/HANH Resident Owned Business Concerns may apply for the revolving loans; and 2) the business' Principal must commit to enrolling into ECC/HANH's Family Self Sufficient Program ("FSS"). FSS has been designed to work specifically with participants on basic personal financial capability skills such as workshops on credit, basics of banking, budgeting, saving, and insurance. Loan applications are reviewed by an ECC/HANH loan committee. Loan repayments are scheduled over a 12 month period. A total of \$250,000 in MTW flexible funds are dedicated to the Revolving Loan Fund.

The ROBs are based on resident areas of interest and have included services in the construction trades, food truck operation, child care, transportation, and consulting areas.

## SEHOP Capital Improvement Program

ECC/HANH launched the SEHOP (Section Eight Homeownership Program) Capital Improvement Program in FY2010.

This program supports new homeowners with necessary capital improvements that arise after being in the home for a minimum of three years.

## Prison/Community Reentry

This initiative was approved in FY2009 and implemented in FY2010.

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.

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

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, the housing authority 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 now at 16 housing units.

## **Resident Services for Elderly/Disabled**

This initiative was approved and implemented in FY2005.

ECC/HANH offers a full array of self sufficiency initiatives that require flexibility in the use of ECC/HANH's dollars 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 of our Elderly and Disabled buildings. MTW money is used to fund contractual costs for intensive case management services at these developments.

Resident Services Coordinators, paid for through ROSS Grants, assess elderly residents identifying services that will improve the quality of their lives and allow them to continue to live independently. These services consist of, acquisition of a live-in aide, home health Aid services, Home nursing services, to name a few.

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 substance abuse addiction. ECC/HANH offers mentoring, training and housing, which includes supportive housing services, for individuals that qualify for this program.

ECC/HANH's Elderly Disable 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 into 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.

## **Creation of new instrumentality entities to support ECC-HANH goals and strategic planning activities**

This initiative was approved in FY2017. 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.

ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objectives of cost effectiveness, increasing family self-sufficiency, and increasing housing choice.

## Fulton Park Modernization

This initiative was approved in FY2011, placed on hold in FY2012, and was reactivated in FY2016. This development is included in the RAD conversion for FY2016. The Authority completed a RPCA and submitted a RAD application on 10.9.2015 for the rehabilitation of Fulton Park. The Authority received RAD approval in spring of 2016 and is in the process of converting. ECC/HANH does not anticipate any changes to the initiative or metrics, and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing cost effectiveness and increasing housing choice.

### Following activities that only required MTW funding flexibility have been closed:

#### Cap on Project-Based Units in a Project

**1. Specify the Plan Year in which the activity was first approved and implemented (if applicable).**

Cap on Project-Based Units in a Project was implemented FY2010. This initiative was closed out in FY2012 and reported as closed in the MTW 2012 Report.

**2. Provide the year the activity was closed out.**

This activity closed out in FY2012 and was replaced by the initiative "Increase the Allowed Percentage of Project Based Units under Section 18 of the Housing Act of 1937 from 75 percent to 100 percent".

**3. In the year the activity was closed out provide the following:**

Subsequent approvals of the initiative "Increase the Allowed Percentage of Project Based Units under Section 18 of the Housing Act of 1937 from 75 percent to 100 percent" have made this initiative unnecessary. See Initiative 1.9 - Increase Cap on PBV units from 75 percent to 100 percent, the analysis of which is reported in this document in the Redevelopment section. No further analysis will be developed in this section.

**i. Discuss the final outcome and lessons learned.**

n/a

**ii. Describe any statutory exceptions outside of the current MTW flexibilities that might have provided additional benefit for this activity.**

None identified.

**iii. Provide a summary table, listing outcomes from each year of the activity (since the execution of the Standard MTW Agreement).**

n/a

**iv. Provide a narrative for additional explanations about outcomes reported in the summary table.**

n/a

## VI. Administrative

Board Resolution – Approving ECC/HANH's MTW Annual Plan Amendment for FY2018  
March 20, 2018















Housing Authority of the City of New Haven/Elm City Communities  
Public Hearing: FY 2018 MTW Plan  
Wednesday, February 28, 2018 @ 4:00 P.M.  
360 Orange Street, New Haven, CT 05511

Those present included:

Leasley Negron, ECC  
Maza Rey, ECC  
Catherine Hawthorne, ECC  
Frank Emery, ECC

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

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

This public hearing is for the first amendment to the Elm City Communities, Housing Authority of the City of New Haven's IECC/HANH's) 2018 Moving to Work Plan.

Section V(B) of the Authority's Moving to Work Agreement requires that before the Agency can file an amendment to the Annual Moving to Work Plan with the U.S. Department of Housing and Urban Development (the "HUD"), it must conduct a public hearing, consider comments from the public on the proposed amendments, and obtain approval from the Board of Commissioners.

Pursuant to said Section, a public hearing is scheduled for Wednesday, February 28, 2018 at 4:00 PM, in the 3rd floor Board of Commissioners Conference Room located at 360 Orange Street, New Haven, CT 06511.

A copy of the plan will be made available for review starting Monday, January 29, 2018 on the Authority's website at [www.elmcitcommunities.com](http://www.elmcitcommunities.com) and will be available for pick up 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 2018 Plan Amendment, Attn: Maza Rey, P.O. Box L972, 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 498-8800 extension 1507 or at the TDD Number 497-8434.

At 4:02 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. Negron thanked the participants and the public hearing was adjourned at 4:15 p.m.

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

ECC/HANH is subject to no outstanding compliance issues related to prior Voluntary Compliance Agreements.

ECC/HANH has submitted a corrective action plan to HUD with regard to the collection of Tenant Accounts Receivables. This was submitted on May 2, 2016.

**Documentation of Public Hearing and Public comment Period**

Elm City Communities/Housing Authority of the City of New Haven

**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.

# Annual Statement/Performance and Evaluation Report

Annual Statement/Performance and Evaluation Report Capital Fund Program, Capital Fund Program Replacement Housing Factor and Capital Fund Financing Program		U.S. Department of Housing and Urban Development Office of Public and Indian Housing OMB No. 2577-0226 Expires 06/30/2017			
<b>Part I: Summary</b>					
PHA Name: Housing Authority of the City of New Haven		Grant Type and Number Capital Fund Program Grant No: CT26P00450114 Replacement Housing Factor Grant No: Date of CFFP:			
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input checked="" type="checkbox"/> Reserve for Disasters/Emergencies <input checked="" type="checkbox"/> Revised Annual Statement (revision no. 1) <input type="checkbox"/> Final Performance and Evaluation Report			
Line	Summary by Development Account	Original	Revised <sup>2</sup> 1	Obligated	Total Actual Cost <sup>3</sup> Expended
1	Total non-CFFP Funds				
2	1406 Operations (may not exceed 20% of line 21) *				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration	\$3,116,308.00	\$3,116,308.00		
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.



Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 06/30/2017

**Part I: Summary**

<b>PHA Name:</b> Housing Authority of the City of New Haven	<b>Grant Type and Number</b> Capital Fund Program Grant No: CT26P00450114 Replacement Housing Factor Grant No: Date of CFFP: 	<b>FFY of Grant:</b> 2014 <b>FFY of Grant Approval:</b> 2014
----------------------------------------------------------------------	-------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------

**Type of Grant**  
☐ Original Annual Statement      ☐ Reserve for Disasters/Emergencies      ☒ Revised Annual Statement (revision no: 1 )  
☐ Performance and Evaluation Report for Period Ending:   
☐ Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Debt Obligation				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 - 19)	\$3,116,308.00	\$3,116,308.00		
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

<b>Signature of Executive Director</b> Karen DuBois-Walton, Ph.D.	<b>Date</b> 	<b>Signature of Public Housing Director</b> 	<b>Date</b> 
----------------------------------------------------------------------	-----------------	-------------------------------------------------	-----------------

<sup>1</sup> To be completed for the Performance and Evaluation Report  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.



Part II: Supporting Pages								
PHA Name: Housing Authority of the City of New Haven			Grant Type and Number Capital Fund Program Grant No: CT26P00450114 CFFP (Yes/No): <input type="checkbox"/> Replacement Housing Factor Grant No: <input type="checkbox"/>			Federal FFY of Grant: 2014		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised <sup>1</sup> #1	Funds Obligated <sup>2</sup>	Funds Expended <sup>2</sup>	
Agencywide	Administration	1492	<input type="checkbox"/>	311,630.00	311,630.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agencywide	GPNA/PNA	1492	<input type="checkbox"/>	408,000.00	143,480.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agencywide	IQC A&E/IQC environmental	1492	<input type="checkbox"/>	146,678.00	275,139.81	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agencywide	Vacancy turnover, including abatement	1492	Approx 7 units	350,000.000	315,930.39	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000005 Waverly	Roofs/siding	1492	52 units	250,000.00	0	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000005 Waverly	Interior repairs	1492	12 units	125,000.00	0	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000004 McConaughy	A&E sewers	1492	201 units	200,000.00	0	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000004 McConaughy	Furnaces & hot water heaters	1492	60 units	600,000.00	0	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000011 McQueeney	Kitchens, baths, interiors upgrade	1492	14 units	375,000.00	731,255.68	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000015 Fairmont	Elevators	1492	98 units	350,000.00	0	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000009 Motley	HVAC riser upgrades	1492	15 units	0	534,559.12	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000014 Farnam	Exterior fire stairs	1492	38 units	0	31,913.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000008 Bush	Sanitary sewer line repair	1492	20 units	0	192,400.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000012 Winslow-Celentano	Boilers & heating system upgrades (in phases)	1492	65 units	0	580,000.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<sup>1</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

<sup>2</sup> To be completed for the Performance and Evaluation Report.

Annual Statement/Performance and Evaluation Report  
Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
OMB No. 2577-0226  
Expires 06/30/2017

**Part III: Implementation Schedule for Capital Fund Financing Program**

PHA Name: Housing Authority of the City of New Haven

Federal FFY of Grant: 2014

Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>1</sup>
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
Agencywide	05-12-2016		05-12-2018		
Agencywide	05-12-2016		05-12-2018		
Agencywide	05-12-2016		05-12-2018		
Agencywide	05-12-2016		05-12-2018		
CT004000005 Waverly	05-12-2016		05-12-2018		
CT004000005 Waverly	05-12-2016		05-12-2018		
CT004000004 McConaughy	05-12-2016		05-12-2018		
CT004000004 McConaughy	05-12-2016		05-12-2018		
CT004000011 McQueeney	05-12-2016		05-12-2018		
CT004000015 Fairmont	05-12-2016		05-12-2018		
CT004000009 Motley	05-12-2016		05-12-2018		
CT004000014 Farnam	05-12-2016		05-12-2018		
CT004000008 Bush	05-12-2016		05-12-2018		
CT004000012 Wmslow- Celentano	05-12-2016		05-12-2018		

<sup>1</sup> Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 06/30/2017



**Part I: Summary**

<b>PHA Name:</b> Housing Authority of the City of New Haven	<b>Grant Type and Number</b> Capital Fund Program Grant No: CT26P00450116 Replacement Housing Factor Grant No: Date of CFFP: 	<b>FFY of Grant:</b> 2016 <b>FFY of Grant Approval:</b> 2016
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**Type of Grant**

☐ Original Annual Statement ☐ Reserve for Disasters/Emergencies ☒ Revised Annual Statement (revision no 1 )  
☐ Performance and Evaluation Report for Period Ending:   
☐ Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup> #1	Obligated	Expended
1	Total non-CFF Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>4</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration	\$3,035,362.50	\$2,800,133.50		
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report

<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

<sup>3</sup> PHAs with under 250 units in management may use 100% of CFF Grants for operations.

<sup>4</sup> RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 06/30/2017

**Part I: Summary**

<b>PHA Name:</b> Housing Authority of the City of New Haven	<b>Grant Type and Number</b> Capital Fund Program Grant No: CT26P00450116 Replacement Housing Factor Grant No: Date of CFFP:	<b>FFY of Grant:</b> 2016 <b>FFY of Grant Approval:</b> 2016			
<b>Type of Grant</b> <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input checked="" type="checkbox"/> Revised Annual Statement (revision no: 1 ) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
<b>Line</b>	<b>Summary by Development Account</b>	<b>Total Estimated Cost</b>		<b>Total Actual Cost <sup>1</sup></b>	
		<b>Original</b>	<b>Revised #1<sup>2</sup></b>	<b>Obligated</b>	<b>Expended</b>
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Debt Obligation	\$670,908.50	\$906,137.50		
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 - 19)	\$3,706,271.00	\$3,706,271.00		
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
<b>Signature of Executive Director</b> Karen DuBois-Walton, Ph.D.		<b>Date</b>	<b>Signature of Public Housing Director</b>		<b>Date</b>

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Housing Authority of the City of New Haven		Grant Type and Number Capital Fund Program Grant No: CT26P00450116 CFFP (Yes/No): <input type="checkbox"/> Replacement Housing Factor Grant No: <input type="checkbox"/>			Federal FFY of Grant: 2016			
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised <sup>1</sup>	Funds Obligated <sup>2</sup>	Funds Expended <sup>2</sup>	
Agencywide	Administration	1492		370,627.00	370,627.00			
Agencywide	IQC A&E/IQC environmental	1492		221,585.50	364,619.50			
Agencywide	Vacancy turnovers	1492	Approx 2 units	50,000.00	50,000.00			
CT004000010 Crawford	Boiler replacement & heating system upgrades (continuation)	1492	109 units	1,743,150.00	493,512.00			
CT004000010 Crawford	Bathroom upgrades-grab bars (in phases)	1492		0	50,000.00			
CT004000004 McConaughy	Furnaces & hot water heaters (in phases)	1492	Approx 40 units	0	500,000.00			
CT004000004 McConaughy	Sewerline replacement (in phases)	1492		650,000.00	50,000.00			
CT004000011 McQueeney	Interior & exterior renovations, including windows, kitchen & bathroom upgrades, etc., in phases (under RAD)*	1492		0	921,375.00			
CT004000076 Brookside Phase 1 Rental	Bond debt obligation	9001		670,908.50	906,137.50			
*or RAD conversion costs for any of the RAD portfolio developments								

<sup>1</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.<sup>2</sup> To be completed for the Performance and Evaluation Report.



Part III: Implementation Schedule for Capital Fund Financing Program					
PHA Name: Housing Authority of the City of New Haven				Federal FFY of Grant: 2016	
Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>1</sup>
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
Agencywide	04-12-2018		04-12-2020		
Agencywide	04-12-2018		04-12-2020		
Agencywide	04-12-2018		04-12-2020		
CT004000010 Crawford	04-12-2018		04-12-2020		
CT004000010 Crawford	04-12-2018		04-12-2020		
ICT004000004 McConaughy	04-12-2018		04-12-2020		
CT004000004 McConaughy	04-12-2018		04-12-2020		
CT004000011 McQueeney	04-12-2018		04-12-2020		
CT004000076 Brookside Phase I Rental	04-12-2018		04-12-2020		

<sup>1</sup> Obligation and expenditure end dates can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.



Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
OMB No. 2577-0226  
Expires 08/30/2011



Part I: Summary						
PHA Name/Number		New Haven		Locality		New Haven, CT
				Original 5-Year Plan		Revision No:
CT004						
A.	Development Number and Name	Work Statement for Year 1 FFY 2017	Work Statement for Year 2 FFY 2018	Work Statement for Year 3 FFY 2019	Work Statement for Year 4 FFY 2020	Work Statement for Year 5 FFY 2021
B.	Physical Improvements Subtotal	Annual Statement	\$985,254	\$844,936	\$999,817.50	\$1,023,342.50
C.	Management Improvements					
D.	PHA-Wide Non-dwelling Structures and Equipment					
E.	Administration		\$219,229	\$196,126	\$181,956	\$181,956
F.	Other (Fees & Costs)		\$125,208	\$125,000	\$125,000	\$100,000
G.	Operations					
H.	Demolition					
I.	Development					
J.	Capital Fund Financing – Debt Service		\$862,600	\$795,200	\$512,787.50	\$514,262.50
K.	Total CFP Funds		\$2,192,291	\$1,961,262	\$1,819,561	\$1,819,561
L.	Total Non-CFP Funds					
M.	Grand Total		\$2,192,291	\$1,961,262	\$1,819,561	\$1,819,561



**Part I: Summary (Continuation)**

PHA Name/Number New Haven/CT004		Locality New Haven, CT		Original 5-Year Plan		Revision No:
Development Number and Name	Work Statement for FFY 2018	Work Statement for Year 2 FFY 2018	Work Statement for Year 3 FFY 2019	Work Statement for Year 4 FFY 2020	Work Statement for Year 5 FFY 2021	
	Year 1 FFY 2017					
	Annual Statement					
1 Administration	\$219,229	\$196,126	\$181,956	\$181,956		
2 Agencywide A&E/environmental	\$125,208	\$125,000	\$125,000	\$100,000		
3 Agencywide	\$200,754	\$115,136	\$250,000	\$200,000		
4 CT004000004 McConaughy	\$384,500	\$375,000	\$374,817.50	\$225,000		
5 CT004000010 Crawford	\$400,000	\$354,800	\$375,000	\$375,000		
6 CT004000021/CT004000022/CT004000023 Scattered Sites Multi/West/East				\$223,342.50		
7 CT004000076 Brookside Phase 1 Rental	\$862,600	\$795,200	\$512,787.50	\$514,262.50		
Total	\$2,192,291	\$1,961,262	\$1,819,561	\$1,819,561		



### Part II: Supporting Pages – Physical Needs Work Statement(s)

Work Statement for Year 1 FFY 2017	Work Statement for Year FFY 2018			Work Statement for Year: FFY 2019		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	Administration		\$219,229	Administration		\$196,126
Annual	Agencywide IQC A&E/environmental		\$125,208	Agencywide IQC A&E/environmental		\$125,000
Statement	Agencywide vacancy turnover	Approx 10 units	\$200,754	Agencywide vacancy turnover	Approx 8 units	\$115,136
	CT004000010 Crawford interior upgrades	Approx 16 units	\$400,000	CT004000010 Crawford interior upgradess	Approx 14 units	\$354,800
	CT004000004 McConaughy interior upgrades, including furnaces-hot water heaters in phases	Approx 13 units	\$384,500	CT004000004 McConaughy sewers	Approx 40 units	\$375,000
	CT004000076 Brookside Phase I Rental bond debt		\$862,600	CT004000076 Brookside Phase I Rental bond debt		\$795,200
						\$1,961,262
	<b>Subtotal of Estimated Cost</b>		\$2,192,291	<b>Subtotal of Estimated Cost</b>		

**Part II: Supporting Pages – Physical Needs Work Statement(s)**

Work Statement for Year 1 FFY 2017	Work Statement for Year			Work Statement for Year:		
	FFY 2020			FFY 2021		
	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name General Description of Major Work Categories	Quantity	Estimated Cost
See	Administration		\$181,956	Administration		\$181,956
Annual	Agencywide IQC A&E/environmental		\$125,000	Agencywide IQC A&E/environmental		\$100,000
Statement	Agencywide vacancy turnover	Approx 12 units	\$250,000	CT004000010 Crawford interior upgrades	Approx 15 units	\$375,000
	CT004000010 Crawford interior upgrades	Approx 15 units	\$375,000	Agencywide vacancy turnover	Approx 10 units	\$200,000
	CT004000004 McConaughy interior upgrades, including furnaces-hot water heaters in phases	Approx 12 units	\$374,817.50	CT004000004 McConaughy interior upgrades, including furnaces-hot water heaters in phases	Approx 8 units	\$225,000
				CT004000021/CT004000022/CT004000023	Approx 7 units	\$223,342.50
				Scattered sites multi/West/East interior & exterior upgrades		
	CT004000076 Brookside Phase 1 Rental bond debt		\$512,787.50	CT004000076 Brookside Phase 1 Rental bond debt		\$514,262.50
						\$1,819,561
	Subtotal of Estimated Cost		\$1,819,561	Subtotal of Estimated Cost		



### Part III: Supporting Pages – Management Needs Work Statement(s)

Work Statement for Year 1 FFY 2017	Work Statement for Year		Work Statement for Year:	
	FFY 2018		FFY 2019	
	Development Number/Name General Description of Major Work Categories	Estimated Cost	Development Number/Name General Description of Major Work Categories	Estimated Cost
See Annual Statement	None	\$0	None	\$0
Subtotal of Estimated Cost		\$0	Subtotal of Estimated Cost \$0	

Work Statement for Year 1 FFY 2017	Work Statement for Year		Work Statement for Year:	
	FFY 2020		FFY 2021	
	Development Number/Name General Description of Major Work Categories	Estimated Cost	Development Number/Name General Description of Major Work Categories	Estimated Cost
See	None	\$0	None	\$0
Annual				
Statement				
Subtotal of Estimated Cost		\$0	Subtotal of Estimated Cost \$0	

**Part I: Summary**

PHA Name: Housing Authority of the City of New Haven	Grant Type and Number Capital Fund Program Grant No: CT26P00450117 Replacement Housing Factor Grant No: Date of CFFP: 	FFY of Grant: 2017 FFY of Grant Approval: 2017
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**Type of Grant**

☒ Original Annual Statement      ☐ Reserve for Disasters/Emergencies      ☐ Revised Annual Statement (revision no )  
☐ Performance and Evaluation Report for Period Ending:   
☐ Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.I Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration	\$2,899,252.25			
16	1495.I Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.

<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.

<sup>4</sup> RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report  
Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
OMB No. 2577-0226  
Expires 06/30/2017

**Part I: Summary**

<b>PHA Name:</b> Housing Authority of the City of New Haven	<b>Grant Type and Number</b> Capital Fund Program Grant No: CT26P00450117 Replacement Housing Factor Grant No: Date of CFFP: 	<b>FFY of Grant:</b> 2017 <b>FFY of Grant Approval:</b> 2017
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<b>Type of Grant</b> <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 	<input type="checkbox"/> Reserve for Disasters/Emergencies 	<input type="checkbox"/> Revised Annual Statement (revision no: ) <input type="checkbox"/> Final Performance and Evaluation Report
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Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Debt Obligation	\$807,018.75			
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$3,706,271.00			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

<b>Signature of Executive Director</b> Karen DuBois-Walton, Ph.D.	<b>Date</b> 	<b>Signature of Public Housing Director</b> 	<b>Date</b> 
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<sup>1</sup> To be completed for the Performance and Evaluation Report  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.



Part II: Supporting Pages								
PHA Name: Housing Authority of the City of New Haven			Grant Type and Number Capital Fund Program Grant No: CT26P00450117 CFFP (Yes/No): <input type="checkbox"/> Replacement Housing Factor Grant No: <input type="checkbox"/>			Federal FFY of Grant: 2017		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised <sup>1</sup>	Funds Obligated <sup>2</sup>	Funds Expended <sup>2</sup>	
Agencywide	Administration	1492		370,627.00				
CT004000012 Winslow-Celentano	Interior & exterior upgrades including compactors; bldg & site lighting; radiators, etc. under RAD conversion*	1492	65 units	350,000.00				
CT004000011 McQueeney	Interior & exterior upgrades including windows; kitchen & bathroom renovations in phases, etc. under RAD conversion*	1492	150 units	2,178,625.25				
CT004000076 Brookside Phase 1 Rental	Bond debt obligation	9001		807,018.75				
*or RAD conversion costs for any of the RAD portfolio developments								

<sup>1</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

<sup>2</sup> To be completed for the Performance and Evaluation Report.



<sup>1</sup> Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 06/30/2017

**Part I: Summary**

PHA Name: Housing Authority of the City of New Haven	Grant Type and Number Capital Fund Program Grant No: CT26P00450115 Replacement Housing Factor Grant No: Date of CFFP: 	FFY of Grant: 2015 FFY of Grant Approval: 2015
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Type of Grant  
☐ Original Annual Statement ☐ Reserve for Disasters/Emergencies ☒ Revised Annual Statement (revision no 2 )  
☐ Performance and Evaluation Report for Period Ending: ☐ Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original (Rev #1)	Revised <sup>2</sup> 2	Obligated	Expended
1	Total non-CFFP Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>4</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration	\$2,967,921.50	\$3,203,150.50		
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report

<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

<sup>3</sup> PHAs with under 250 units in management may use 100% of CFFP Grants for operations.

<sup>4</sup> RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 06/30/2017

**Part I: Summary**

<b>PHA Name:</b> Housing Authority of the City of New Haven	<b>Grant Type and Number</b> Capital Fund Program Grant No: CT26P00450115 Replacement Housing Factor Grant No: Date of CFFP:	<b>FFY of Grant:</b> 2015 <b>FFY of Grant Approval:</b> 2015
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☐ **Type of Grant**  
☐ Original Annual Statement ☐ Reserve for Disasters/Emergencies ☒ Revised Annual Statement (revision no: 2 )  
☐ Performance and Evaluation Report for Period Ending: ☐ Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original (Rev #1)	Revised 2 <sup>2</sup>	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Debt Obligation	\$635,821.50	\$400,592.50		
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 - 19)	\$3,603,743.00	\$3,603,743.00		
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

<b>Signature of Executive Director</b> Karen DuBois-Walton, Ph.D.	<b>Date</b>	<b>Signature of Public Housing Director</b>	<b>Date</b>
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<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

Part II: Supporting Pages								
PHA Name: Housing Authority of the City of New Haven			Grant Type and Number Capital Fund Program Grant No: CT26P00450115 CFFP (Yes/No): <input type="checkbox"/> Replacement Housing Factor Grant No: <input type="checkbox"/>			Federal FFY of Grant: 2015		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original Rev #1	Rev #2 <sup>1</sup>	Funds Obligated <sup>2</sup>	Funds Expended <sup>2</sup>	
Agencywide	Administration	1492	<input type="checkbox"/>	360,374.00	360,374.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agencywide	IQC A&E/IQC environmental	1492	<input type="checkbox"/>	640,036.50	313,484.50	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agencywide	Vacancy turnover, including abatement	1492	Approx 6 units	200,000.00	64,558.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000011 McQueeney	Elevator upgrade	1492	150 units	450,000.00	0	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000011 McQueeney	Kitchens, baths, interiors upgrade	1492	Approx 20 units	750,000.00	0	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000004 McConaughy	Interior unit upgrades	1492	Approx 20 units	567,511.00	0	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000076 Brookside Phase 1 Rental	Bond debt obligation	9001	<input type="checkbox"/>	635,821.50	400,592.50	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Crawford CT004000010	Boiler replacement & heating system upgrades (in phases)	1492	109 units	0	2,138,246.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000015 Ruoppolo	Generator replacement	1492	105 units	0	149,800.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CT004000005 Waverly	Accessibility improvements 76 Day St.	1492	1 unit	0	176,688.00	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<sup>1</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

<sup>2</sup> To be completed for the Performance and Evaluation Report.

**Part III: Implementation Schedule for Capital Fund Financing Program**PHA Name: **Housing Authority of the City of New Haven****Federal FFY of Grant: 2015**

Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>1</sup>
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
Agencywide	04-12-2017		04-12-2019		
Agencywide	04-12-2017		04-12-2019		
Agencywide	04-12-2017		04-12-2019		
CT004000011 McQueeney	04-12-2017		04-12-2019		
CT004000011 McQueeney	04-12-2017		04-12-2019		
CT004000004 McConaughy	04-12-2017		04-12-2019		
CT004000076 Brookside Phase 1 Rental	04-12-2017		04-12-2019		
CT004000010 Crawford	04-12-2017		04-12-2019		
CT004000004 McConaughy	04-12-2017		04-12-2019		
CT004000015 Ruoppolo	04-12-2017		04-12-2019		
CT004000005 Waverly	04-12-2017		04-12-2019		

<sup>1</sup> Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 06/30/2017

## Appendix 1

### ECC/HANH's local total development cost (TDC) limits as approved by HUD.

The following pages detail ECC/HANH'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	<b>\$ 123,709</b>	\$ 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%
ECC/HANH 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

**ECC/HANH TDC 2013**

		<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
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 ECC/HANH TDC 2008-2013**

		<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
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 ECC/HANH TDC**

		<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
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%

**Elm City Communities/ HANH TDC 2017**

		<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Detached		\$ 258,686.46	\$346,915.00	\$420,699.00	\$514,164.00	\$604,941.00	\$660,932.00
Row House		\$ 237,989.56	\$326,544.00	\$397,097.00	\$488,020.00	\$579,524.00	\$638,384.00
Walk Up		\$ 237,989.56	\$286,276.00	\$363,110.00	\$474,222.00	\$590,780.00	\$665,145.00
Elevator		\$ 210,661.90	\$294,926.29	\$379,191.42	\$505,589.28	\$631,956.64	\$716,250.81

## Appendix 2

### Local Asset Based Management:

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

- ECC/HANH 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.
- ECC/HANH uses property level management accounting and budgeting for direct costs incurred by each property.
- Each project is charged a management fee of \$78.78 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 fees 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 and excess operating reserves. ECC/HANH 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 FY2009, ECC/HANH conducted an updated Physical Needs Assessment for each project. The work was completed in FY2010 and was fully reported in the FY10 report. Finally, ECC/HANH has implemented a Risk Management Program in accordance with §990.270.



**MOVING TO WORK SUFFICIENCY PROGRAM**

**CARING ABOUT RESIDENT ECONOMIC SELF-SUFFICIENCY  
(CARES) PILOT PROGRAM FOR WEST ROCK  
REVITALIZATION INITIATIVES**

**PROCEDURES FOR PUBLIC HOUSING/HCV PROGRAM**

## Goals and Objectives of the Program

The Housing Authority of the City of New Haven (ECC/HANH ) is a Moving to Work (MTW) Agency. The MTW Program provides MTW Agencies with an opportunity to design and test innovative, locally-designed strategies that use Federal dollars more efficiently, help residents find employment and become self-sufficient, and increase affordable housing choices for low-income families. The Agency has been able to use the flexibility provided under the MTW Program to begin implementing a West Rock Revitalization Plan that will provide almost 500 units of housing and appurtenant commercial and community space. To help ensure the long-term success of this investment it is critical that the Agency address the social and economic issues that are vital to long-term sustainable growth in the Community.

The Authority has chosen to implement the CARES program in conjunction with the West Rock Revitalization Plan based upon statistical data from recent needs assessment conducted among the 187 former families of the Brookside and Rockview developments, where 31 residents responded. The results of this assessment show that 35.5 percent of families need job training, 29 percent need day care services and 22.6 percent need employment services. In order to realign the public assistance model and get more residents self sufficient, we need to address the everyday challenges that our current residents are faced with. ECC/HANH anticipates to achieve the largest impact by focusing on a sub-community that is most affected by the societal stigmas. Additionally, the poverty rate for the City of New Haven in 1999 was 24.4 percent as compared to 51 percent for the West Rock residents as a whole and 69 percent for the target residents of this program. Our goals are to increase the number of families in the West Rock community who are achieving household income and self-sufficiency to be able to attain a market rate unit or other affordable housing without assistance.

## Eligibility/Threshold Requirements

To be eligible to participate in the CARES program, the following criteria must be met;

All adult members of the household 18 year of age or over must execute a CARES Addendum to the Standard PHA or HCV Lease Agreement;

Be current in all lease obligations to ECC/HANH ;

Be a resident in "good standing" as defined in the ACOP;

Have been employed at least 12 months out of the prior 36 months before applying for the CARES program;

Have a GED or High School diploma or be capable of obtaining such GED or High School diploma within 24-months of applying for program. Applicants for the program that do not have a GED or High School diploma must show progress towards meeting this goal;

Enroll in the Authority's FSS Program; and

Open an IDA account

Families will live at West Rock for up to 24-months with supportive housing to become self-sufficient and will be based upon their education level (GED or High School diploma or not); household income (above or below the Federal Poverty Level); the employability of each person based upon their employment history as well as the results of their employability assessment.

## Program Overview

Brookside and Rockview families will be given the options, at lease up, to stay in a public housing program or reside in a Project Based Voucher (PBV) unit or to accept a Tenant Based CARES Program Voucher (CPV) as part of the CARES Program. Residents that opt to stay in public housing or a PBV unit will be given 72 months of rental assistance. After the 72 months have expired, residents who elect to stay in public housing or PBV units will be required to pay the 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. Thus, if a family of four receives rental assistance (calculated as the difference between the Flat Rent and the TTP) and there are two adults and two children ages 12 and 15, and assuming that the prorated rental assistance for each member of the household is \$200 per month, the family will have its rent increased by \$400 per month after the end of the seven year period. During the term, the prorated amount of assistance would continue for the child over the age of 18 if that child was enrolled in a minimum of 3 hours or 3 credits in secondary or vocational education. Assistance for residents who are deemed exempt from the program by the case manager and the needs assessment will also continue to receive assistance. We recognize that there are individuals who to no fault of their own will not be able to achieve self-sufficiency on their own. Non-exempt individuals who have an 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. Life happens and families may experience unforeseen circumstances such as a loss of job, downturn in the economy or an unforeseen family circumstance that will hinder them from entering the CARES Program.

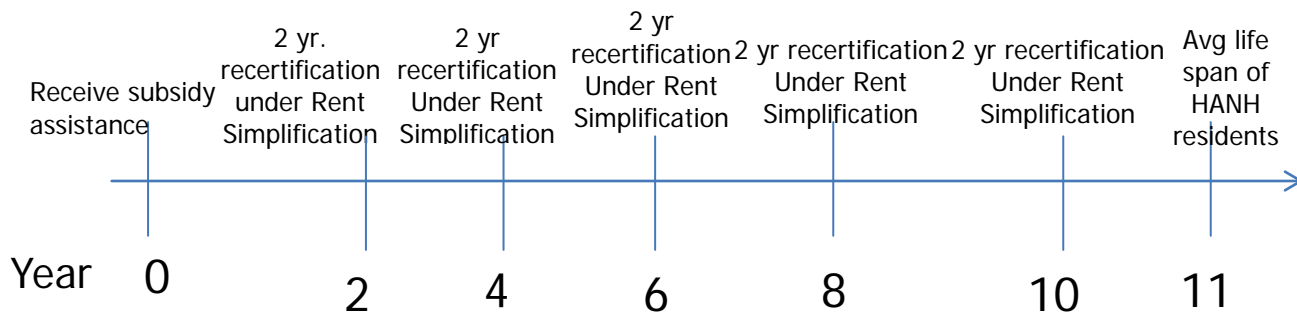
Residents who elect to take the CPV option will be given up to two years to transition in to the CARES Program and a total of seven years to reach self sufficiency based upon their income and job readiness at the signing of their lease. The first two years will enable

residents the time to meet the basic requirements of the program. At the end of the seven year program, participating residents will no longer receive rental assistance. ECC/HANH will determine the amount of assistance the family is eligible to receive over the term of the CPV assistance, and assistance will be adjusted annually for inflation (Exhibit A). In the third year of the program, an amount equal to the sum of the rental assistance that the family would have otherwise received in the final year will be deposited into a Resident Enrolled Escrow Fund (REEF). For the duration of the program the funds in the REEF 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, down payment on a home, and/or enroll in higher education, subject to the approval of ECC/HANH . If the funds deposited in the REEF are fully expended prior to the final year of the program, there would be no available funds in the final year but if the funds deposited into the REEF have not been used by the end of the program term of rental assistance, it will be refunded to the resident as a bonus for program compliance. A CARES oversight committee will be created to review the requests of the participants to use the REEF funds will consist of the Executive Director's office, the Director of Operations or designee, the Service Center Director or designee, a WRIC elected representative, a representative from Workforce Alliance Board, and a representative from the Department of Social Services.

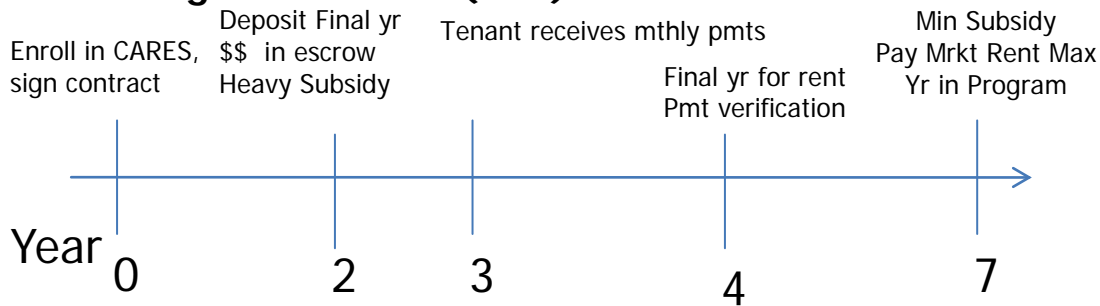
The first step to self-sufficiency is encouraging families to seek affordable housing and manage their household expenses on a fixed income which will empower them to make their own choices. At the time of enrollment into the program, each family will sign a CARES Addendum and go through an assessment process where income, bedroom size, and family composition will be evaluated. For the first 24 months of the program, residents who elect to enroll in the CARES Program will be required to live in the newly redeveloped West Rock community to receive the supportive services and management needed to allow them to become self-sufficient. During this time the monthly subsidy payments will be made directly to the landlord. Beginning in year 3, the families will undergo a recertification to determine the monthly subsidy for the remaining five years in the CARES Program and the REEF income disallowance basis, be responsible for paying the landlord in full, and to provide ECC/HANH with payment receipts for 12 consecutive months to ensure compliance with the program. The families will receive a pre-determined subsidy payment each month, instead of the traditional method of payments being made to the landlord, based on the assessment. ECC/HANH will do periodic reviews to make sure funds are being spent to cover housing costs; however, there are no income exclusions, deductions or utility allowances necessary since the HAP data already takes this information into account (Exhibit A). Subsidy amounts paid to the families will be adjusted to reflect cost of living increases annually. These stepped requirements will eliminate the need for recertification and verification of income. The established subsidy payment schedule for the term of the program enables ECC/HANH to assist the families with the most support in the early years where it is needed. Providing this oversight and acceleration in subsidy in the early years of the program along with the development of the skills necessary for long-term self-sufficiency will increase the independence of the residents over time and result in a gradual declining need for subsidy.

## HCV 7 Year Cash Payment Schedule

### Public Housing/HCV Program



### CARES Program Voucher (CPV)



Additionally, participating residents will also establish Individual Development Accounts (IDA) if they elect to take the CPV option. ECC/HANH's contribution will be the resident's income disallowance portion to be contributed to the IDA based upon the initial Individual Services Plan and income verification process that is established by the families and a case manager at the time of lease up. If a family's income increases, they can deposit the difference between the increase in income and the monthly rental payment into their REEF account. Families that enroll in the CARES Program that experience an increase in year three (in CARES) in earned income will be allowed an optional exclusion from the increase from Annual Income for the five years at 100 percent. Families already receiving the HUD mandatory income disallowance can, at the time of enrollment in the CARES program, stop receiving those benefits and begin with a new basis with the CARES REEF disallowance at 100 percent. For families enrolled in ECC/HANH's optional income disallowance, participants can elect to opt out of ECC/HANH's disallowance and enter the CARES REEF program. The REEF disallowance will establish a new baseline when they enter the program and continue for five additional years or to the end of the CARES program, whichever comes first. The Authority also provides the same Optional Income Exclusion for any increase in income earned by a Resident Owned Business.

ECC/HANH is embarking on this CARES pilot program in the West Rock community to help promote economic self-sufficiency of the residents of this revitalized community as a stepping stone to a new paradigm in the affordable housing market for low income families. We believe that the comprehensive program discussed above, combined with the development of unassisted rental units, will be effective in achieving housing and economic transitions for a substantial numbers of West Rock families.

**Exhibit A - Housing Choice Voucher - HAP 7 Year Schedule**

Family Size	1	2	3	4	5	6
Median Household HAP to Owner (9/10)	795	895	1000	1090	1147	1214
Median Utility Allowance	122	292	357	362	425	430
<b>Median Monthly Cash Payment Assistance</b>	<b>917</b>	<b>1187</b>	<b>1357</b>	<b>1452</b>	<b>1572</b>	<b>1644</b>

Years in Program	Cost of Living Increase	Subsidy Value					
1 Supportive Component <b>Monthly</b> <b>Annually</b>	Lease up Year	917.00	1,187.00	1,357.00	1,452.00	1,572.00	1,644.00
		11,004.00	14,244.00	16,284.00	17,424.00	18,864.00	19,728.00
2 Supportive Component <b>Monthly</b> <b>Annually</b>	3%	944.51	1,222.61	1,397.71	1,495.56	1,619.16	1,693.32
		11,334.12	14,671.32	16,772.52	17,946.72	19,429.92	20,319.84
3 Tenant Based Component <b>Monthly</b> <b>Annually</b>	3%	972.85	1,259.29	1,439.64	1,540.43	1,667.73	1,744.12
		11,674.14	15,111.46	17,275.70	18,485.12	20,012.82	20,929.44
4 Tenant Based Component <b>Monthly</b> <b>Annually</b>	3%	1,002.03	1,297.07	1,482.83	1,586.64	1,717.77	1,796.44
		12,024.37	15,564.80	17,793.97	19,039.68	20,613.20	21,557.32
5 Tenant Based Component <b>Monthly</b> <b>Annually</b>	3%	1,032.09	1,335.98	1,527.32	1,634.24	1,769.30	1,850.34
		12,385.10	16,031.75	18,327.79	19,610.87	21,231.60	22,204.04
6 Tenant Based Component <b>Monthly</b> <b>Annually</b>	3%	1,063.05	1,376.06	1,573.13	1,683.27	1,822.38	1,905.85
		12,756.65	16,512.70	18,877.62	20,199.19	21,868.55	22,870.16
7 Tenant Based Component <b>Monthly</b> <b>Annually</b>	3% (Amount deposited into Escrow)	1,094.95	1,417.34	1,620.33	1,733.76	1,877.05	1,963.02
		13,139.35	17,008.08	19,443.95	20,805.17	22,524.60	23,556.26
Total Cash Assistance		84,317.73	109,144.11	124,775.53	133,510.74	144,544.69	151,165.05

## Program Steps

### Orientation

Prior to executing a lease to move to the revitalized development, the family must attend an orientation where they will be informed of the CARES program requirements, the availability of supportive services to enable them to fulfill their obligations under this program and the consequences of the failure to meet the requirements under this program.

### CARES Addendum to Replace HAP Contract

At the time of lease up, families moving to West Rock will make their voluntary decision to enter into the CARES program. A CARES Addendum to the lease agreement will be signed which will go into effect at the beginning of year three. This addendum will replace the HAP Contract as monthly rental payments will no longer be sent directly to the landlord and HAP contracts are between ECC/HANH and the landlord. A monthly cash payment will be sent directly to the resident per the CARES addendum between ECC/HANH and the resident.

### Needs Assessment

Each family member will complete a needs assessment prior to lease up to establish a baseline of current educational levels, abilities, skills, interests, aptitude, and program goals. The subsidy amounts will be established based upon family composition, bedroom size, and household income during the assessment as well. Upon completion and review of the assessment the families, along with a case manager, will create a comprehensive Individual Service Plan (ISP) that will consist of short-term and long-term goals in the aforementioned categories, as well as, work and youth educational requirements under this program. It is important to note that those residents who do not meet the Eligibility/Threshold requirements under the CARES program and are categorized under one or more of the exemptions described in “5. Exemptions for Residents Residing in Public Housing or HCV units”, will have the opportunity to reside in the development under the traditional Public housing or HCV units

### Individual Services Plan (ISP)

Once the assessment has been completed, the case manager and the family will develop an ISP that is designed to help the family meet the work requirement of this program within a 72-month timeframe. The plan must be completed within 90-days of moving into the new unit in the West Rock Community. The ISP will include the identified needs and agreed upon goals established during the needs assessment and be completed within 60-days after moving into the new rental unit. Families who are enrolled in the program will have to participate in the HUD mandatory income disallowance program and to enroll in the optional CARES REEF disallowance program. If it is determined that the family cannot obtain or sustain earnings over a 72-month period at or above self-sufficient income levels to obtain a market rate unit or other affordable unit on their own, the case manager may determine that the person cannot meet the goals of the program and that person may be exempted from the CARES program. If deemed exempt, that person will be required to enroll and to remain enrolled in the Authority’s Family Self Sufficiency (FSS) Program. The ISP shall address the following areas of concern.

- a. Family stability
- b. Well-being
- c. Education & training
- d. Financial management
- e. Employment & Career management

## Exemptions for residents remaining in Public Housing or Project Based Voucher Units

There are exemptions to the program for not having to pay the Flat Rent/Market Rent but who elect to remain in Public Housing or PBV units in the West Rock development. Persons disabled or deemed unemployable, and returning residents that have a right to return under the MOA between the former residents of Brookside and Rockview and ECC/HANH which will grandfather them in to return to the property and not be subject to the CARES program unless they voluntarily choose to.

Families that meet one or more of the following criteria are exempt from having to pay flat rent at the end of the 72 months:

The adult is precluded from obtaining or maintaining employment due to domestic violence or other circumstance beyond his or her control; or

The adult is employed and unable to pay their pro-rata share of the flat rent due to (1) a documented medical impairment that limits his/her work hours, or (2) the need to care for a disabled or elderly member of the household; or

The adult has a documented and substantive barrier to employment such as severe mental or physical health problems, one or more severe learning disabilities, domestic violence, or child who has serious physical or behavioral health problems; or

Enrolled in a bona-fide employment or adult educational or literacy training program for a minimum of 16 hours per week or two full time classes.

If any adult in the family meets one of the following exemption criteria, the family is not subject to the CARES Program. A person is exempt if:

He/she is incapacitated (as recognized by the Social Security Administration); or

Age 50 or older; or

Responsible for the care of an incapacitated family member; or

A non-parent caretaker relative; or

Caring for a child under the age of 2.9 (subject to include children at the time of initial move-in); or

Pregnant, if a physician has certified that she is unable to work; or

Unemployable (defined as "not able to hold or find a job")

An adult who believes that he/she is exempt under one or more of the aforementioned criteria must provide documentation to the Authority to support their position.

### Hardship Policy and Guidelines

#### i. **Hardship Policy:**

Prior to imposition of any change in rent, the household will be provided with advanced notice as required by their lease and/or governing documents. Households that are notified of a rent increase will also be informed, in writing, of their ability to seek a waiver based on financial hardship provided that the hardship is related to extraordinary deductions or extraordinary cost of living (rent, utilities, medical expenses, child care expenses).

#### ii. **Hardship Criteria:**

The following criteria will trigger a review for consideration of a Hardship cash disbursement from the REEF.

##### Extraordinary Cost of Living:

In the CARES program, a hardship review will be conducted if the monthly total shelter costs (rent plus utilities), when combined with un-reimbursed monthly medical, disability, and dependent costs, exceeds forty percent (40%) of a household's monthly income (monthly income is defined as annual income divided by twelve).

##### Medical, Disabled Expenses of \$6,000.00 or more:

In the CARES program, hardship review may be conducted if a household's total unreimbursed medical, disability, and dependent expenses of \$6,000.00 or more per year. This includes the full cost of Medicare and private insurance.

Persons with disabilities always retain the right to request Reasonable Accommodations.

#### iii. **REEF Cash Disbursement Request Process:**

All REEF cash disbursement requests must originate with the household and must be submitted to Property Manager or Occupancy Specialist within thirty (30) calendar days of the date of the rent adjustment notification or hardship event, whichever occurs first. It will be the responsibility of the household to complete an "Application for Hardship Waiver" form and to provide all documentation

required to show eligibility.

Once the Property Manager or the Occupancy Specialist receives the required documentation, the information shall be forwarded to the Director of Operations.

At the applicant's option, the Hardship Review Committee shall include a public housing resident.

In cases of hardship based on income loss, the Hardship Review Committee shall consider whether or not the applicant has made a good faith effort to secure alternative income sources. In addition, the Committee shall consider whether or not the loss of income is due to circumstances beyond the applicant's control.

The Hardship Review Committee shall render a decision on the request and a written decision shall be forwarded back to the Executive Director for signature. The Executive Director may sustain or decline the recommendation of the Committee. After signature by the Executive Director, the Director of Operations or Service Center Director, as applicable, will inform the parties of the decision. The written decision shall inform the parties as to the relief granted as well as the term of the relief. Households that disagree with the decision may request a grievance through the ECC/HANH grievance process. In cases where an appeal is sought, no action shall be taken by the ECC/HANH until the grievance process is completed.

iv. **Hardship Committee Remedies:**

The Hardship Review Committee will examine each family's circumstances on a case-by-case basis. The Hardship Review Committee has a choice of four remedies it can recommend as it deems appropriate. Depending on income, deductions and family circumstances the Committee may take action including, but not limited to:

Give exceptional expenses cash payment from the REEF account for rent payments and un-reimbursed utility expenses due to job loss, not to exceed a 90 day period.

Give exceptional expenses cash payment from the REEF account for medical expenses of \$6,000 or more after all other options have been exhausted.

Permanent exclusion from CARES due to a disability or other exemption listed under the definitions of exemptions above and re-entry into Public Housing or PBV units.

Appropriate combination of remedies listed above.

The Hardship Committee shall require that all family, except elderly and disabled families reapply to the Hardship Committee after the end of the 90 day period for which the exceptional expenses cash payment is granted if the family wants the exemption to continue for more than 90 days.

### **Cash Payments to Tenants**

As a result of implementing a CARES Addendum to the lease agreement, which will replace HAP contracts, residents who enroll and participate in the CARES Program will begin receiving a monthly cash payment to cover their rental payments and utility expenses. This is in lieu of receiving a utility allowance reimbursement and a direct rental payment to the landlord. For the duration of the program the funds in the REEF 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, down payment on a home, and/or enroll in higher education, subject to the approval of ECC/HANH. If the funds deposited in the REEF are fully expended prior to the final year of the program, there would be no available funds in the final year but if the funds deposited into the REEF have not been used by the end of the program term of rental assistance, it will be refunded to the resident as a bonus for program compliance. A CARES oversight committee will be created to review the requests of the participants to use the REEF funds will consist of the Executive Director's office, the Director of Operations or designee, the Service Center Director or designee, a WRIC elected representative, a representative from Workforce Alliance Board, and a representative from the Department of Social Services.

### **Individual Development Accounts (IDA)**

Program participants must establish an Individual Development Account. The amount that the family must contribute toward this account will be determined by mutual agreement between the case manager and the individual. ECC/HANH's contribution will be the resident's income disallowance portion as a contribution to the IDA based upon the initial Individual Service Plan and income verification process that is established by the families and a case manager at the time of lease up to move to West Rock. If a family's income increases, they can voluntarily deposit the difference between the increase in income and the monthly rental payment into their REEF account. Families that can experience an increase in earned income will be allowed to exclude the increase from Annual Income for four years at 100 percent. The Authority also provides the same Optional Income Exclusion for any increase in income earned by a Resident Owned Business.

### **REEF Cash Deposit**



In addition to the traditional IDA account, which we are calling a REEF for delineation of the CARES Program; ECC/HANH will deposit an amount equal to 12 months of cash payments that would have otherwise been received in the final year of the program into the REEF account. This money will be available to access

### CARES Income Disregard

If a family's income increases, they can deposit the difference between the increase in income and the monthly rental payment into their REEF account. Families that enroll in the CARES Program that experience an increase in year three (in CARES) in earned income will be allowed an optional exclusion from the increase from Annual Income for the five years at 100 percent. Families already receiving the HUD mandatory income disallowance can, at the time of enrollment in the CARES program, stop receiving those benefits and begin with a new basis with the CARES REEF disallowance at 100 percent. For families enrolled in ECC/HANH's optional income disallowance, participants can elect to opt out of ECC/HANH's disallowance and enter the CARES REEF program. The REEF disallowance will establish a new baseline when they enter the program and continue for five additional years or to the end of the CARES program, whichever comes first. The Authority also provides the same Optional Income Exclusion for any increase in income earned by a Resident Owned Business.

### Case Management

All CARES program participants must enroll in ECC/HANH's FSS program. Case management is the key to any successful Community and Supportive Services Plan (CSSP). The case management model will be provided through a **collaborative approach** that will include a variety of specialized CSS Partners. The case manager will coordinate all case management, assist residents in assessing their needs and ensuring that required services are provided, and serve as the primary provider of these services. Other CSS Partners like the Connecticut Department of Social Services and the New Haven Board of Education may serve as case managers for specific residents like those on the Temporary Financial Assistance (TFA) or those enrolled in Early Childhood Learning Program with whom they maintain an existing and positive relationship.

The goal of case management is to ensure positive outcomes for the residents which may vary depending upon the resident being served. Expected outcomes of our case management activities include resident education, information, advocacy and empowerment. By collecting and analyzing data through a web based tracking system, the case manager can make decisions based upon sound and unbiased information. The case manager will be responsible for sharing information with the CSS Team and CSS Partners, government agencies, families, et al, while at the same time protecting the confidentiality and privacy of the residents. The CSS Team and CSS Partners will have access to this system to accurately and timely assess a resident's needs to measure his/her progress towards achieving his/her self-sufficiency goals. This is a critical component to successful case management.

#### Progress Meetings

The case management provider will conduct a minimum of two progress meetings each month, one of which shall be at the resident's apartment. The purpose of these meetings is to ensure that progress is being made towards economic self sufficiency and to ensure a higher level of coordination of all services. Quarterly Review of Compliance with Individual Service Plans will be conducted, as well.

### Early Graduation from CARES Program

Residents can graduate from the program earlier than the seven years allocated if they meet the income levels required to obtain a market rate unit or other affordable unit on their own. The case manager will give them an early assessment to ensure that self-sufficiency can be sustained. As incentive to accelerate out of the program early, residents will receive the final year subsidy bonus as a cash payment to use as they deem necessary.

### Coordination of Supportive Services Initiatives

The supportive services that will link residents include but are not limited to, the following initiatives:

- Programs that help eliminate barriers to self sufficiency.
- Educational activities that promote learning and serve as the foundation for young people from infancy through high school graduation, helping them to succeed in academia and the professional world. Such activities, which include early childhood education, after-school programs, mentoring, youth leadership development and tutoring, must be created with strong partnerships with public and private educational institutions.
- Adult educational activities, including remedial education, literacy training, tutoring for completion of secondary or postsecondary education, assistance in the attainment of certificates of high school equivalency, and English as a Second Language courses, as needed.
- Readiness and retention activities, which frequently are keys to securing private sector commitments to provide jobs.

- Employment training activities that include results-based job training, preparation, counseling, development, placement, and follow-up assistance after job placement.
- Programs that provide pre- apprenticeships in construction, construction-related, maintenance, or other related activities by providing GED classes and OSHA certifications to prepare for an entry-level, registered apprenticeship program. An entry-level, registered apprenticeship program is one that has been registered with a State Apprenticeship Agency recognized by the Department of Labor's (DOL).
- Training on topics such as parenting skills, consumer education, family budgeting, and credit management.
- Homeownership counseling so that, to the maximum extent possible, qualified residents will be ready to purchase new homeownership units when they are completed. The Family Self-Sufficiency program can also be used to promote homeownership, providing assistance with escrow accounts and counseling.
- Coordinating with health care providers or providing on-site space for health clinics, doctors, wellness centers, dentists, community health worker initiatives, and other health-related initiatives (e.g., With Every Heart Beat Is Life initiative, which is part of the National Heart, Lung, and Blood Institute's (NHLBI's) Educational Resources to Address Health Disparities initiative).etc., that will primarily serve the public housing residents.
- Substance and alcohol abuse treatment and counseling.
- Activities that address domestic violence treatment and prevention.
- Child care services that provide sufficient hours of operation to facilitate parental access to education and job opportunities, serve appropriate age groups, and stimulate children to learn.
- Transportation, as necessary, to enable all family members to participate in available CSS activities and to commute to their places of training and/or employment.
- Entrepreneurship training and mentoring, with the goal of establishing resident-owned businesses.

#### Violations of the CARES Program

Circumstances that constitute a violation of the CARES Program include but are not limited to the following:

Misappropriation of funds;

Fraudulent acts, as set forth in the ACOP and Administrative Plan respectively; and

Non-compliance of CARES Program per the CARES Contract

Any resident that is notified of a program violation will have the opportunity to appeal the claims being made against them as set forth in the aforementioned paragraph "5. Appeals Process".

Any resident who is found in violation can receive disciplinary action up to and including termination of their lease agreement which can result in Mandatory Bar that states that residents can no longer receive subsidy rental assistance for 10 years.

#### Appeal Process

A family who receives an adverse finding from ECC/HANH regarding the CARES Program has the right to appeal to ECC/HANH under the Authority's Grievance Process.

#### Moves

As outlined in the FY2015 MTW Plan (Initiative 2.3), ECC/HANH will be initiating a policy to limit moves for CARES participants (those who elected to take the CPV option) unless an extraordinary situation exists. Limiting CARES moves to only extraordinary situations will allow participants to follow-through on the commitment they made at program entry and will give ECC/HANH data to evaluate the program as it was intended. Extraordinary situations could include moves to be closer to work, medical care, or full-time school, or to care for sick or disabled family member and will be evaluated by a ECC/HANH-appointed committee.

## Appendix 4

PBV	2014	2014 MTW Expenditure	2014 Voucher cost	2015	2015 MTW Expenditure	2015 Voucher cost	2016	MTW Expenditure	2016 Voucher cost
Currently under HAP			\$42,940,800.00			\$47,129,504.00	tbd	tbd	tbd
ECC/HANH overhead			\$7,178,000.00			\$7,258,340.00	n/a	tbd	tbd
Predevelopment Loans					\$600,000		n/a	tbd	tbd
Shartenberg							20	\$0.00	tbd
CUHO							32	\$0.00	tbd
Brookside Phase I							50	\$0.00	tbd
Brookside Phase II							51	\$0.00	tbd
Brookside Homeownership							0	\$0.00	\$0.00
Rowe							32	\$0.00	tbd
Quinnipiac Terrace							62	\$0.00	tbd
Mutual Housing							30	\$0.00	tbd
122 Wilmot Road							13	\$0.00	tbd
Rockview Phase I	47		\$444,150.00				47	\$0.00	tbd
Rockview Phase II							0	\$0.00	\$0.00
Downtown	50		\$315,000.00				0	\$0.00	\$0.00
Dwight							0	\$0.00	\$0.00
Farnam				84	\$7,164,000.00	\$0.00	0	tbd	\$0.00

PBV	2014	2014 MTW Expenditure	2014 Voucher cost	2015	2015 MTW Expenditure	2015 Voucher cost	2016	MTW Expen	2016 Voucher cost
Eastview Phase I		\$2,800,000.00		47		\$592,200.00	0	\$0.00	tbd
Cedar Hill							4	\$0.00	tbd
Frank Nasti							11	\$0.00	tbd
Essex RAD		\$2,296,594.00					0	\$0.00	\$0.00
Crawford RAD		\$723,704.00					0	\$0.00	\$0.00
Westville Manor RAD							0	tbd	\$0.00
Scattered Sites RAD							0	\$0.00	\$0.00
Fair Haven RAD							57	tbd	\$0.00
Park Ridge							60	\$0.00	tbd

## Appendix 5

### **Significant Amendments to 2018 MTW Plan as Required Under the Rental Assistance Demonstration Program for 60 Day Milestone**

## Significant Amendments to 2018 MTW Plan as Required Under the Rental Assistance Demonstration Program for 60 Day Milestone

Rental Assistance Demonstration (RAD) authorized by the Consolidated and Further Continuing Appropriations Act, allows for the conversion of assistance under the public housing, Rent Supplement, Rental Assistance (RAD), and Moderate Rehabilitation (Mod Rehab) programs to long term, renewable assistance under Section 8. As provided in the Federal Register notice that HUD published on March 8, 2012, at 77 FR 14029, RAD has two separate components. RAD allows projects funded under the public housing and Mod Rehab programs to convert to long term Section 8 rental assistance contracts.

ECC/HANH applied for and received a RAD assistance portfolio award to convert Essex Townhouses, Westville Manor, Crawford Manor, Farnam Courts, Ribicoff Cottages and Ribicoff Cottages Extension, Townhomes at Eastview Terrace (EVT), 122 Wilmont Crossing, McConaughy Terrace, McQueeney Towers, Fairmont Heights, Ruoppolo Manor and Winslow Celentano. ECC/HANH received approval for the remaining developments on January 29, 2014 for aggregate total of 1330 RAD units. The authority requested and HUD has approved a swap of assets under its portfolio award. As such, the RAD award will be as follows upon approval: Ribicoff Cottages and Ribicoff Extensions, Farnam Courts, Eastview Terrace Phase 1, Wilmont Crossing, McQueeney, Fairmont, Ruoppolo Manor, Celentano, Wolfe, Prescott Bush, Waverly, Valley, Constance Baker Motley, Newhall Gardens, Katherine Harvey, Fulton Park, and Stanley Justice. ECC has also been awarded a RAD for the conversion of Westville Manor.

ECC/HANH applied for private activity tax exempt bonds from the State of Connecticut during FY 2017 and FY 2018 and applied for 9% Low Income Housing Tax Credit in FY2017 and FY 2018, as well. ECC/HANH also applied for financing from FHA in 2017 and may apply again in FY 2018 as well. Elm City Communities submitted an application for and received approval for the conversion of Westville Manor and may submit an application for the conversion for Crawford Manor. Essex Townhomes are no longer a part of the RAD portfolio award.

Previously, ECC/HANH received four CHAPs dated January 29, 2014 for the following developments:

- PIC Development CT004000074 Town Homes at Eastview Terrace
- PIC Development CT004000078 Wilmont Crossing
- PIC Development CT004000003 Ribicoff Cottages
- PIC Development CT004000014 Farnam Courts

ECC received four CHAPs dated March 27, 2015 for the following developments:

- Monterey 1C
- Monterey Place Phase 2R
- Monterey 1B

Subsequent to the receipt of the CHAPs cited above, ECC/HANH received 10 additional CHAPs dated July 19, 2016 for the following developments:

- PIC Development CT004000005 Waverly Townhouses
- PIC Development CT004000006 Katherine Harvey Terrace
- PIC Development CT004000007 Newhall Gardens
- PIC Development CT004000008 Prescott Bush Mall
- PIC Development CT004000009 Constance B. Motley
- PIC Development CT004000011 Charles T. McQueeney
- PIC Development CT004000012 Winslow Celentano Apts

- PIC Development CT004000013      Robert T. Wolfe
- PIC Development CT004000015      Matthew Ruoppolo Manor
- PIC Development CT004000021      Waverly Townhouses

Subsequent to the receipt of these CHAPs, ECC received:

- A modified many-to-one CHAP dated July 26, 2017 that consolidated Katherine Harvey Terrace, Newhall Gardens, Prescott Bush and Constance Baker Motley into a single CHAP for the conversion of 144 units
- A modified CHAP for 71 dated December 21, 2017 that combined Stanley Justice with Waverly and Fulton Park and segregated 40 units at Valley from Waverly into a separate CHAP.
- A new CHAP for the conversion of 142 at Westville Manor dated May 2, 2017

Within 60 days of the CHAP issuance, PHAs must submit:

- The significant amendment to its Annual/Five Year Plan. See section 1.5E and Attachment 1D of the RAD Notice.
- The PHA's decision whether the project will convert its assistance to PBV or to PBRA. For conversions to PBV, where the PHA does not administer a Housing Choice Voucher program, the PHA must submit a signed letter from a voucher agency evidencing their willingness to administer the PBVs.

The information set forth below are the items that must be covered in a PHAs Significant Amendment request or MTW's revision to the MTW plan:

### 1. Description of the Units to be Converted

During FY2014, ECC/HANH received notice on January 29, 2014 of its award of a RAD for Ribicoff Cottages and Ribicoff Cottages Extensions. Below, pursuant to

Attachment 1D: Requirements for RAD-Specific Significant Amendment submissions are the details concerning Ribicoff Cottages and Extension, Farnam Courts and Wilmot Crossing and Eastview Terrace. It is anticipated that Farnam Courts will be separated into up to four separate CHAPs as set forth below. It should also be noted that Ribicoff Cottages, a 4 Percent Low Income Tax Credit component and a 9 Percent LIHTC component, was converted during FY 2015. Westville Manor will be redeveloped utilizing off-site parcels and in multiple phases.

The following units **have been or** will be converted under the RAD Portfolio Award:

A Description of Units to be Converted								
Development Name	Type	0	1	2	3	4	5	Total Bedroom
Ribicoff Cottages & Exts	Elderly/ Disabled	16	84					100
Farnam Courts	Family		7	134	71	23		235
Eastview Terrace	Family		19	31	3			53

Wilmot Crossing	Elderly/ Disabled		32	2				34
McQueeney	Elderly/ Disabled	127	22					149
Fairmont Heights	Elderly/ Disabled	43	54	0				97
Matthew Ruoppolo Manor	Elderly/ Disabled	71	32	1				104
Winslow Celentano	Elderly/ Disabled	32	32					64
C.B. Motley	Elderly	8	37					45
Katherine Harvey	Elderly		17					17
Fulton Park	Family				12			12
Stanley Justice	Family				8			8
Newhall Gardens	Elderly		26					26
Prescott Bush	Elderly	22	27	7				56
Robert T. Wolfe	Elderly/ Disabled	77	13	2				92
Valley	Family			8	16	13	3	40
Waverly	Family			21	20	10		51
Westville Manor	Family		15	46	60	14	7	142
Monterey 1B	Family/ Elderly	85	83	26	14	2		210
Monetary 1C	Family		7	20	12	3		42
Monterey 2R	Family		8	15	3	2		28

## 2. Any Changes in the Number of Units that are Proposed to be Converted

The changes below set forth the proposed changes in the number of units that are being proposed as part of the conversion. The chart also shows the proposed changes in the bedroom distribution of each RAD development in the portfolio award. Note that all of the housing types for all RAD developments will remain unchanged with the exception of Ribicoff Cottages and Extension. Ribicoff Cottages is currently an Elderly/Disabled development. After conversion, it will be both Family and Elderly/Disabled. There will be 95 RAD units after conversion at the development. 55 will be Family and 40 will be Elderly/Disabled.

Proposed Changes in Number of Units									
Development Name	Census Tract	Type	0	1	2	3	4	5	Total Bedroom
Ribicoff Cottages & Exts	1413	Elderly/ Disabled		45	45	12	3		106
Farnam Courts <del>Phase 1 on-site</del>	1421	Family		24	125	65	14		228
McQueeney	1420	Elderly/ Disabled	127	22					149
Fairmont Heights	1427	Elderly/ Disabled	43	54	0				97
Matthew Ruoppolo Manor	1424	Elderly/ Disabled	71	32	1				104
Winslow Celentano	1422	Elderly/ Disabled	32	32					64
Robert T. Wolfe	1402	Elderly/ Disabled	77	13	2				92
Valley	1412	Family			8	16	13	3	40
Waverly	1408	Family			21	20	10		51

### 3. Changes in Policies that Govern Eligibility, Admission, Selection and the Occupancy of Units After Conversions

Occupancy at ECC's Low Income Housing Tax Credit RAD development shall be governed by the guidelines outlined in Chapter 19, Section 4 of the agency's Administrative Plan, which reads as follows:

Applicants who will occupy units with PBV/RAD assistance must be selected according to the corresponding Admission and Continued Occupancy Plan (ACOP) and/or Housing Choice Voucher Administrative Plan for each development. Once those Waiting Lists have been exhausted, the development will establish a site based PBV/RAD Waiting List.

The table below summarizes the Waiting List preferences that have been established for certain developments at the time the development activities were approved. As additional RAD/PBV developments are brought online, the table will be updated accordingly.

Note: For LIHTC or RAD/PBV units with accessible features, selection will be given to existing residents, with a Reasonable Accommodation preference, who need an accessible unit and then to applicants on the ECC/HANH Accessible Waiting List.



<b>Development</b>	<b>Waiting List Selection</b>
Eastview Terrace I RAD	<ol style="list-style-type: none"> <li>1) Eastview Terrace Right To Return Residents</li> <li>2) Eastview Terrace I Public Housing Waiting List</li> <li>3) HCV Waiting List</li> <li>4) Eastview Terrace RAD Site Based Waiting List</li> </ol>
Eastview Terrace PBV	<ol style="list-style-type: none"> <li>1) HCV Waiting List</li> <li>2) Eastview Terrace PBV Waiting List</li> </ol>
Farnam Courts Onsite and Off-Site (Fair Haven Eastview and Chatham)	<ol style="list-style-type: none"> <li>1) Farnam Right to Return Residents</li> <li>2) Farnam Public Housing Waiting List</li> <li>3) HCV Waiting List</li> <li>4) Fair Haven RAD Site Base Waiting List</li> </ol>
Wilmont Crossing RAD	<ol style="list-style-type: none"> <li>1) West Rock Right to Return Residents</li> <li>2) Wilmont Crossing Public Housing Waiting List</li> <li>3) HCV Waiting List</li> <li>4) Wilmont Crossing Site Based Waiting List</li> </ol>
Wilmont Crossing-PBV	<ol style="list-style-type: none"> <li>1) HCV Waiting List</li> <li>2) Wilmont Crossing Site Based Waiting List</li> </ol>
Ribicoff/Twin Brook – RAD	<ol style="list-style-type: none"> <li>1) Ribicoff Right to Return Residents</li> <li>2) Returning West Rock Residents</li> <li>3) Public Housing Site Based Waiting Lists</li> <li>4) HCV Waiting List</li> <li>5) Twin Brook Site Based Waiting List</li> </ol>
Westville Manor	<ol style="list-style-type: none"> <li>6) Westville Manor Right to Return Residents</li> <li>7) Returning West Rock Residents</li> <li>8) Public Housing Site Based Waiting Lists</li> <li>9) HCV Waiting List</li> <li>1) Westville Manor Site Based Waiting List</li> </ol>
C.B. Motley	<ol style="list-style-type: none"> <li>1) Motley Right to Return Residents (if applicable)</li> <li>2) Motley Site Based Wait List</li> <li>3) HCV Waiting List</li> <li>4) Motley RAD Site Based Waiting List</li> </ol>
Katherine Harvey	<ol style="list-style-type: none"> <li>1) Harvey Right to Return Residents (if applicable)</li> <li>2) Harvey Site Based Wait List</li> <li>3) HCV Waiting List</li> <li>4) Harvey RAD Site Based Waiting List</li> </ol>
Newhall Gardens	<ol style="list-style-type: none"> <li>1) Newhall Right to Return Residents (if applicable)</li> <li>2) Newhall Site Based Wait List</li> <li>3) HCV Waiting List</li> <li>4) Newhall RAD Site Based Waiting List</li> </ol>
Monterey Place-RAD	<ol style="list-style-type: none"> <li>1) Current Monterey LIPH Wait List</li> <li>2) HCV Wait List</li> <li>3) Monterey RAD Site Based Wait List</li> </ol>

Prescott Bush	<ol style="list-style-type: none"> <li>1) Bush Right to Return Residents (if applicable)</li> <li>2) Bush Site Based Wait List</li> <li>3) HCV Waiting List</li> <li>4) Bush RAD Site Based Waiting List</li> </ol>
Stanley Justice Landing - RAD	<ol style="list-style-type: none"> <li>1) Stanley Justice Right to Return Residents (if applicable)</li> <li>2) Scattered Site Based Wait List</li> <li>3) HCV Waiting List</li> <li>4) Stanley Justice RAD Site Based Waiting List</li> </ol>
Fulton Park - RAD	<ol style="list-style-type: none"> <li>5) Fulton Park Right to Return Residents (if applicable)</li> <li>6) Scattered Site Based Wait List</li> <li>7) HCV Waiting List</li> <li>8) Fulton Park RAD Site Based Waiting List</li> </ol>
76 Glen Haven - RAD	<ol style="list-style-type: none"> <li>1) 76 Glen Haven Right to Return Residents (if applicable)</li> <li>2) Scattered Site Based Wait List</li> <li>3) HCV Waiting List</li> <li>4) 76 Glen Haven Site Based Waiting List</li> </ol>
McQueeney Towers - RAD	<ol style="list-style-type: none"> <li>1) McQueeney Towers Right to Return Residents (if applicable)</li> <li>2) McQueeney Towers LIPH Wait List</li> <li>3) HCV Waiting List</li> <li>4) McQueeney Towers RAD Site Based Waiting List</li> </ol>

Winslow Celentano - RAD	<ol style="list-style-type: none"> <li>1) Winslow Celentano Right to Return Residents (if applicable)</li> <li>2) Winslow Celentano LIPH Wait List</li> <li>3) HCV Waiting List</li> <li>4) Winslow Celentano RAD Site Based Waiting List</li> </ol>
Robert T Wolfe - RAD	<ol style="list-style-type: none"> <li>1) Robert T. Wolfe Right to Return Residents (if applicable)</li> <li>2) Robert T. Wolfe LIPH Wait List</li> <li>3) HCV Waiting List</li> <li>4) Robert T Wolfe Site Based Waiting List</li> </ol>
Matthew Ruoppolo Manor - RAD	<ol style="list-style-type: none"> <li>1) Matthew Ruoppolo Manor Right to Return Residents (if applicable)</li> <li>2) Matthew Ruoppolo Manor LIPH Wait List</li> <li>3) HCV Waiting List</li> <li>4) Matthew Ruoppolo Manor Site Based Waiting List</li> </ol>
Fairmont Heights - RAD	<ol style="list-style-type: none"> <li>1) Fairmont Heights Right to Return Residents (if applicable)</li> <li>2) Fairmont Heights LIPH Wait List</li> <li>3) HCV Waiting List</li> <li>4) Fairmont Heights RAD Site Based Waiting List</li> </ol>
Valley	<ol style="list-style-type: none"> <li>1) Valley Right to Return Residents (if applicable)</li> <li>2) Valley Site Based Wait List</li> <li>3) HCV Waiting List</li> <li>4) Valley RAD Site Based Waiting List</li> </ol>
Waverly	<ol style="list-style-type: none"> <li>1) Waverly Right to Return Residents (if applicable)</li> <li>2) Waverly Site Based Wait List</li> <li>3) HCV Waiting List</li> <li>4) Waverly RAD Site Based Waiting List</li> </ol>

### **Local Preferences [24 CFR 982.207; HCV p. 4-16]**

Preferences at this project will comply with HANH's Administrative Plan, **Chapter 17 Project-Based Vouchers** which states:

The PHA will provide a selection preference when required by the regulation (e.g., eligible in-place families, qualifying families for "excepted units," mobility impaired persons for accessible units).

### **Local Preferences [24 CFR 982.207; HCV p. 4-16]**

PHAs are permitted to establish local preferences, and to give priority to serving families that meet those criteria. HUD specifically authorizes and places restrictions on certain types of local preferences. HUD also permits the PHA to establish other local preferences, at its discretion. Any local preferences established must be consistent with the PHA plan and the consolidated plan, and must be based on local housing needs and priorities that can be documented by generally accepted data sources.

The following standard HCV preferences apply to all LIHTC/PBV/RAD developments and will apply for Waiting List selection.

Preferences apply to the below families in the stated order. Waiting List selection and Resident transfers to LIHTC developments must comply with the LIHTC income guidelines.

1. Displaced by Government Action, including from buildings condemned for health and safety reasons, and including from ECC/HANH public housing units undergoing demolition/disposition, if such action is under a Uniform Relocation Act (URA);
2. Claiming protections under the Violence Against Women Act (VAWA), including families residing in a ECC/HANH public housing unit where no suitable alternative unit is available;
3. In a documented Witness Protection Program;
4. Currently residing in a ECC/HANH public housing unit, who are in a situation involving crime and safety, where transfer of a current Low Income Public Housing family to another public housing development does not meet the needs of ECC/HANH public housing residents due to other situations involving crime and safety; and,
5. Currently residing in a ECC/HANH public housing unit, who require an accessible unit as a reasonable accommodation where ECC/HANH or Owner is unable to accommodate the need through the transfer to another ECC/HANH public housing unit or unit within the Owner's development.

HANH's preferences will be structured to give preference to families who need the supportive services offered at a particular development.

#### **Admission Preferences for RAD Project Based Voucher Units**

Only elderly families may be admitted to units or buildings covered by a HUD approved Elderly Housing Designation Plan prior to date of conversion to project based rental assistance. The buildings and units covered by a HUD-approved elderly housing designation plan are set forth below.

When there are insufficient Elderly families on the waiting list, Near Elderly families (head or household or spouse ages 50 to 61) may receive a priority for this type of unit if the approved Plan for designation so specified.

The Owner must give preference to Elderly families and Disabled families equally in determining priority for admission to following development that were classified as Mixed Population developments prior to conversion: Charles McQueeney, Fairmont Heights, Ruoppolo Manor, Robert T. Wolfe, and Winslow Celentano. The owner must provide preference for the Elderly for the following units and unit mix at Elderly Designated developments.

## Elderly Designated Unit Mix Prior to Conversion to Project-based Rental Assistance

NUMBER OF BEDROOMS	0	1	2	3	4	5	6	TOTAL
Prescott Bush	20	25	5	0	0	0	0	50
Katherine Harvey Terrace	0	12	0	0	0	0	0	12
Newhall Gardens	0	23	0	0	0	0	0	23
C.B. Motley	8	34	0	0	0	0	0	42
122 Wilmot		25	1					26
<b>TOTAL</b>	28	119	6	0	0	0	0	153

The Owner may not establish a limit on the number of Elderly families or Disabled families who may be accepted for occupancy in a development that was Mixed Population development prior to conversion. In selecting Elderly families and Disabled families to occupy units in mixed population developments, the owner must first offer units that have special accessibility features for persons with disabilities to families who include persons with disabilities who require the accessibility features of such units (see §§ 8.27 and 100.202 of this Part 24 CFR title).”

### Waiting Lists for Converted Units

The Owner shall use the PHA site based waiting for each developments list used by it prior to conversion for the selection of occupants post-conversion, except for units that have special accessibility features for persons with disabilities who require the accessibility features of such units (see §§ 8.27 and 100.202 of Part 24 CFR).”

Occupants of units with accessibility features shall be selected from (1) a current occupant of another unit of the same [project](#), or comparable [projects](#) under common control, having [disabilities](#) requiring the accessibility features of the vacant unit and occupying a unit not having such features, or, if no such occupant exists, then (2) to an eligible qualified applicant on the Agency wide Accessible Waiting List having a [disability](#) requiring the accessibility features of the vacant unit.

With respect to units where preference for occupancy shall be to the elderly or to the elderly and disabled on an equal basis, the Authority shall transfer each site based waiting list to the owner and the Owner shall manage each list in accordance with the Authority-approved resident selection plan. The Owner shall select occupants from these lists until all applicants on these lists shall have been either offered a unit, withdrawn or removed, or rejected for admission. The Owner shall maintain its site based waiting list once these requirements have been met.

### **3. 4. Transfer of Assistance at Time of Conversion**

The only RAD project where there will be a transfer of assistance is the Farnam Courts RAD project. Up to one hundred forty-eight (148) of the 228 RAD, PBVs will be transferred to other properties as shown in the table above.

### **5. Indication of Compliance with Voluntary Compliance Agreement**

July 9, 2007, ECC/HANH entered a Voluntary Compliance Agreement (VCA) regarding complying with federal and state accessible standards. Compliance with the VCA will not be negatively impacted by the conversion activities.

### **6. All Other Required Information**

ECC/HANH will post the revisions to the MTW Annual Plan as required by ECC/HANH's Amended and Restated Moving to Work Agreement. ECC/HANH will include all comments received and addressed prior to finalizing these Significant Amendments.

### **7. MTW Fungibility**

ECC/HANH will use its MTW Fungibility to provide assistance for two (2) RAD projects; Farnam Courts, 228 units; Ribicoff Cottages and Extensions, 95 units. We estimate that the average assistance per unit will be \$400.00 for a total monthly assistance of \$129,200.00. With an average estimated voucher payment of \$ 980.00 per month/per family providing assistance to the 323 RAD units would be the equivalent of 132 vouchers. ECC/HANH's baseline number of units for which it must maintain service is 4,827 units. Currently, ECC/HANH serves 5,436 units; therefore, using our fungibility to assist these RAD units will not negatively impact our ability to meet our continuing service level requirements.

### **8. Reduction in the Capital Budget as a Result of RAD Conversion**

ECC/HANH will include language specifying the reduction of Capital Fund Budget grants as a result of converting the ACC units to RAD.

- a. Current Capital Fund Grant associated with the developments that have been converted or will be converted to RAD is as follow:

<b>DEVELOPMENT NAME</b>	<b>ESTIMATED REDUCTION IN CFP</b>
Ribicoff Cottages & Extensions	\$127,927
Farnam Courts	\$305,746
McQueeney Towers	\$178,976
Fairmount Heights	\$119,736
Matthew Ruoppolo	\$128,377
Robert T. Wolfe	\$110,612
Newhall Gardens	\$ 32,968
<del>Chamberlin/Fulton</del>	<del>\$ 17,761</del>
C.B. Motley	\$ 57,231
Prescott Bush	\$ 69,596
Winslow Celentano	\$ 78,785
Valley	\$ 63,765
Waverly	\$ 81,301
Stanley Justice	\$
Westville Manor	\$256,712
Eastview Terrace Phase 1	\$41,450
Wilmont Crossing	\$20,393
Monterey Phase 1B	\$194,489
Monterey Phase 1C	\$33,217
Monterey Phase 2R	\$22,331

- b. The RAD conversion will impact an existing CFFP to facilitate the conversion because the Bond Indenture for the Brookside Phase 1 CFFP Bonds requires that the amount of units of the ECC/HANH

not fall below 5% of the baseline units. Based upon the conversion schedule, ECC/HANH estimates that it will fall below the 5% threshold in 2017, and, therefore, ECC/HANH will need to defease enough of the Brookside Phase 1 CFFP Bonds to cover the amount of debt associated with the number of units below the 5% baseline.

## 9. Monterey Place Conversion

ECC/HANH and the Project Owner/Sponsor, Beacon Corcoran Jennison (“BCJ”), applied for and received RAD awards for Monterey Place Phase 1B, Phase 1C (as known as Monterey 4) and Phase 2R to convert the public housing apartments to Project-based Voucher Section 8 in February 2015.

Newly constructed in the late 1990’s Monterey Phase 1B, 1C and 2R is a 339-unit multi-phase privately owned HOPE VI development, of which 280 (83%) of the apartments receive public housing operating subsidy. Monterey Place is comprised of three rental phases known as

- 1B (237 units, 210 public housing),
- 1C (61 units, 42 public housing), and
- 2R (42 units, 28 public housing) – collectively referred to as “Monterey”.

Located in New Haven, CT, Monterey was one of the early HOPE VI developments. It was developed through a joint-venture of two well-establish affordable housing developers and property management companies, Beacon Communities LLC and Corcoran Jennison Companies. All of the land is owned in fee simple by The Housing Authority of the City New Haven CT (“ECC/HANH”) and ground leased to the ownership entities.

As part of this conversion, please note that it will not include any of the following:

- change in ownership
- new financing
- change to the bedroom mix
- relocation
- rehabilitation
- transfer of Assistance

ECC/HANH and BCJ have received CHAPs dated February 2015 for Monterey Phases 1B, 1C and 2R. Phase 1B is comprised of 6 AMPS that will be combined into one HAP contract and Monterey Phases 1C and 2R each have 1 AMP which is detailed below.



AMP NAME	BLOCK	AMP NUMBER	PH UNITS	TC UNITS	MK UNITS
<b>PHASE 1B</b>					
Monterey 1	Blocks E & F	CT 004000026	42	14	5
Monterey 2	Block H	CT 004000027	7	1	1
Monterey 3	69 Webster	CT 004000028	45	0	0
Monterey 5	Block G	CT 004000030	17	4	1
Edith Johnson	114 Bristol	CT 004000024	95	0	0
William Griffin	123 Bristol	CT 004000025	4	0	0
<b>PHASE 1C (aka Monterey 4)</b>					
Monterey 4	Blocks B & C	CT 004000029	42	16	3
<b>PHASE 2R</b>	<b>Blocks I &amp; A-1</b>	<b>CT 004000031</b>	<b>28</b>	<b>14</b>	

Within 60 days of the CHAP issuance, PHAs must submit:

- The significant amendment to its Annual/Five Year Plan. See section 1.5E and Attachment 1D of the RAD Notice.

The PHA's decision whether the project will convert its assistance to PBV or to PBRA. For conversions to PBV, where the PHA does not administer a Housing Choice Voucher program, the PHA must submit a signed letter from a voucher agency evidencing their willingness to administer the PBVs. Note that Monterey Place will convert to PBV.

The information set forth below are the items that must be covered in a PHAs Significant Amendment request or MTW's revision to the MTW plan:

#### Description of the Units to be Converted

During FY 2015, ECC/HANH received notice in February 2015 of RAD awards for Monterey Place Phase 1B, 1C (aka Monterey 4) and Phase 2R. Below, pursuant to Attachment 1D: Requirements for RAD-Specific Significant Amendment submissions are the details concerning Monterey Place. As noted above, this is a conversion of the public housing operating subsidy to PBV Section 8. As part of this conversion there is none of the following ... no change in ownership, no new financing, no change to the bedroom mix, no relocation, no rehabilitation (as noted above the units were newly constructed so only regular maintenance and capital needs are planned), and no transfer of Assistance. The only change is the form of subsidy associated with the public housing units.

### **Any Changes in the Number of Units That Are Proposed as Part of the Conversion**

As part of the conversion of the public housing subsidy to RAD PBV at Monterey Place, there aren't any changes to the number of units, bedroom mix or housing type.

### **Changes in Policies that Govern Eligibility, Admission, Selection and the Occupancy of units after Conversions**

As part of the RAD conversion, the property will receive RAD Project Based Vouchers for all residents currently receiving public housing operating subsidy. For new admissions to the now RAD units, ECC/HANH will qualify applicants in accordance to the PBV program requirements as detailed in is Administrative Plan. Concurrently, applicants will be qualifies for Low Income Housing Tax Credit (LIHTC) program requirements in accordance with the property's Tenant Selection Plan. This Tenant Selection Plan has been in place prior to the RAD conversion and does not represent a change in the admission's policy. Residents will continue to have the same rights as they currently have as a public housing resident.

### **Transfer of Assistance at time of Conversion**

There will not be a Transfer of Assistance at Monterey Place.

### **Indication of Compliance with Voluntary Compliance Agreement**

July 9, 2007, ECC/HANH entered a Voluntary Compliance Agreement (VCA) regarding complying with federal and state accessible standards. All requirements have been met.

## **10. MTW Fungibility**

ECC/HANH will use its MTW Fungibility to provide assistance for the 280 units at Monterey Place that are converting from public housing operating subsidy to PBV Section 8. We estimate that the average assistance per unit will be \$8,319 for a total monthly assistance of \$194,112. With an average estimated voucher payment of \$693 per month/per family providing assistance to the 280 RAD units would be the equivalent of 280 vouchers.

## **11. In Accordance with 24 CFR Part 903 –**

As part of the Public Notice informing the public of these Significant Amendments, ECC/HANH will include language specifying the reduction of Capital Fund Budget grants as a result of converting the ACC units to RAD.

Current Capital Fund Grant associated with: Monterey Place. As the 2016 CFP budget was just released, the estimated Capital Fund Grant associated with Monterey Place is \$241,808. Please note that the HUD has not provided HANH with a detailed breakdown of CFP by Project.

a.1. Current Capital Fund Grant associated with: Monterey CFP for 2015 is estimated at \$241,808.

The RAD conversion will impact an existing CFFP to facilitate the RAD conversion because the Bond Indenture for the Brookside Phase 1 CFFP Bonds requires that the amount of units of the ECC/HANH not fall below 5% of the baseline units. Based upon the conversion schedule, ECC/HANH estimates that it will fall below the 5% threshold in 2016, and, therefore, ECC/HANH will need to defease enough of the Brookside Phase 1 CFFP Bonds to cover the amount of debt associated with the number of units below the 5% baseline.

## **12. All Other Required Information**

ECC/HANH will post the revisions to the MTW Annual Plan as required by HANH's Amended and Restated Moving to Work Agreement. ECC/HANH will include all comments received and addressed prior to finalizing the Significant Amendments.

### **13. Cap on Mobility Transfer Voucher Related to RAD Conversion**