ELM CITY communities
Housing Authority of New Haven

MOVING TO WORK ANNUAL REPORT 2018

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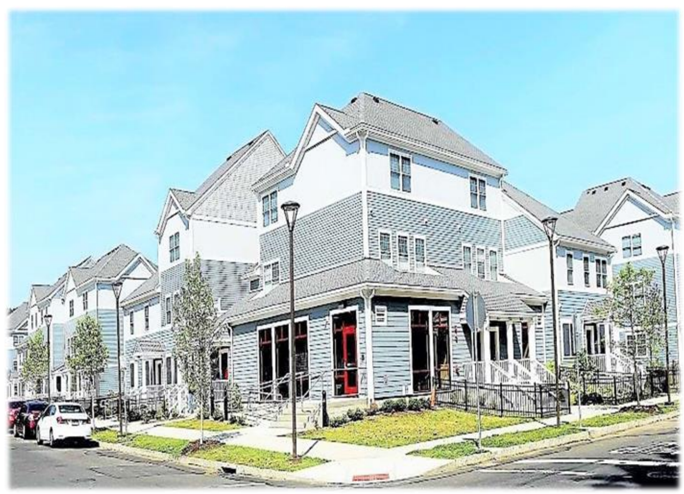

ECC/HANH families began moving into Mill River Crossing, the former Farnam Courts public housing community, in FY18. The newly-developed mixed-use, mixed-income community of 205 rental units was redeveloped through the Rental Assistance Demonstration (RAD) program and includes commercial and community space with an outdoor park.

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Making a Difference…

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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 and reports that articulate ECC/HANH's key policies, objectives, strategies, impact and outcomes 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 FY18 MTW Annual Report (October 1, 2017 to September 30, 2018) states ECC/HANH's MTW progress toward achieving goals and objectives outlined in the FY18 MTW Annual Plan.

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 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 to allocate resources according to local determinations of the most effective use of funds 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:

- Public Housing Operating Fund
- Public Housing Capital Fund
- Section 8 (HCV) Program

According to the MTW Agreement, ECC/HANH's MTW program does not include HUD grant funds committed to specific grant purposes, namely:

- ECC/HANH's HOPE VI grants for Monterey Place
- ECC/HANH's HOPE VI grants for Quinnipiac Terrace/Riverview
- Rental Assistance Demonstration (RAD) Grants
- Any future HOPE VI Revitalization grants
- Other competitive grant funds awarded for specific purposes

These grant funded programs committed to specific purposes require ECC/HANH to provide periodic reports to HUD. Although these grant funded programs are not included in ECC/HANH's MTW program, ECC/HANH has included information, where relevant, regarding these grant funded programs in this MTW Annual Report for FY18.

RESIDENT SPOTLIGHT

Sada Marshall, 40, has her sights set on owning a cleaning business. As a Housing Choice Voucher (HCV) recipient and a participant in the Resident-Owned Business (ROB) program, Sada sees this as an opportunity to move to self-sufficiency and relinquish her voucher to serve another low-income family. As a single mother of two children, ages 6 and 3, Sada notes that she has "been really thankful for the help" offered by the HCV program and has been renting with the same leasing agency for over 9 years. Sada has recently established her limited liability company (LLC) and plans to open Sadie's Cleaning Business, which will allow her to eventually train and hire employees and fulfill her dream of offering flexible employment opportunities to other single mothers like herself. Sada started with the ROB program shortly after starting with the Family Self-Sufficiency (FSS) Homebuyers program, where she has learned key steps to re-establishing her credit and increasing her savings to work toward homeownership. She notes that "working with the staff for the Resident Owned Business program has been amazing. I've learned a lot about business and it's given me a lot of confidence. They're giving out great advice and I'm grateful all the way around."

ECC/HANH's original MTW Agreement with HUD became effective retroactively on 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 area median income (AMI); therefore, ECC/HANH has executed the Second Amendment to its Restated and Amended Moving to Work Agreement with HUD that 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 to update and reinvigorate our agency's plans. ECC/HANH developed a Three-Year Strategic Plan from FY07 to FY09. 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.

SHORT TERM GOALS

DELIVER COST EFFECTIVE SOLUTIONS

1. Expand the rent simplification model
2. Invest in technology to add additional functionality – e.g., online housing applications; self-service access for applicants, residents and landlords; web-based payments to vendors and landlords
3. Provide services to local public housing agencies
4. Invest in energy efficiency through an energy service company
5. Complete RAD conversion opportunities within housing portfolio

EXPAND HOUSING CHOICE

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

HELP FAMILIES REACH SELF-SUFFICIECNY

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

LONG TERM GOALS

DELIVER COST EFFECTIVE SOLUTIONS

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

EXPAND HOUSING CHOICE

1. Complete final revitalization effort of HANH's public housing stock through revitalization/redevelopment or disposition of remaining poor-performing assets
2. Address housing crisis experienced by population of formerly incarcerated individuals by assisting with housing choices for individuals who engage in a comprehensive service approach to re-entry
3. Develop homeownership options at West Rock and Quinnipiac Terrace
4. Promote housing opportunities in the public housing and HCV program for income-eligible work-able families
5. Use housing choice vouchers to promote development of mixed-income, mixed-finance housing opportunities in non-HANH developments

HELP FAMLIES REACH SELF-SUFFICIENCY

1. Develop transitional models of assistance that move families toward self-sufficiency and away from subsidized housing in progressive steps
2. Expand resident-owned business initiative to increase the number of ECC/HANH contracts executed with business enterprises and support these businesses to successfully compete for other external contracts
3. Expand cost-effective training programs and increase resident participation
4. Expand supportive services program – especially critical for effective management of Elderly/Disabled developments – to support families as they move toward self-sufficiency
5. Partner with local school system to support student academic progress and attainment

OVERVIEW OF MTW INITIATIVES						
Label	**Description**	**Cost Effective**	**Expand Housing Choice**	**Increase Self-Sufficiency**	**FY Approved**	**Status**
1.1	Development of Mixed-Use Development of 122 Wilmot Road		✓		2009	Closed[1]
1.2	Local Total Development Cost (TDC) Limits	✓	✓		2009	Ongoing
1.3	Fungibility of MTW Funds	✓			2012	Ongoing
1.4 & 1.10	Defining Income Eligibility for the Project-Based Voucher Programs	✓	✓		2012	Ongoing
1.5	HCV Preference and Set-Aside for Victims of Foreclosures		✓		2009	Ongoing
1.6	Deconcentration of Poverty (Promote Expanded Housing Opportunities for HCV and PBV Programs)		✓		2008	Ongoing
1.7	Tenant-Based Vouchers for Supportive Housing for the Homeless		✓	✓	2010	Ongoing
1.8	Farnam Court Transformation Plan		✓		2011	Ongoing
1.9	Increase the Allowed Percentage of Project Based Voucher (PBV) Units from 75 Percent to 100 Percent in a Mixed-Finance Development	✓	✓		2012	Moved[2]
1.10	Income Skewing for PBVs in Mixed Finance	✓			2012	Moved[3]
1.11	Increase the Percentage of Housing Choice Voucher Budget Authority for the Agency that is Permitted to Project-Base from 20 Percent up to 25 Percent		✓		2013	Ongoing
1.12	Development of Replacement Public Housing Units with MTW Block Grant Funds		✓		2013	Ongoing
1.13	Creation of a Commercial Business Venture at 122 Wilmot Road	✓			2013	Closed[4]
1.14	Redevelopment of 99 Edgewood Avenue (Dwight Gardens)		✓		2013	Closed[5]

[1] Project completed
[2] Moved to "MTW Initiatives Requiring Funding Flexibility Only"
[3] Moved to join Initiative 1.4
[4] Project completed
[5] Project not being pursued

OVERVIEW OF MTW INITIATIVES (continued)						
Label	**Description**	**Cost Effective**	**Expand Housing Choice**	**Increase Self-Sufficiency**	**FY Approved**	**Status**
1.15	RAD Finance Development for Rockview Phase II Rental		✓		2014	Ongoing
1.16	Crawford Manor Transformation Plan		✓		2014	On Hold
1.17	Westville Manor Transformation Plan		✓		2014	Ongoing
2.1	Family Self-Sufficiency Program			✓	2007	Ongoing
2.2	Incremental Earned Income Exclusion			✓	2008	Ongoing
2.3	CARES (Caring About Resident Economic Self-Sufficiency)			✓	2012	Ongoing
2.4	Teacher in Residence			✓	2015	Ongoing
3.1	Rent Simplification	✓			2007	Ongoing
3.2	UPCS Inspections	✓			2008	Closed[6]
3.3	Revised HQS Inspection Protocol	✓			2011	Closed[7]
3.4	Mandatory Direct Deposit for Housing Choice Voucher Landlords	✓			FY10	Closed[8]
3.5	HCV Rent Simplification/Cost Stabilization Measures	✓			FY14	Ongoing
N/A	Fulton Park Modernization		✓		FY11	Ongoing
N/A	LIPH Income Targeting: Marketing Initiatives for Higher Income Eligible Families	✓			FY08	Closed

[6] Initiative no longer requires MTW flexibility
[7] Initiative was revised and relaunched as item 3.5
[8] Initiative does not require MTW flexibility

OVERVIEW OF MTW INITIATIVES REQUIRING MTW FLEXIBILITY ONLY				
Description	**Cost Effective**	**Expand Housing Choice**	**Increase Self-Sufficiency**	**Status**
Increase the Allowed Percentage of Project Based Voucher (PBV) Units from 75 Percent to 100 Percent in a Mixed-Finance Development[9]	✓	✓		Ongoing
Project Modernization – Various Projects		✓		Ongoing
Vacancy Reduction – Various Projects		✓		Ongoing
Resident-Owned Business Development			✓	Ongoing
SEHOP Capital Improvement Program			✓	Ongoing
Prison/Community Reentry			✓	Ongoing
Resident Services for Elderly/Disabled			✓	Ongoing
Cap on Project-Based Units in a Project	✓	✓		Closed[10]
Creation of New Instrumentality Entities to Support ECC/HANH Goals and Strategic Planning activities	✓			Ongoing

(II) GENERAL OPERATING INFORMATION

ANNUAL MTW REPORT

A. HOUSING STOCK INFORMATION

i. Actual New Project Based Vouchers
Tenant-based vouchers that the MTW PHA project-based for the first time during the Plan Year. These include only those in which at least an Agreement to enter a Housing Assistance Payment (AHAP) was in place by the end of the Plan Year. Indicate whether the unit is included in the Rental Assistance Demonstration (RAD).

PROPERTY NAME	NUMBER OF VOUCHERS NEWLY PROJECT-BASED		STATUS AT END OF PLAN YEAR	RAD?	DESCRIPTION OF PROJECT
	Planned	Actual			
Fairmont Heights	98	0	Moved to 2019	Yes	converted ACC units
McQueeney	150	0	Moved to 2019	Yes	converted ACC units
Winslow Celentano	65	0	Moved to 2019	Yes	converted ACC units
Robert T. Wolfe	93	0	On Hold	N/A	converted ACC units
Ruoppolo Manor	105	0	Moved to 2019	Yes	converted ACC units
Farnam Courts	99	0	Moved to 2019	Yes	converted ACC units
Waverly Townhouses	52	0	Moved to 2019	Yes	converted ACC units
Scattered Sites	20	0	Moved to 2019	Yes	converted ACC units
Katherine Harvey	17	17	Leased	Yes	17 converted ACC units
CB Motley	45	45	Leased	Yes	45 converted ACC units
New Hall Garden	26	26	Leased	Yes	26 converted ACC units
Prescott Bush	56	56	Leased	Yes	56 converted ACC units

826	144	**Planned/Actual Total Vouchers Newly Project-Based**

[9] Initiative no longer requires MTW flexibility
[10] Closed out in FY12 and replaced by the initiative "1.9: Increase the Allowed Percentage of Project-Based Units from 75 Percent to 100 Percent in a Mixed-Finance Development.

Please describe differences between the Planned and Actual Number of Vouchers Newly Project-Based:

The following update details the status of ECC/HANH's progress to complete RAD conversions:

- RAD Group 1, containing 144 units in CB Motley, Prescott Bush, KT Harvey, and Newhall Gardens is under construction, with a completion date of May 2019.
- RAD Group 2, consisting of Waverly Townhomes, Stanley Justice Landing, and Fulton Park, containing 71 units, received funding and is scheduled to close the first quarter of 2019.
- Farnam Courts received funding, consisting of 36 RAD units, will close the second quarter of 2019.
- A 9% LIHTC application for the remaining RAD units at Farnam was applied for in October 2018 with an anticipated award announcement in March 2019.
- RAD Group 3, consisting of McQueeney Tower, Ruoppolo Apartments, Celentano Towers, and Fairmont Heights, containing 420 units, has also received funding and is scheduled to close the second quarter of 2019.

ii. Actual Existing Project Based Vouchers

Tenant-based vouchers that the MTW PHA is currently project-basing in the Plan Year. These include only those in which at least an AHAP was in place by the beginning of the Plan Year. Indicate whether the unit is included in RAD.

PROPERTY NAME	NUMBER OF PROJECT-BASED VOUCHERS	PLANNED STATUS AT END OF PLAN YEAR*	RAD?	DESCRIPTION OF PROJECT
		Committed, Leased or issued?	Yes/No	Description
Fellowship I	18	Leased	No	100% Supportive Housing
Fellowship II	5	Leased	No	100% Supportive Housing units
Also Corner Stone	4	Leased	No	100% Supportive Housing
Norton Court	12	Leased	No	100% Supportive Housing
Cedar Hill	4	Leased	No	100% Supportive Housing
West Village	15	Leased	No	100% Supportive Housing Single Room Occupancy
QT Phase I	23	Leased	No	81 LITCH PBV units
QT Phase II	23	Leased	No	79 LITCH PBV units
QT Phase III	16	Leased	No	33 LITCH PBV units
Eastview Phase I	49	Leased	Yes	102 RAD/PBV units
Chatham/Eastview	2	Leased	Yes	2 RAD/PBV units
Brookside Phase I Rental	51	Leased	No	LITCH PBV units
Brookside Phase II Rental	51	Leased	No	LITCH PBV units
Rockview Phase I	47	Leased	No	LITCH PBV units
William T. Rowe	32	Leased	No	LITCH PBV units
122 Wilmot	13	Leased	Yes	LITCH PBV units

Park Ridge	60	Leased	No	Elderly/Disabled Housing
Frank Nasti Existing	11	Leased	No	Scattered Site PBV families
CUHO Existing	24	Leased	No	Scattered Sites PBV units families
CUHO New Construction	5	Leased	No	Scattered Sites PBV units Families
Sharternburg	20	Leased	No	20 PBV units for the City initiative 360 State-Families
Mutual Housing Existing	20	Leased	No	8 rehabilitation / 12 new construction affordable housing - 45.5% of units are PBV
Mutual Housing Assoc. Neighborhood Works Horizon	9	Leased	No	9 MHA PBV units
Mutual Housing Existing	15	Leased	No	PBV units
Casa Otonal	12	Leased	No	Elderly/Disabled
Christian Community Action	17	Leased	No	PBV units
Live Learn Play	19	Committed	No	PBV for Neighborhood Revitalization
Expanded Jurisdiction	19	Committed	No	PBVs outside of the New Haven Area
Residences at Ninth Square	55	Leased	No	Support the redevelopment of the 9th sq
122 Wilmot Road	34	Leased	Yes	RAD/PBV
Eastview Phase I	53	Leased	Yes	102 units – 48% of units are PBV; remaining 53 ACC units converted to RAD PBV
Twinbrook 9%	44	Leased	Yes	44 units of RAD converted ACC units – 80% PBV
Twinbrook 4%	51	Leased	Yes	51 units of RAD converted ACC units
Fair Haven, Chatham,Eastview	55	Leased	Yes	55 units of RAD converted ACC units and 2 PBVs
Edith Johnson	95	Leased	Yes	95 units of RAD converted ACC units
William Griffin	4	Leased	Yes	RAD converted ACC units
Monterey I	42	Leased	Yes	RAD converted ACC units
Monterey II	7	Leased	Yes	RAD converted ACC units
Monterey III	45	Leased	Yes	RAD converted ACC units
Monterey IV	42	Leased	Yes	RAD converted ACC units
Monterey V	17	Leased	Yes	RAD converted ACC units
Monterey 2R	28	Leased	Yes	RAD converted ACC units
Mill River Crossing Phase I	86	Leased	Yes	RAD Converted ACC units

1,936	1,254	**Planned/Actual Total Existing Project-Based Vouchers**

Please describe differences between the Planned and Actual Existing Number of Vouchers Project-Based:

ECC/HANH planned to convert 826 units to the RAD portfolio of which only 144 converted during the 2018 fiscal year.
The following update details the status of ECC/HANH's progress to complete RAD conversions:

- RAD Group 1, containing 144 units in CB Motley, Prescott Bush, KT Harvey, and Newhall Gardens converted in May of 2018.
- RAD Group 2, consisting of Waverly Townhomes, Stanley Justice Landing, and Fulton Park, containing 71 units, received funding and is scheduled to close the first quarter of 2019.
- Farnam Courts received funding, consisting of 36 RAD units, will close the second quarter of 2019.
- A 9% LIHTC application for the remaining RAD units at Farnam was applied for in October 2018 with an anticipated award announcement in March 2019.
- RAD Group 3, consisting of McQueeney Tower, Ruoppolo Apartments, Celentano Towers, and Fairmont Heights, containing 420 units, has also received funding and is scheduled to close the second quarter of 2019.

iii. Actual Other Changes to MTW Housing Stock in the Plan Year

Examples of the types of other changes can include (but are not limited to): units held off-line due to relocation or substantial rehabilitation, local, non-traditional units to be acquired/developed, etc.

ACTUAL OTHER CHANGES TO MTW HOUSING STOCK IN THE PLAN YEAR
There were 12 LIPH units approved by HUD for Master Lease for RAD relocation purposes. Those offline units were utilized for the RAD CB Motley Phase one construction.

iv. GENERAL DESCRIPTION OF ALL ACTUAL CAPITAL EXPENDITURES DURING THE PLAN YEAR

MTW flexibility allows ECC/HANH to address renovation needs in concert with agency-wide goals to provide housing of choice in sustainable residential communities. During FY18, ECC/HANH continued to manage an aging portfolio with renovation needs beyond the reach of available capital fund program (CFP) funding levels. As more of the ECC/HANH portfolio converts to project-based vouchers (PBV) under the Rental Assistance Demonstration (RAD) Program, fewer developments will be eligible for CFP funding. Given funding limitations, ECC/HANH was diligent to make the best use of its capital resources to meet critical needs in support of addressing health and safety, cost savings through implementation of energy conservation measures, and vacancy reduction/increased occupancy.

This fiscal year, CFP funding supported energy savings initiatives to replace obsolete heating and hot water equipment with installation of more energy-efficient mechanical systems. ECC/HANH expended $71,854 in CFP funds for radiator replacement and heating system upgrade contracts for all 109 units at Crawford Manor, providing elderly and disabled residents with individual radiator controls in their apartments.

ECC/HANH also expended $852,556 in CFP funds for complete replacement of obsolete furnace and hot water heaters with energy-efficient gas furnaces, including chimney liners in 40 of 201 units at McConaughy Terrace. The furnace and hot water heater replacements are part of a phased project at McConaughy Terrace, where furnace and hot water heaters were replaced at 30 apartments in prior years. ECC/HANH expects these improvements will increase resident comfort and provide reduced energy costs.

During FY18, ECC/HANH hired renovation and abatement contractors to continue to supplement staff efforts to bring vacant units back on-line. ECC/HANH expended $15,000 in CFP funds, $78,224 in MTW funds and $45,957 in fire insurance money to repair a fire-damaged apartment at McConaughy Terrace. By supplementing public housing operating funding, MTW flexibility permitted ECC/HANH to repair this uninhabitable apartment for re-occupancy and to reduce the vacancy rate at McConaughy Terrace. ECC/HANH also expended funds to complete hazardous materials abatement in one vacant unit at Westville Manor ($10,838 in CFP funds), one vacant unit at Crawford Manor and one area at Winslow-Celentano ($7,141 in MTW funds) for re-occupancy. Additional vacancies were deferred until forthcoming RAD conversion renovations.

GENERAL DESCRIPTION OF ALL ACTUAL CAPITAL EXPENDITURES DURING THE PLAN YEAR (continued)

In support of ECC/HANH's RAD conversion initiative, $3.1 million in CFP funds are supplementing multiple public and private funding sources toward pre-development expenses associated with the RAD conversion of 761 units. During FY18, ECC/HANH expended $967,818.76 in CFP funds (and $1,115,415.23 of CFP funds during FY17) toward RAD pre-development costs.

Five architectural and engineering (A&E) firms and two environmental consultant firms assisted ECC/HANH with design, construction management, potential hazardous materials testing, preparation of abatement scopes of work, and abatement monitoring services agency-wide, including assistance with RAD conversion developments. During FY18, ECC/HANH expended $98,306.64 in CFP funds for non-RAD A&E services and $96,318.65 in CFP funds for non-RAD environmental consulting services. RAD related A&E and RAD related environmental expenses are included in the above category RAD Portfolio Conversions A&E/Environmental.

Although ECC/HANH anticipated that all agency-wide physical needs assessments would be completed in prior fiscal years, fifteen scattered site locations were inadvertently omitted from the assessments and these were performed during FY18 at a cost of $28,750 in CFP funds.

In FY18, ECC/HANH expended $716,950 in CFP funds toward bond debt repayment for Brookside Phase 1 redevelopment in accordance with the authorized payment schedule. The bond debt repayment amount was lower than planned due to the May 2018 bond defeasance.

In support of CFP activities, during FY18 ECC/HANH expended $326,826.27 in CFP funds toward a portion of salaries and benefits to support four staff members. This is the 10% of CFP allowed for administrative costs. Two salaries were previously covered by the Operating fund. The amount expended is 10% of the CFP, as permitted.

The planned bathroom upgrades at Crawford Manor and sewer upgrades at McConaughy Terrace have been deferred due to insufficient funds to support these large-scale projects.

Energy Usage and Cost Effectiveness Outcomes

To assess the validity of our assumptions regarding cost savings at Crawford Manor, ECC/HANH has collected gas cost and usage data from October 2012 through May 2018.

GENERAL DESCRIPTION OF ALL ACTUAL CAPITAL EXPENDITURES DURING THE PLAN YEAR (continued)
In October 2015, large temporary boilers were rented and installed at Crawford Manor when the existing Domestic Hot Water Heaters (DHWH) failed. The design for replacement was already in motion, and new boilers were installed starting April 2016, and completed in October 2016. Phase II of the project replaced radiators in 109 units and provided residents with individual controls. Phase II construction started February 2017 and was completed in time for the heating season in October 2017. The cost of gas per volume-cubic foot (CCF) has almost doubled since 2012 (See FIGURE 1). The cost was \$0.68 per CCF in 2012, and the cost in 2018 was \$1.34 per CCF. This trend of increasing cost is an indicator that a solution was necessary to assist with operations costs. FIGURE 2 shows the gas usage by volume (CCF) over 3 years while Crawford Manor was functioning with the existing antiquated boilers and storage tanks. From 2012-2015 gas consumption at peak times during the cold months averaged 40,491 CCF. Upon installation of the temporary boilers, the gas usage dropped dramatically to an average of 10,186 CCF during peak consumption. Note that the peaks are shallower, indicating that the systems installed were more efficient in managing the call for heat and storage of Domestic Hot Water (DHW). FIGURE 3 shows the cost and usage per billing period, to indicate the direct correlation between cost and usage. Note that the upper trend line for overall gas consumption trends down over the 6 years, but the overall cost trend has remained level (lower line). This overall operational cost was maintained despite the doubling of the cost per CCF. FIGURES 4 through 6 detail changes once construction started. FIGURE 4 shows how peak gas consumption was reduced to under 12,000 CCF. There was a slight reduction in overall gas consumption from the use of the temporary boilers to the new system. Consumption increased slightly once the new radiators and individual controls were installed. This increase may be due to warmer weather experienced in Winter 2016, as compared to Winter 2017 in New Haven. Staff will continue to monitor gas consumption during the upcoming winter season for comparison. FIGURE 5 shows that even in the 3 most recent years, while under construction, there was an overall reduction of gas consumption. FIGURE 6 indicates that although the cost per billing period fluctuated, the annual cost to ECC/HANH remained the same. As costs for gas increase, ECC/HANH will be prepared with a system that is energy efficient and has saved 321,027.27 CCF in the past 3 years, which translates to a cost savings of \$83,344.25, or \$27,781.42 per year (FIGURE 7). If the cost of gas were to stay stable, this would provide \$416,721 savings for the 15-year estimated useful life of the system (FIGURE 7).

FIGURE 1: AVERAGE COST TO ECC PER CCF (1 CUBIC FOOT OF GAS) TRENDING UP

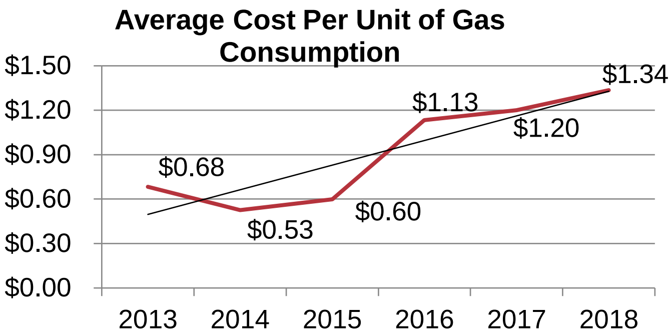


FIGURE 2: VOLUME OF GAS USED PER BILLING PERIOD, CCF TRENDING DOWN

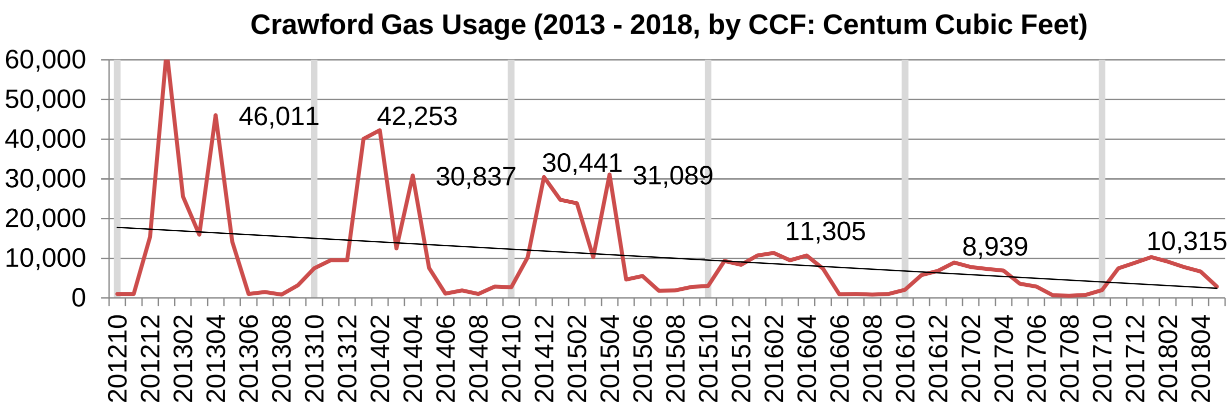


FIGURE 3: OVERLAY OF COST AND USAGE PER BILLING PERIOD
OCT 2012 – APR 2018 COST TRENDING DOWN

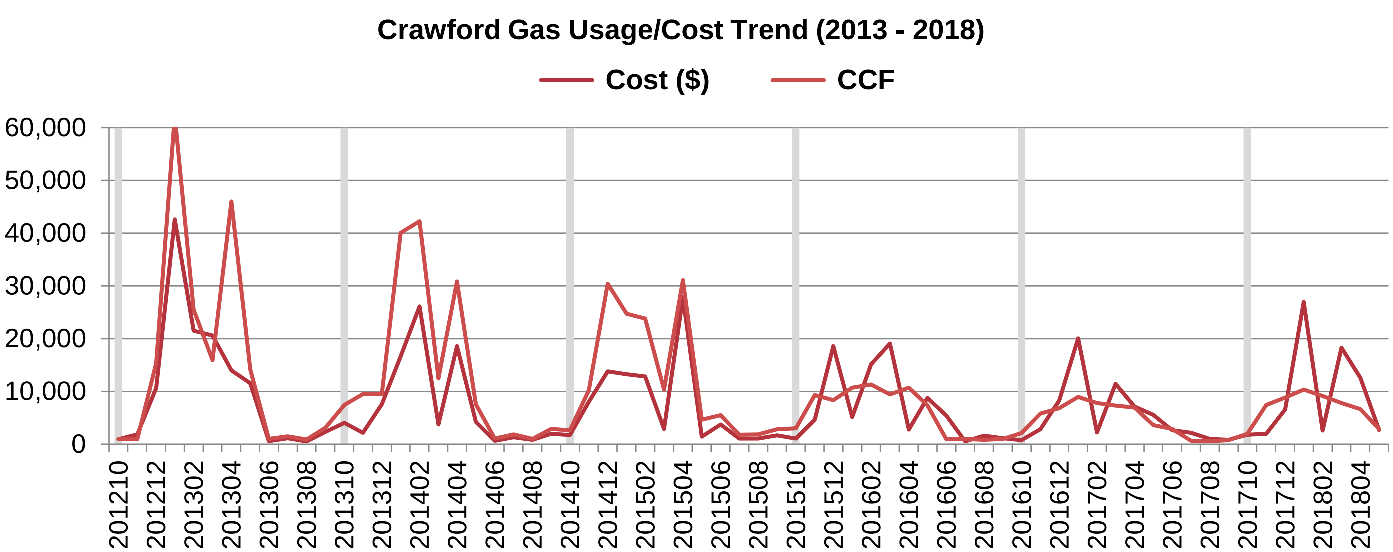


FIGURE 4: GAS COST OVERLAY ON USAGE FROM START OF CONSTRUCTION

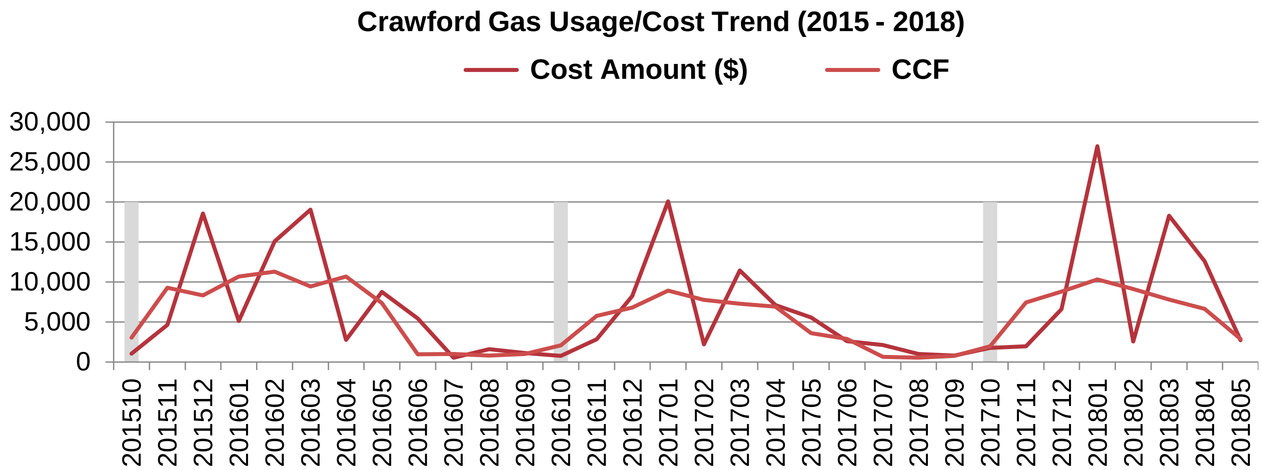


FIGURE 5: GAS USAGE TRENDING DOWN FROM TIME OF TEMPORARY BOILERS THROUGH COMPLETION

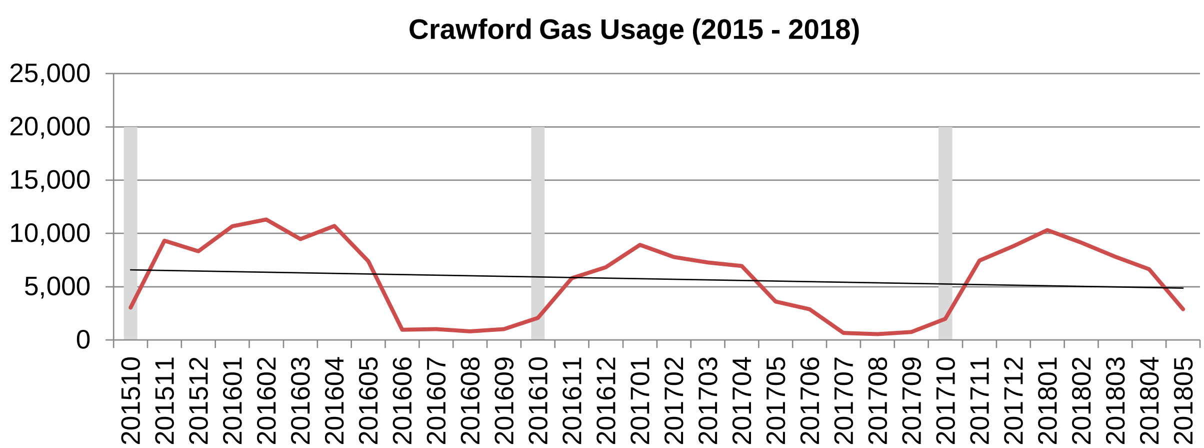


FIGURE 6: GAS COST REMAINING STABLE OVER A 3-YEAR PERIOD

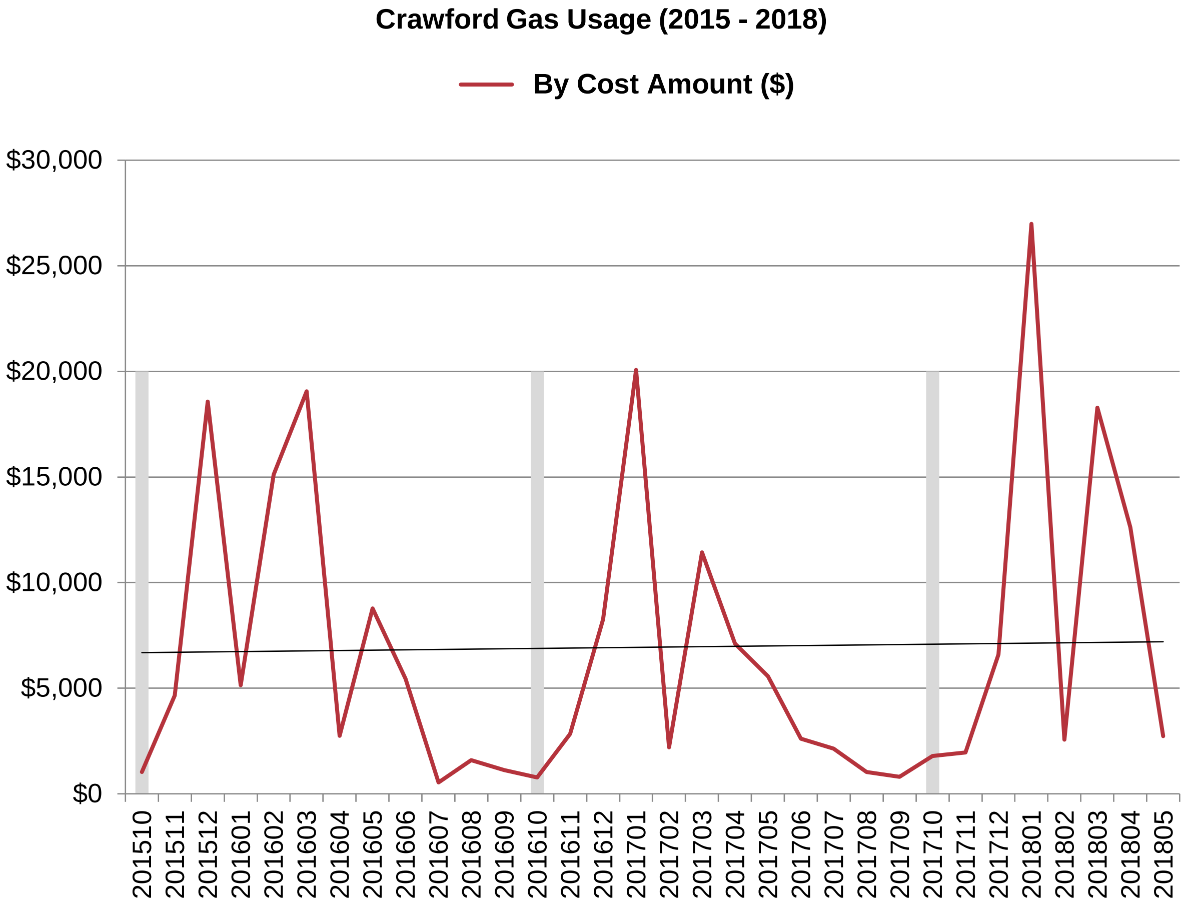


FIGURE 7: COST AND GAS SAVINGS FROM START OF CONSTRUCTION

CRAWFORD MANOR COST AND ENERGY SAVINGS		
YEAR	ANNUAL COST	CCF OF GAS
2013	$128,268.06	187,779.58
2014	$87,009.92	165,496.86
2015	$90,197.10	150,812.54
TOTAL	**$305,475.08**	**504,088.98**
2016	$83,793.09	73,984.94
2017	$64,848.34	54,050.19
2018	$73,489.40	55,026.58
TOTAL	**$222,130.83**	**183,061.71**
1ST 3 YRS	$305,475.08	504,088.98
2ND 3 YRS	($222,130.83)	(183,061.71)
SAVINGS OVER 3 YRS	**$83,344.25**	**321,027.27**

FIGURE 8: APPROVED AND ACTUAL CAPITAL EXPENDITURES FY 18

APPROVED AND ACTUAL CAPITAL EXPENDITURES FY18						
	APPROVED CAPITAL EXPEND.	ACTUAL CAPITAL EXPEND.	CFP TOTAL	MTW TOTAL	OTHER TOTAL	TOTAL ESTIMATED PROJECT COST
Agency Wide Vacancy Reduction	$200,000.00	$139,181.04	$15,000.00	$78,224.04	$45,957.00	$200,000.00
Crawford Boiler/Heating Upgrades in Phases	$100,000.00	$71,854.81	$71,854.81			$1,691,900.00
Crawford Bathroom Upgrades with Grab bars	$50,000.00	$0.00	$0.00			$2,500,000.00
RAD Portfolio Conversions A&E/Environmental	$3,100,000.00	$967,818.76	$967,818.76			$3,100,000.00
McConaughy Sewers	$50,000.00	$0.00	$0.00			$2,000,000.00
McConaughy Furnaces & Hot Water Heater Replacement in Phases	$100,000.00	$852,556.88	$852,556.88			$2,000,000.00
AMP Environmental Remediation	$100,000.00	$17,979.00	$10,838.00	$7,141.00		$100,000.00
IQC A&E	$100,000.00	$98,306.64	$98,306.64			$100,000.00
IQC Environmental	$100,000.00	$96,318.65	$96,318.65			$100,000.00
Agency Wide Needs Assessments	$0.00	$28,750.00	$28,750.00			$28,750.00
Brookside Bond Debt Service	$906,037.50	$716,950.00	$716,950.00			$909,037.50
Administration Salaries-Benefits (CFP only)	$200,000.00	$326,826.27	$326,826.27			$200,000.00
TOTAL	**$5,006,037.50**	**$3,316,542.05**	**$3,185,220.01**	**$85,365.04**	**$45,957.00**	**$12,929,687.50**

B. LEASING INFORMATION

i. Actual Number of Households Served

Snapshot and unit month information on the number of households the MTW PHA served at the end of the Plan Year.

NUMBER OF HOUSEHOLDS SERVED THROUGH:	NUMBER OF UNIT MONTHS OCCUPIED/LEASED		NUMBER OF HOUSEHOLDS SERVED	
	Planned	**Actual**	**Planned**	**Actual**
MTW Public Housing Units Leased	12360	19068	1030	1588
MTW Housing Choice Vouchers (HCV) Utilized	62136	55092	5178	4591
Local, Non-Traditional: Tenant-Based	N/A	#	#	#
Local, Non-Traditional: Property-Based	N/A	#	#	#
Local, Non-Traditional: Homeownership	N/A	#	#	#
Planned/Actual Totals	74796	74160	6208	6180

Please describe any differences between the planned and actual households served:

The planned number of units for LIPH is based on the number of units ECC/HANH expects to have at the beginning of the fiscal year based on:

- expected completion of development projects
- 95% to 98% occupancy rate
- historical average number of new admissions
- historical average number end of participations

The difference between planned and actual households served is due to the number of units transferred from the LIPH portfolio, as well as the actual number of number of new admissions during the fiscal year. During FY18, 144 of 819 LIPH units were transitioned to the HCV portfolio because of the RAD conversion.

LOCAL, NON-TRADITIONAL CATEGORY	MTW ACTIVITY NAME/NUMBER	NUMBER OF UNIT MONTHS OCCUPIED/LEASED *		NUMBER OF HOUSEHOLDS TO BE SERVED*	
		Planned	Actual	Planned	Actual
Tenant-Based	N/A	#	#	#	#
Property-Based	N/A	#	#	#	#
Homeownership	N/A	#	#	#	#
	Planned/Actual Totals				

HOUSEHOLDS RECEIVING LOCAL, NON-TRADITIONAL SERVICES ONLY	AVERAGE NUMBER OF HOUSEHOLDS PER MONTH	TOTAL NUMBER OF HOUSEHOLDS IN THE PLAN YEAR
N/A	#	#

ii. Discussion of Any Actual Issues/Solutions Related to Leasing

Discussion of any actual issues and solutions utilized in the MTW housing programs listed.

HOUSING PROGRAM	DESCRIPTION OF ACTUAL LEASING ISSUES AND SOLUTIONS
MTW Public Housing	During FY 2018 a number of LIPH units were set aside as swing units to assist with moves related to RAD. As a result, occupancy rates were low.
MTW Housing Choice Voucher	HCV did not have leasing issues during FY 2018 as anticipated.
Local, Non-Traditional	N/A

C. WAITING LIST INFORMATION

i. Actual Waiting List Information

Snapshot information on the actual status of MTW waiting lists at the end of the Plan Year. The "Description" column should detail the structure of the waiting list and the population(s) served.

WAITING LIST NAME	DESCRIPTION	NUMBER OF HOUSEHOLDS ON WAITING LIST	WAITING LIST OPEN, PARTIALLY OPEN OR CLOSED	WAS THE WAITING LIST OPENED DURING THE PLAN YEAR
MTW Public Housing	Site Based	6401	Partially Open	No
MTW Housing Choice Voucher	Program Specific	2610	Closed	No

Please describe any duplication of applicants across waiting lists:

Applicants can apply for various waitlists.

ii. Actual Changes to Waiting List in the Plan Year

Please describe any actual changes to the organizational structure or policies of the waiting list(s), including any opening or closing of a waiting list, during the Plan Year.

WAITING LIST NAME	DESCRIPTION OF ACTUAL CHANGES TO WAITING LIST
N/A	N/A
N/A	N/A

D. INFORMATION ON STATUTORY OBJECTIVES AND REQUIREMENTS

i. 75% of Families Assisted Are Very Low Income

HUD will verify compliance with the statutory requirement that at least 75% of the households assisted by the MTW PHA are very low income for MTW public housing units and MTW HCVs through HUD systems. The MTW PHA should provide data for the actual families housed upon admission during the PHA's Plan Year reported in the "Local, Non-Traditional: Tenant-Based"; "Local, Non-Traditional: Property-Based"; and "Local, Non-Traditional: Homeownership" categories. Do not include households reported in the "Local, Non-Traditional Services Only" category.

INCOME LEVEL	NUMBER OF LOCAL, NON-TRADITIONAL HOUSEHOLDS ADMITTED IN THE PLAN YEAR
80%-50% Area Median Income	N/A
49%-30% Area Median Income	N/A
Below 30% Area Median Income	N/A
Total Local, Non-Traditional Households Admitted	**N/A**

ii. Maintain Comparable Mix

HUD will verify compliance with the statutory requirement that MTW PHAs continue to serve a comparable mix of families by family size by first assessing a baseline mix of family sizes served by the MTW PHA prior to entry into the MTW demonstration (or the closest date with available data) and compare that to the current mix of family sizes served during the Plan Year.

BASELINE MIX OF FAMILY SIZES SERVED (upon entry to MTW)					
FAMILY SIZE	**OCCUPIED PUBLIC HOUSING UNITS**	**UTILIZED HCVs**	**NON-MTW ADJUSTMENTS ***	**BASELINE MIX NUMBER**	**BASELINE MIX PERCENTAGE**
1 Person	852	693	0	1545	32%
2 Person	435	726	0	1161	24%
3 Person	327	637	0	964	20%
4 Person	180	445	0	625	13%
5 Person	89	204	0	293	6%
6+ Person	87	152	0	239	5%
TOTAL	**1970**	**2857**	**0**	**4827**	**100%**

* *"Non-MTW Adjustments" are defined as factors that are outside the control of the MTW PHA. An example of an acceptable "Non-MTW Adjustment" would include demographic changes in the community's overall population. If the MTW PHA includes "Non-MTW Adjustments," a thorough justification, including information substantiating the numbers given, should be included below.*

Please describe the justification for any "Non-MTW Adjustments" given above:

N/A

MIX OF FAMILY SIZES SERVED (in Plan Year)				
FAMILY SIZE	**BASELINE MIX PERCENTAGE ****	**NUMBER OF HOUSEHOLDS SERVED IN PLAN YEAR^**	**PERCENTAGE OF HOUSEHOLDS SERVED IN PLAN YEAR^^**	**PERCENTAGE CHANGE FROM BASELINE YEAR TO CURRENT PLAN YEAR**
1 Person	32%	2483	40%	26%
2 Person	24%	1420	23%	-4%
3 Person	20%	1100	18%	-11%
4 Person	13%	658	11%	-18%
5 Person	6%	324	5%	-13%
6+ Person	5%	195	3%	-37%
TOTAL	**100%**	**6180**	**100%**	**0%**

** *The "Baseline Mix Percentage" figures given in the "Mix of Family Sizes Served (in Plan Year)" table should match those in the column of the same name in the "Baseline Mix of Family Sizes Served (upon entry to MTW)" table.*

^ *The "Total" in the "Number of Households Served in Plan Year" column should match the "Actual Total" box in the "Actual Number of Households Served in the Plan Year" table in Section II.B.i of this Annual MTW Report.*

^^ The percentages in this column should be calculated by dividing the number in the prior column for each family size by the "Total" number of households served in the Plan Year. These percentages will reflect adjustment to the mix of families served that are due to the decisions of the MTW PHA. Justification of percentages in the current Plan Year that vary by more than 5% from the Baseline Year must be provided below.

Please describe the justification for any variances of more than 5% between the Plan Year and Baseline Year:

Since baseline, there have been 10 RAD properties that have been brought on-line, an increase in VASH and SRO vouchers and an increase in MTW initiatives. There also has been an increase in 0 and 1-bedroom units and 1-person households being served.

iii. Number of Households Transitioned to Self-Sufficiency in the Plan Year

Number of households, across MTW activities, that were transitioned to the MTW PHA's local definition of self-sufficiency during the Plan Year.

MTW ACTIVITY NAME/NUMBER	NUMBER OF HOUSEHOLDS TRANSITIONED TO SELF SUFFICIENCY*	MTW PHA LOCAL DEFINITION OF SELF SUFFICIENCY
CARES	2	Number of Households to receive zero subsidy at the end of year 6.
Prison Community Reentry	38	Live Independently and be lease compliant
Resident Services Elderly/Disabled	102	Graduation from the Program
	0	**(*Households Duplicated Across MTW Activities*)**

142	**Total Households Transitioned to Self-Sufficiency**

** Figures should match the outcome reported where metric SS#8 is used in Section IV of this Annual MTW Report.*

Who We Serve

In FY18, ECC/HANH served 6,180 families (14,159 individuals total) through its low-income public housing (LIPH) and housing choice voucher (HCV) programs. During the 2001 baseline year, ECC/HANH served a total of 4,827 families. Current numbers reflect an increase of 1,353 families or 28%, indicating that MTW status has allowed ECC/HANH to increase the number of families being served. Many of these families fall in the extremely low-income category with 79% of LIPH and HCV families (4,818 total households) in this income category. Most households are small, with 40% of all households containing only one member and 81% containing between one and three members. LIPH units hold a greater ratio of one-member households, at 45%, compared to 39% in HCV units.

While ECC/HANH's HCV units house most of the organization's residents (74%), LIPH units house a greater ratio of vulnerable populations. Residing in the 1589 LIPH units, 65% are minority households, 84% of have extremely-low incomes, 14% receive public assistance, and 48% receive social security. Average incomes for public housing residents are 16% lower than the average income of HCV program participants.

more low-income families served by ECC/HANH since 2001.

RESIDENT SPOTLIGHT

Bernardo Falcon, 52, has a dream of opening his own immigration law firm. As an immigrant from Peru, and now a naturalized citizen, Bernardo understands the challenges that immigrants and their families face in the United States. Through the Caring About Resident Economic Self-Sufficiency (CARES) program, Bernardo has been able to pursue this dream step-by-step. Since enrolling in CARES, Bernardo has completed his associates degree, bachelor's degree, and eventually enrolled in a law degree. Bernardo is now pursuing a masters in immigration law to prepare himself to one day open his own firm. In the meantime, Bernardo works at a law firm and offers tax preparation services. "With the CARES program I saw the chance to support myself and my children, and to better my education," Bernardo says. The CARES program has been a great support not just for Bernardo, but also for his children, who have been able to use savings from rent deductions to be able to pursue their college degrees while living with their father. Even with the time limitations of the CARES program, Bernardo sees this as a critical way to move toward economic independence for his family. "For me, welfare of any kind is just a push, a way of helping out, so that you can start working by yourself."

Bernardo has also been able to take advantage of the programming offered through the Family Self-Sufficiency (FSS) Homebuyers program to prepare himself for homeownership. He says, "The FSS meetings are really interesting because you learn how to budget your money, how to manage your credit, and there's always something to learn. It's also a great way to learn about down payment assistance and other homeownership opportunities. There are so many programs that can assist you and FSS shows you the way to do it."

ECC/HANH POPULATION DEMOGRAPHICS - 2018					
Description	Public Housing		Housing Choice Voucher		Total
	Number	Percentage	Number	Percentage	
Total households	1589	26%	4591	74%	6180
Total individuals	3409	24%	10750	76%	14159
Average income	$13,707		$16,253		
Average TTP	$310		$379		
Households with extremely low-income	1336	84%	3482	76%	78%
Households with very low-income	173	11%	776	17%	15%
Households with low-income	30	2%	206	4%	4%
Households above low-income	50	3%	127	3%	3%
Households with no income	67	4%	188	4%	4%
Households with employment income	530	40%	1769	39%	37%
Households with public assistance	215	14%	348	8%	9%
Households with social security	758	48%	2024	44%	45%
Households with other income	351	22%	496	11%	14%
Minority households	1037	65%	2666	58%	60%
Non-minority households	552	35%	1925	42%	40%
1-member household	708	45%	1775	39%	40%
2-member household	374	24%	1046	23%	23%
3-member household	258	16%	842	18%	18%
4-member household	131	8%	527	11%	11%
5-member household	76	5%	248	5%	5%
6-member household	22	1%	101	2%	2%
7-member household	18	1%	30	1%	1%
8 or more-member household	2	0%	22	0%	0%

Low-Income Public Housing

At the end of FY18, ECC/HANH had a total 1,705 public housing units. This total included:

- 878 site-based family units (48% of LIPH stock)
- 637 elderly/disabled units (34% of LIPH stock)
- 190 scattered units (10% of LIPH stock)

As noted previously, twenty-six percent more families are assisted through ECC/HANH's affordable housing programs than were before ECC/HANH was granted MTW status. It is important to note, while ECC/HANH is decreasing the LIPH stock, the RAD stock has increased and thus residents are not losing housing opportunities.

The following table details in the LIPH portfolio during FY18.

Low-Income Public Housing Portfolio FY 2018						
Development Name	Type	Units beginning FY 18	Planned Units to Add	Planned Units to Remove During FY 18	Planned Units at FYE18	Actual Units at FYE18
CB Motley	Elderly	45	0	45	0	0
Katherine Harvey	Elderly	17	0	17	0	0
Newhall Gardens	Elderly	26	0	26	0	0
Prescott Bush	Elderly	56	0	56	0	0
Crawford Manor	Elderly /Disabled	109	0	0	109	109
Fairmont Heights	Elderly /Disabled	98	0	98	0	98
McQueeney Towers	Elderly /Disabled	150	0	150	0	150
RT Wolfe	Elderly /Disabled	93	0	93	0	93
Ruoppolo Manor	Elderly /Disabled	105	0	105	0	105
Val Macri	Elderly /Disabled	17	0	0	17	17
Winslow-Celentano	Elderly /Disabled	65	0	65	0	65
Brookside Phase 1	Family	50	0	0	50	50
Brookside Phase II	Family	50	0	0	50	50
Essex Townhouses	Family	35	0	0	35	35
Farnam Courts	Family	92	0	92	0	92
McConaughy Terrace	Family	201	0	0	201	201
New Rowe	Family	46	0	0	46	46
Quinnipiac Terrace I	Family	58	0	0	58	58
Quinnipiac Terrace 2	Family	56	0	0	56	56
Quinnipiac Terrace 3	Family	17	0	0	17	17
Rockview Phase 1 Rental	Family	30	0	0	30	30
Valley Townhouses	Family	40	0	0	40	40
Waverly Townhouses	Family	52	0	52	0	52
Westville Manor	Family	151	0	0	151	151
Scattered Site - East	Scattered	52	0	0	52	52
Scattered Site - Multi Family	Scattered	115	0	20	95	115
Scattered Site - West	Scattered	23	0	0	23	23
	Total	**1,849**	**0**	**819**	**1,030**	**1,705**

Offline Units	Actual Units at FYE18
Police Officer	11
Resident Services Activities	11
Administrative Uses	3
Total	**25**

At the start of FY18, ECC/HANH had budget authority for:

- 4394 MTW Housing Choice Vouchers
- 519 RAD vouchers
- 266 Tenant Protection Vouchers for former residents of Church St. So
- 80 Single Room Occupancy (SRO) vouchers
- 85 Veterans Administration Supportive Housing (VASH) vouchers

This resulted in a total voucher capacity of 5344 vouchers. 144 RAD vouchers planned for conversion in FY18 were converted, bringing the total RAD count to 663. ECC/HANH ended the year with a total voucher count of 5488. Of the 5488 total vouchers, 5015 were utilized, with a utilization rate of 91%.

Housing Choice Voucher Program Portfolio FY 2018							
Housing Program & Type	**Description**	**Units Beginning FY18**	**Planned Units to be Removed**	**Planned Units to be Added**	**Actual Units Added During FY18**	**Actual Units at FYE18**	**Actual Vouchers Utilized**
Total MTW vouchers authorization		**4394**	**0**	**0**	**0**	**4394**	**4007**
Tenant Protection Vouchers - Church Street South	Vouchers received to assist displaced Church St. South residents	266	0	0	0	266	241
RAD conversion vouchers	Vouchers dedicated for RAD conversions	519	0	144	144	663	621
Mod Rehab-Single Room Occupancy	Vouchers assigned to 80 SRO units	80	0	0	0	80	77
HUD VASH	Vouchers designated for 85 units of veterans supportive housing	85	0	0	0	85	69
Total Voucher Capacity		**5344**	**0**	**144**	**144**	**5488**	**5015**

Project-Based Vouchers							
PBV Efforts to End Homelessness							
Housing Program & Type	Description	Units Beginning FY18	Planned Units to be Removed	Planned Units to be Added	Actual Units Added During FY18	Actual Units at FYE18	Actual Vouchers Utilized
PBV Fellowship I	100% supportive housing	18	0	0	0	18	18
PBV Fellowship II	100% supportive housing	5	0	0	0	5	5
PBV Also Cornerstone (CoC)	100% supportive housing	4	0	0	0	4	4
PBV Norton Court (CoC)	100% supportive housing	12	0	0	0	12	8
PBV Cedar Hill	100% supportive housing	4	0	0	0	4	4
PBV West Village	100% supportive housing SRO units (52 Howe St.)	15	0	0	0	15	15
PBV Efforts to End Homeless Subtotal		**58**	**0**	**0**	**0**	**58**	**54**

Project-Based Vouchers							
PBV Housing Redevelopment							
Housing Program & Type	Description	Units Beginning FY 18	Planned Units to be Removed	Planned Units to be Added	Actual Units Added During FY 18	Actual Units at FYE18	Actual Vouchers Utilized
PBV QT Phase 1	81 units 28% PBV units	23	0	0	0	23	23
PBV QT Phase 2	79 units 29% PBV units	23	0	0	0	23	22
PBV QT Phase 3	33 rental units 48% PBV units	16	0	0	0	16	16
PBV Eastview Phase I	102 units 48% PBV units	49	0	0	0	49	48
PBV Brookside Phase I Rental	100 affordable rental mixed 50% PBV units	51	0	0	0	51	48
PBV Brookside Phase 2 Rental	51 PBV for affordable housing for families in 1 to 4-bedroom units	51	0	0	0	51	49
PBV Rockview Phase I Rental	47 units for affordable housing 61% PBV units	47	0	0	0	47	46
PBV New Rowe Building	104 affordable mixed-use, mixed-finance developments 31% PBV units	32	0	0	0	32	31
PBV 122 Wilmot Road	13 PBVs for affordable housing for elderly in 1 and 2-bedroom accessible units	13	0	0	0	13	13
PBV Park Ridge	100% elderly/disabled housing	60	0	0	0	60	58

Project-Based Vouchers							
PBV Housing Redevelopment (continued)							
Housing Program & Type	Description	Units Beginning FY 18	Planned Units to be Removed	Planned Units to be Added	Actual Units Added During FY 18	Actual Units at FYE18	Actual Vouchers Utilized
PBV Frank Nasti Existing	scattered site PBV – families	11	0	0	0	11	8
PBV CUHO Existing	scattered site PBV – families	24	0	0	0	24	11
PBV CUHO New Construction	affordable 8-unit rental housing development – families	8	0	0	0	8	5
PBV Shartenberg	20 PBV units for City initiative 360 State - families	20	0	0	0	20	16
PBV Mutual Housing Assoc. (Neighborhood Works/New Horizon) New Construction	8 rehabilitation / 12 new construction affordable housing - 45.5% of units are PBV	20	0	0	0	20	18
PBV Mutual Housing Assoc. (Neighborhood Works/New Horizon)	10 MHA PBV units	9	0	0	0	9	7
Mutual Housing Existing	15 MHA PBV Units	15	0	0	0	15	12
PBV Casa Otonal	12 PBV units	12	0	0	0	12	12
PBV Housing Redevelopment Subtotal		484	0	0	0	484	443
PBV Subtotal		542	0	0	0	542	497

Rental Assistance Demonstration (RAD) Conversion							
Housing Program & Type	Description	Units Beginning FY18	Planned Units to be Removed	Planned Units to be Added	Actual Units Added During FY18	Actual Units at FYE18	Actual Vouchers Utilized
RAD 122 Wilmot Road	34 PBV	34	0	0	0	34	32
RAD Eastview Phase I	102 units – 48% PBV units; remaining 53 ACC units converted to RAD PBV	53	0	0	0	53	50
RAD Ribicoff (Twin Brook)– 9%	44 RAD units – 80% PBV units; 11 market-rate units	44	0	0	0	44	41
RAD Ribicoff (Twin Brook) -4%	51 units RAD units	51	0	0	0	51	47
RAD Fair Haven/ Farnam	55 units of RAD converted ACC units and 2 PBVs	57	0	0	0	57	56
RAD Monterey Place- Edith B Johnson	95 units of RAD converted ACC units	95	0	0	0	95	92
RAD Monterey Place- William Griffin	4 units of RAD converted ACC units	4	0	0	0	4	4
RAD Monterey Place 1	42 units of RAD converted ACC units	42	0	0	0	42	42
RAD Monterey Place 2	7 units of RAD converted ACC units	7	0	0	0	7	7
RAD Monterey Place 3	45 units of RAD converted ACC units	45	0	0	0	45	45
RAD Monterey Place 4	42 units of RAD converted ACC units	42	0	0	0	42	41
RAD Monterey Place 5	17 units of RAD converted ACC units	17	0	0	0	17	14
RAD Monterey Place 2R	28 units of RAD converted ACC units	28	0	0	0	28	27
RAD McQueeney Towers	150 units of converted ACC units	0	0	0	0	0	0
RAD Fairmont Heights	98 units of converted ACC units	0	0	0	0	0	0
RAD Matthew Ruoppolo Manor	105 units of converted ACC units	0	0	0	0	0	0
Rental Assistance Demonstration (RAD) Conversion							

Housing Program & Type	Description	Units Beginning FY18	Planned Units to be Removed	Planned Units to be Added	Actual Units Added During FY18	Actual Units at FYE18	Actual Vouchers Utilized
RAD Matthew Ruoppolo Manor	105 units of converted ACC units	0	0	0	0	0	0
RAD Winslow Celentano	65 units of converted ACC units	0	0	0	0	0	0
RAD Robert T. Wolfe	93 units of converted ACC units	0	0	0	0	0	0
RAD Prescott Bush	56 units of converted ACC units	0	0	56	56	56	54
RAD Waverly Townhouses	52 units of converted ACC	0	0	0	0	0	0
RAD Valley Townhouses	40 units of converted ACC	0	0	0	0	0	0
RAD CB Motley	45 units of converted ACC	0	0	45	45	45	29
RAD Newhall Gardens	26 units of converted ACC	0	0	26	26	26	25
RAD Katherine Harvey Terrace	17 units of converted ACC	0	0	17	17	17	15
RAD Fulton Park	12 units of converted ACC	0	0	0	0	0	0
RAD Stanley Justice	7 units of converted ACC	0	0	0	0	0	0
RAD Conversion Subtotal	**519**	**0**	**144**	**144**	**663**	**621**	
	PBV + RAD Subtotal	**1061**	**0**	**144**	**144**	**1205**	**1118**

Tenant-Based Vouchers							
TBV Supportive Housing Efforts							
Housing Program & Type	**Description**	**Units Beginning FY 18**	**Planned Units to be Removed**	**Planned Units to be Added**	**Actual Units Added During FY 18**	**Actual Units at FYE18**	**Actual Vouchers Utilized**
Tenant Based DHMAS Supportive – Housing First	supportive housing	10	0	0	0	10	10
DMHAS Mental Health Transformation Grant – FUSE	supportive housing	10	0	0	0	10	7
Family Options – Homeless	supportive housing	15	0	0	0	15	10
Permanent Enrichment	supportive housing	10	0	0	0	10	7
Foreclosure Prevention	foreclosure prevention	40	16	0	0	24	17
Family Unification Supportive Housing	DCF Family	20	0	0	0	20	17
Homelessness/Imminent Danger of Homelessness	formerly foreclosure PBV	40	0	0	0	40	18
Supportive Housing/Homelessness Prevention l	supportive housing/homelessness prevention	51	0	0	0	51	35
Project Longevity	20 vouchers for City initiative targeting homeless former offenders	20	0	0	0	20	20
Re-entry Fresh Start	10 vouchers for re-entry applicants through City Fresh Start	10	0	0	0	10	10
Supportive Housing Efforts Subtotal		**201**	**16**	**0**	**0**	**210**	**151**

Tenant-Based Vouchers (continued)							
Housing Program & Type	**Description**	**Units Beginning FY 18**	**Planned Units to be Removed**	**Planned Units to be Added**	**Actual Units Added During FY 18**	**Actual Units at FYE18**	**Actual Vouchers Utilized**

Tenant Based Vouchers (not assigned to special use)		3113	0	0	0	3113	3090
Expanding Housing Choice							
CARES (SEHOP)	10 vouchers set aside for CARES participants	5	0	0	0	5	0
Section Eight Home Ownership Program (SEHOP)	50 vouchers set aside for LIPH & HCV Homeownership Program	60	0	0	0	60	28
West Rock Homeownership Phase 1	5 new homeownership units	5	0	0	0	5	0
Tenant Protection Vouchers for Church St. South	270 vouchers for CSS dislocated residents	266	0	0	0	266	241
State and Local Initiatives vouchers to support housing choice and preservation	new activity: 50 vouchers	50	0	0	0	50	0
Expanding Housing Choice Subtotal		**376**	**0**	**0**	**0**	**386**	**269**
Tenant-Based Vouchers Subtotal		**3,690**	**16**	**0**	**0**	**3,709**	**3,510**
PBV+RAD+TBV MTW Subtotal		**4,751**	**16**	**144**	**144**	**4,914**	**4,628**

Non MTW VASH and SRO Vouchers							
Housing Program & Type	Description	Units Beginning FY 18	Planned Units to be Removed	Planned Units to be Added	Actual Units Added During FY 18	Actual Units at FYE18	Actual Vouchers Utilized
Non-MTW VASH		85	0	0	0	85	69
Non-MTW SRO		80	0	0	0	80	77

	Units Beginning FY 18	Actual Units at FYE18
MTW Voucher Utilization Rate	93%	92%
Available MTW Vouchers for Use	329	418

III. PROPOSED MTW ACTIVITIES

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

ONGOING ACTIVITIES

INITIATIVE 1.2 – LOCAL TOTAL DEVELOPMENT COST (TDC) LIMITS

Cost Effective

Housing Choice

Approved in FY09 and implemented in FY10.

Description and Status

ECC/HANH has determined that HUD's standard Total Development Costs (TDC) and Housing Construction Costs (HCC) limits do not reflect the local marketplace conditions for development and redevelopment activities. HUD's TDC and HCC cost limit reflects an industry average, but construction costs in New Haven are higher than the national average. ECC/HANH uses higher quality products to:

- reduce maintenance cost
- increase durability
- enhance the quality of life of the residents
- remain marketable and competitive in the local rental market

ECC/HANH's design standards include higher quality materials for long-term viability and durability. Using higher quality materials for development and redevelopment activities increases the marketability of units, quality of housing for low-income families, improves energy efficiency and reduces the number of requests for emergency work orders. Likewise, by using higher quality materials ECC/HANH anticipates faster lease ups and fewer unit turnovers.

ECC/HANH prepared a TDC and HCC schedule, which reflects construction and development costs in New Haven. ECC/HANH first submitted its revised Alternate TDC and HCC schedule as part of the Appendix to the FY09 Annual MTW Report. On July 2, 2010, ECC/HANH received HUD approval for its Alternate TDCs and HCC limits. During FY12, ECC/HANH submitted revised TDC and HCC limits that were approved in FY14. During FY14, ECC/HANH continued to use the approved 2009 TDC and HCC limits while using them for the Rockview Redevelopment. The TDC schedule was updated in the FY17 Annual MTW Plan Amendment Appendix 2.

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

The developments that have used alternate TDC schedule limits to date are as follows:

- Eastview Terrace Phase 1
- William T. Rowe, Quinnipiac Terrace Phase III
- 122 Wilmot Road
- Brookside Phase 1
- Brookside Phase 2
- Rockview Phase I
- Fair Haven
- Ribicoff 4%
- Ribicoff 9%
- Farnam Phase 1 onsite

To date, ECC/HANH has preserved 802 units using TDC schedule limits.

ECC/HANH is currently closing the Westville Manor offsite development, Rockview Phase II (see Initiative 1.12) using alternate TDCs. ECC/HANH submitted joint LIHTC and State of Connecticut Department of Housing Funding application for the following redevelopment projects:

- Farnam Phase 2 A
- Farnam Phase 2 B
- Valley Townhomes

If awarded, ECC/HANH anticipates closing on these developments in FY19 using alternate TDCs.

Impact

The ability to use TDCs representing the cost of construction within the locale provides for increased housing quality, marketable units, reduction in maintenance cost, enhanced quality of life for our residents and housing of choice. Without TDC schedule limits, ECC/HANH could not redevelop quality sustainable affordable housing because of high construction cost.

ECC/HANH has been undergoing a concerted effort to convert LIPH units to RAD. Because of the subsequent decrease in LIPH units, ECC/HANH did not meet their original benchmark for “Units of Housing Preserved” and does not expect to meet the benchmark in the future. Therefore, a new benchmark has been developed (decrease of 5% from previous year).

ECC/HANH met all the benchmarks because of using a local TDC such as leveraged dollars, increase in REAC scores, decrease in work orders, and reduction of utility cost.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark***	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 units (frozen 2001 base)	Decrease of 5% from previous year	2018: 1,705 units 2017: 1,849 units 2016: 2,310 units 2015: 2,447 units 2014: 2,447 units 2013: 2,613 units	Yes

** Prior to FY16, the benchmark was 2,529 units. However, ECC/HANH is reducing the number of LIPH units and converting them to RAD, so the benchmark was updated.*

Internal Metrics

Redevelopment Metrics				
Internal Metric #1: Increase in Agency Revenue*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Increase in agency revenue – Farnam Phase I redevelopment fees	$0	$0	2018: $3,487,725 2017: $890,453	Yes
Increase in agency revenue – Ribicoff 9% redevelopment fees	$0	$0	2016: $2,000,000	Yes
Increase in agency revenue – Ribicoff 4% redevelopment fees	$0	$0	2016: $2,077,570	Yes
Increase in agency revenue – Fair Haven redevelopment fees	$0	$0	2016: $2,905,743	Yes
Increase in agency revenue – Rowe redevelopment fees	$0	$0	2014: $893,374	Yes
Increase in agency revenue – Brookside Phase I redevelopment fees	$0	$0	2014: $1,081,094	Yes
Increase in agency revenue – Brookside Phase II redevelopment fees	$0	$0	2014: $725,704	Yes
Increase in agency revenue – Rockview Phase I redevelopment fees	$0	$0	2014: $744,389	Yes
Increase in agency revenue – 122 Wilmot Road redevelopment fees	$0	$0	2014: $1,419,767	Yes

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those reflecting alternate TDCs)	10% increase. REAC scores would reach 88.	See “REAC Scores for LIPH Properties” table below	Yes, for applicable developments
Internal Metric #3: Average Work Order				
Work orders per property	N/A	Brookside Phase I: 1,000 (10 work/year) Brookside Phase II: 1,000 QT1: 560 QT2: 580 QT3: 170 Eastview: 1,020	See “Number of Annual Work Orders for LIPH Properties” table below	No
Internal Metric #4: TDC* **				
Average (Actual TDC - TDC at HUD's limits)/number of units	HUD’s approved TDC limit	This metric cannot be narrowly defined into a single figure. However, ECC/HANH's goal is not to exceed HUD's approved alternative TDC limit.	Ribicoff 9% TDC: $301,862 Ribicoff 4% TDC: $322,005 Fair Haven TDC: $375,294 Farnam TDC: $313,596	Yes
Average (Actual HCC - HCC at HUD's limits)/number of units	HUD’s Approved HCC limit	This metric cannot be narrowly defined into a single figure. However, ECC/HANH's goal is not to exceed HUD's approved alternative HCC limit.	Ribicoff 9%: HCC $197,444 Ribicoff 4% HCC $198,524 Fair Haven HCC $214,291 Farnam HCC $180,365	Yes

Internal Metric #6: Utility Expense Per Unit ****				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Reduction of utility expenses per unit, pre and	Valley Waverly: $900 per unit/ per month in 2012	5% reduction; Electric utility expenses would	See “Annual Per Unit Per Month Utility Costs,	Yes

post redevelopment – Electric		reach approximately $858.33 per unit	Electricity" table below	
Reduction of utility expenses per unit, pre and post redevelopment – Gas	Valley Waverly: $60.83 per unit/ per month in 2012	5% reduction; Gas utility expenses would reach approximately $65.83 per unit	See "Annual Per Unit Per Month Utility Costs, Gas" table below	Yes
Internal Metric #7: Crime Rate*****				
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY03: 13 West Rock (122 Wilmot, Brookside I and II) major crimes in FY05: 47	10% reduction in number of major crimes	See "Major Crimes" table below	Yes
Internal Metric #8: Occupancy				
Occupancy	FY01 Brookside Phase I: 85% FY01 Brookside Phase II: 0% FY01 Quinnipiac I: 83% FY01 Quinnipiac II: 0% FY01 Quinnipiac III: 0% FY08 Rowe: 76%	95% occupancy rate	See "Point in Time Occupancy Rates for LIPH Properties" table below	Yes, for applicable developments and overall occupancy rate

** ECC/HANH and its affiliates has created a new stream of revenue from redevelopment activities. The redevelopment fees are paid by investors and compensate ECC/HANH for administrative costs. This chart will be removed in FY 2019, per notice in the FY19 Annual Plan.*
*** In FY19, benchmarks will be established for additional developments.*
**** The TDC and HCC baselines were updated from "Zero at program inception" to HUD's Approved TDC/HCC." The TDC and HCC metrics will be updated in an amendment to the 2017 MTW Plan.*
***** In 2012, ECC/HANH calculated utilities savings by comparing post-redevelopment average per-unit utility costs at Eastview Terrace and Quinnipiac Terrace to average per-unit utility cost at Valley Waverly, which is not a redeveloped building. ECC/HANH requested data from the public utility to update the later fiscal years but did not receive that information. Utility costs began being presented by per unit per month in FY17.*

REAC Scores for LIPH Properties										
Development	2018	2017	2016	2015	2014	2013	2012	2011	2010	2009
Brookside Phase I*	95	95		92						
Brookside Phase II*	91	91		95						
Constance Motley**				90						
Crawford Manor		78	69			88				
Edith Johnson Towers**				95						
Eastview Terrace*/**							95			
Farnam Courts*/**	36		56							
Katherine Harvey Terrace**	86	86			95					
McConaughy Terrace							82	78	58	70
McQueeney**	63		70				64	59	85	54
Monterey 1**					96					
Monterey 2**					92					
Monterey 4**					92					
Monterey 5**					91					
Newhall Gardens**			96							
Prescott Bush Mall**				97						
Quinnipiac Terrace Phase I*	82	82		88		98	89			
Quinnipiac Terrace Phase II*	93	93		85						
Quinnipiac Terrace Phase III*			85							
Ribicoff Cottages - EXT**							82	82	68	91
Robert T Wolfe**		71		85			82	49	80	51
Rockview Phase I*	97	97		96						
Ruoppolo/Fairmont**						86	79	65	61	56
St. Anthony II		58								
Val Macri				94						
Waverly Townhouses**		65								
Westville Manor		58					47	51	35	90
Wilmot Crossing*/**					93					
Winslow-Celentano**		58	70			84	71	74	72	53
WT Rowe*	90	90		99						
Scattered Sites II		80								
Scattered Sites III		67	61							

Note: Not all sites are expected every year.

Number of Annual Work Orders for LIPH Properties				
Development	**FY 18**	**FY 17**	**FY 16**	**Other Years**
Brookside Phase I	No data	No data	461	2013: 1,311
Brookside Phase II	No data	No data	472	
Brookside I, Brookside II & Rockview I		N/A	N/A	2014: 1,562
Charles T. McQueeney	769	1,008	1,312	N/A
Constance B Motley	197	609	573	N/A
Crawford	907	1,461	No data	N/A
Eastview Terrace	951	1,323	625	N/A
Essex Townhouses		220	190	N/A
Fairhaven Chatham	238	92	No data	N/A
Fairhaven Eastview	176	129	No data	N/A
Fairmont Heights	588	756	1024	N/A
Farnam Courts	298	607	1002	N/A
Katherine Harvey Terrace	111	172	132	N/A
Mathew Ruoppolo	440	535	607	N/A
McConaughy Terrace	1512	2,981	1,612	N/A
Newhall Gardens	106	312	360	N/A
Prescott Bush	165	734	464	N/A
Quinnipiac I		2,826	531	2013: 204
Quinnipiac II		2,815	608	2013: 273
Quinnipiac III		1,148	277	2013: 289
Quinnipiac Terrace I, II & III		N/A	N/A	2014: 1,351
Ribicoff 4% & 9%	1222	404	122	N/A
Robert T. Wolfe	336	978	465	N/A
Rockview		No data	48	N/A
Scattered Sites All	1348	1,586	990	N/A
Valley/Waverly	775	1,339	1,470	N/A
Westville	710	961	1,206	N/A
William T. Rowe	520	585	649	N/A
Wilmot	1346	338	175	N/A
Winslow Celentano	649	933	765	N/A

Annual Per Unit Per Month Utility Costs, Electricity				
Development	FY18	FY17*	FY16	Other Years
Eastview I	$41.78	$68.97	$75.07	2012: $821.92
Fair Haven	$174.69	$124.57	No data	
Quinnipiac	No data	No data	No data	2012: $473.75
Ribicoff 4%	$193.95	$159.52	No data	
Ribicoff 9%	$214.05	$183.81	No data	
Wilmot	$215.10	$143.41	No data	
WT Rowe	$170.19	$671.59	$105.46	
Valley Waverly	No data	No data	No data	2012: $900

Annual Per Unit Per Month Utility Costs, Gas				
Development	FY18	FY17	FY16	Other Years
Eastview I	$14.69	$11.99	$7.00	2012: $27.75
Fair Haven	$19.27	$31.17	No data	
Quinnipiac	No data	No data	No data	2012: $34.58
Ribicoff 4%	$29.11	$13.28	No data	
Ribicoff 9%	$24.20	$22.21	No data	
Wilmot	$17.88	$9.88	No data	
WT Rowe	$36.14	$32.22	$6.02	
Valley Waverly	No data	No data	No data	2012: $60.83

Number of Major Crimes*					
Development	2018	2017	2016	2014	2012
Eastview Terrace	9	7	1	0	0
Ribicoff 4%	0	1	0	N/A	N/A
Ribicoff 9%	0	1	0	N/A	N/A
Quinnipiac Terrace	7	0	2	4	3
West Rock (122 Wilmot, Brookside I and II)	2	N/A**	N/A**	7	25
Westville	8	1	0	0	0
William T Rowe	4	0	1	0	0
Wilmot	2	1	0	0	N/A
Farnam Phase I (Mill River Crossing)	1	N/A	N/A	N/A	N/A
Fair Haven	3	N/A	N/A	N/A	N/A

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

Development Name	2018	2017*	2016	Other Years
*Brookside Phase I	92.00%	98.00%	100.00%	2013: 100%; 2014: 97%
*Brookside Phase II	94.00%	100.00%	100.00%	2013:100%; 2014: 98%
CB Motley	No Longer LIPH	93.33%	97.78%	N/A
Crawford Manor	90.74%	88.57%	95.24%	N/A
Edith Johnson Towers	No Longer LIPH	89.47%	91.58%	N/A
Essex Townhouses	93.94%	96.97%	96.97%	N/A
Fairmont Heights	86.32%	93.68%	94.74%	N/A
Farnam Courts	56.52%	100.00%	79.89%	N/A
Katherine Harvey	No Longer LIPH	100.00%	93.75%	N/A
McConaughy Terrace	95.43%	96.45%	97.46%	N/A
McQueeney Towers	92.41%	95.86%	98.62%	N/A
*New Rowe	89.13%	97.83%	95.65%	2013: 99%; 2014: 100%
Newhall Gardens	No longer LIPH	100.00%	100.00%	N/A
Prescott Bush	No Longer LIPH	98.21%	98.21%	N/A
*Quinnipiac Terrace I	98.28%	100.00%	100.00%	2013: 96%
*Quinnipiac Terrace III	96.43%	100.00%	92.86%	2013: 97%
*Quinnipiac Terrace III	100.00%	100.00%	100.00%	2013: 97%
*Quinnipiac Terrace I, II & III		N/A	N/A	2014: 98.5%
*Rockview Phase 1 Rental	100.00%	96.67%	100.00%	N/A
RT Wolfe	95.65%	98.88%	98.88%	N/A
Ruoppolo Manor	94.12%	96.08%	95.10%	N/A
Scattered Site II	95.45%			
Scattered Site III	80.77%			
Scattered Site - East	No data	97.78%	88.46%	N/A
Scattered Site - Multi Family	No data	99.12%	96.52%	N/A
Scattered Site - West	No data	100.00%	95.45%	N/A
St. Anthony II	96.52%			
Val Macri	100.00%	100.00%	100.00%	N/A
Valley Townhouses	87.18%	94.87%	97.44%	N/A
Waverly Townhouses	79.59%	96.45%	89.80%	N/A
Westville Manor	95.27%	95.92%	96.62%	N/A
William Griffin	No Longer LIPH	75.00%	100.00%	N/A
Winslow-Celentano	96.83%	100.00%	93.65%	N/A
Average Occupancy	**91%**	**96.52%**	**95.07%**	

- TDC sites

The average occupancy rates for sites using TDC was at 95.69% during FY 2018, in comparison to non TDC sites which averaged 89.32%.

Challenges or Changes

Most

INITIATIVE 1.4 AND 1.10 – DEFINING INCOME ELIGIBILITY FOR THE PROJECT BASED VOUCHER PROGRAMS

Approved in FY12 and implemented in FY13

Cost Effective

Housing Choice

Description and Status

To be eligible to receive assistance under the Project-Based Voucher (PBV) program, a family must meet the following income limits under Section 8(o) (4) of the Housing Act of 1937:

- Be a very low-income family;
- Be a family previously assisted under this title;
- Be a low-income family that meets eligibility criteria specified by the public housing agency
- Be a family that qualifies to receive a voucher in connection with a homeownership program approved under Title IV of the Cranston-Gonzalez National Affordable Housing Act; or
- Be a family that qualifies to receive a voucher under section 223 or 226 of the Low-Income Housing Preservation and Resident Homeownership Act of 1990.

To promote housing choice in developing communities with housing options for a wide range of incomes and that reduces the cost of the program, ECC/HANH used the flexibility granted under Attachment C, Section C(3)(a) of the MTW Agreement (see Appendix 7) to establish PBV program eligibility criteria under its Administrative Plan to require that:

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

This initiative includes developments listed in the following chart.

Income Eligibility for Project Based Voucher Program in Mixed-Finance Developments							
Development	Units at or below 30% of AMI	Percent	Units at 31-49% of AMI	Percent	Units at 50-80% of AMI	Percent	Total Units
Brookside I	22	44%	21	42%	4	2%	50
Brookside II	22	43%	15	29%	9	10%	51
Rockview	39	83%	7	15%	0	0%	47
Wilmot Crossing	26	55%	15	32%	3	4%	47
Ribicoff 9%	23	52%	5	11%	13	5%	44
Ribicoff 4%	39	76%	6	12%	2	4%	51
Fair Haven- EVT & Chatham	32	56%	19	33%	4	5%	57
Farnam Phase I	62	72%	20	23%	3	0%	86
Total	**265**	**61%**	**108**	**39%**	**38**	**9%**	**433**

Impact

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

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	Baseline	Benchmark	Outcome*	Benchmark Achieved?
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 units (frozen 2001 base)	Decrease of 5% from previous year	2018: 1,705 units 2017: 1,849 units 2016: 2,310 units 2015: 2,447 units 2014: 2,447 units 2013: 2,613 units	Yes

** Outcomes from previous years were representative of the entire ECC/HANH portfolio, but the listed FY17 outcome is specific to the developments applicable to this initiative.*

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

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

Internal Metrics

Redevelopment Metrics				
Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase; REAC scores would reach 88	See "REAC Scores for Applicable Properties" below	Yes, for applicable developments
Internal Metric #7: Crime rate				
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY03: 13 West Rock (122 Wilmot, Brookside I and II) major crimes in FY05: 47	10% reduction in number of major crimes	See "Major Crimes at Applicable Properties" below	Yes

Redevelopment Metrics (continued)				
Internal Metric #9: Income eligibility				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households at below 30% Area Median Income (AMI)	N/A	No less than 40% of the PBVs awarded in any year will be awarded to families with incomes at or below 30% of the area median income, adjusted for family size.	2018: 44% of families in Brookside Phase I have income below 30% AMI 43% of families in Brookside Phase II have income below 30% AMI 61% of families in applicable developments have incomes below 30% AMI (see above Income Eligibility table for more information) 2017: 0% of families in Brookside Phase I have incomes below 30% AMI 0% of families in Brookside Phase II have incomes below 30% AMI 23% of families in applicable developments have incomes below 30% AMI (see above Income Eligibility table for more information) 2016: 72% of families in Brookside Phase I have incomes below 30% AMI 74% of families in Brookside Phase II have incomes below 30% AMI 2014: 66% of families in Brookside Phase I have incomes below 30% AMI 48% of families in Brookside Phase II have incomes below 30% AMI 2013: 49% of families in Brookside Phase I have incomes below 25% AMI 50% of families in Brookside Phase II have incomes below 25% AMI	Yes

Redevelopment Metrics (continued)				
Internal Metric #9: Income eligibility (continued)				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households between 50% AMI and 80% Area Median Income (AMI)	N/A	15% of the PBVs may be allocated to families with incomes between 50 and 80% of AMI at Brookside Phase I rental 45% of PBV may be allocated to families with incomes between 50 and 80% AMI at Brookside Phase II rental	2018: • 8% of families in Brookside Phase I have income between 50% & 80% AMI • 18% of families in Brookside Phase II have income between 50% & 80% of AMI • 9% of families in applicable developments have incomes above 50% AMI (see above Income Eligibility table for more information) 2017: • 15% of families in Brookside Phase I have incomes above 50% AMI • 41% of families in Brookside Phase II have incomes above 50% AMI • 20% of families in applicable developments have incomes above 50% AMI (see above Income Eligibility table for more information) 2016: • 2% of families in Brookside Phase I have incomes above 50% AMI • 0% of families in Brookside Phase II have incomes above 50% AMI 2014 • 6% of families in Brookside Phase I have incomes above 50% AMI • 24% of families in Brookside Phase II have incomes above 50% AMI 2013 • 1% of families in Brookside Phase I have incomes above 50% AMI • 21% of families in Brookside Phase II have incomes between 50% and 80% AMI	

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

REAC Scores for Applicable Properties										
Development	**2018**	**2017**	**2016**	**2015**	**2014**	**2013**	**2012**	**2011**	**2010**	**2009**
Brookside Phase I	95	95		92						
Brookside Phase II	91	91		95						
Farnam Court	36		56							
Ribicoff Cottages -EXT							82	82	68	91
Rockview Phase 1	97	97		96						
Wilmot Crossing					93					

Number of Major Crimes*					
Development	**2018**	**2017**	**2016**	**2014**	**2012**
Eastview Terrace	9	7	1	0	0
Ribicoff 4%	0	1	0	N/A	N/A
Ribicoff 9%	0	1	0	N/A	N/A
Quinnipiac Terrace	7	0	2	4	3
West Rock (122 Wilmot, Brookside I and II)	2	N/A**	N/A**	7	25
Westville	8	1	0	0	0
William T Rowe	4	0	1	0	0
Wilmot	2	1	0	0	N/A
Farnam Phase I (Mill River Crossing)	1	N/A	N/A	N/A	N/A
Fair Haven	3	N/A	N/A	N/A	N/A

** Crime data was not available for all past years.*
*** After FY14, data was reported by individual developments rather than for the entire West Rock community.*

Challenges or Changes

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

INITIATIVE 1.5 – HCV PREFERENCE AND SET-ASIDE FOR VICTIMS OF FORECLOSURES

Housing Choice

Approved in FY09 and implemented in FY10

Description and Status

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

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

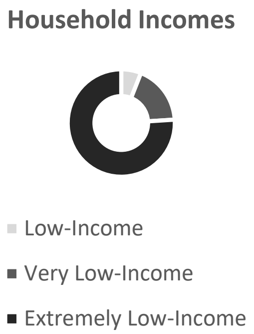
ECC/HANH initially allocated 25 tenant-based vouchers and 25 project-based vouchers, with the combined total not to exceed 50 vouchers, to be awarded to families whose housing is threatened by mortgage foreclosure, or to new owners purchasing a property in foreclosure. While this initiative was designed to protect low-income families renting a home in mortgage foreclosure, it was not designed to cure a mortgage default on behalf of the landlord.

Impact

This initiative prevents displacement of low-income families due to mortgage foreclosure through no fault of their own. By the end of FY18, the demand for these vouchers greatly reduced and many participants either ported out of the jurisdiction or exited the HCV program, thereby decreasing the need for ECC/HANH to continue to set-aside additional vouchers. At the height of this initiative, 40 vouchers were leased, but by the end of FY18 only 17 families continue to use these vouchers. The profile of current program participants is detailed in the table and chart below. As of the end of FY18 76% (13) of the families were in the extremely low-income category, 24% (4) were in the very low-income category and 0% were in the low-income category. With this initiative, ECC/HANH has been able to serve families that may have not had any other options for housing.

Vouchers Set-Aside for Victims of Foreclosure – FY18	
Average household income	$17,667
Average monthly housing assistance payment	$955
Total monthly housing assistance payments	$15,160
Annual housing assistance payments	$181,920

Vouchers Set-Aside for Victims of Foreclosure (FY16 - FY18)		
End of Fiscal Year	# of Vouchers Set-Aside	# of Vouchers Leased
2018	24	17
2017	24	18
2016	40	24



ECC/HANH was able to assist families with these vouchers at a time when homes were being foreclosed. Now that the market has stabilized and there are fewer mortgage foreclosures, there isn't as great of a need for these set-aside vouchers, and the program waiting lists continues to remain closed. ECC/HANH will reallocate the 7 remaining vouchers and close out the initiative in FY19.

Outcomes

HUD-Required Metrics

HC #4: Displacement Prevention				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households at or below 80% AMI that would need to move due to foreclosure	0 households (2009)	24 TBVs available for foreclosure protection	2018: 17 leased 2017: 18 leased 2016: 24 leased 2015: 35 leased 2014: 26 leased 2013: 24 leased 2012: 24 leased 2011: 25 leased 2010: 25 leased	Yes. The need for the initiative has decreased and so the foreclosure waitlist is now closed.

Challenges or Changes

ECC/HANH found the initial demand for project-based vouchers was not sufficient to meet the allocation, and therefore in FY11, 10 of the 25 PBVs were reallocated to tenant-based supportive housing and five PBVs for supportive housing for the homeless. None of the five PBVs for supportive housing for the housing have been leased.

Likewise, ECC/HANH has experienced a lack of demand for tenant-based vouchers and closed the waiting list at the end of FY16. Since FY16, ECC/HANH has slowly reallocated the underutilized vouchers to serve other families eligible for HCV program assistance. Although the initiative will be closed in FY19, ECC/HANH will continue provide existing families with voucher assistance.

INITIATIVE – 1.6 DECONCENTRATION OF POVERY (PROMOTING EXPANDED HOUSING OPPORTUNITIES FOR HCV AND PBV PROGRAM)

Approved in FY08 and implemented in FY09

Housing Choice

Description and Status

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

During FY08, ECC/HANH began to implement MTW Rent Standards to allow higher payment standards, if the rental unit meets one of the following criteria:

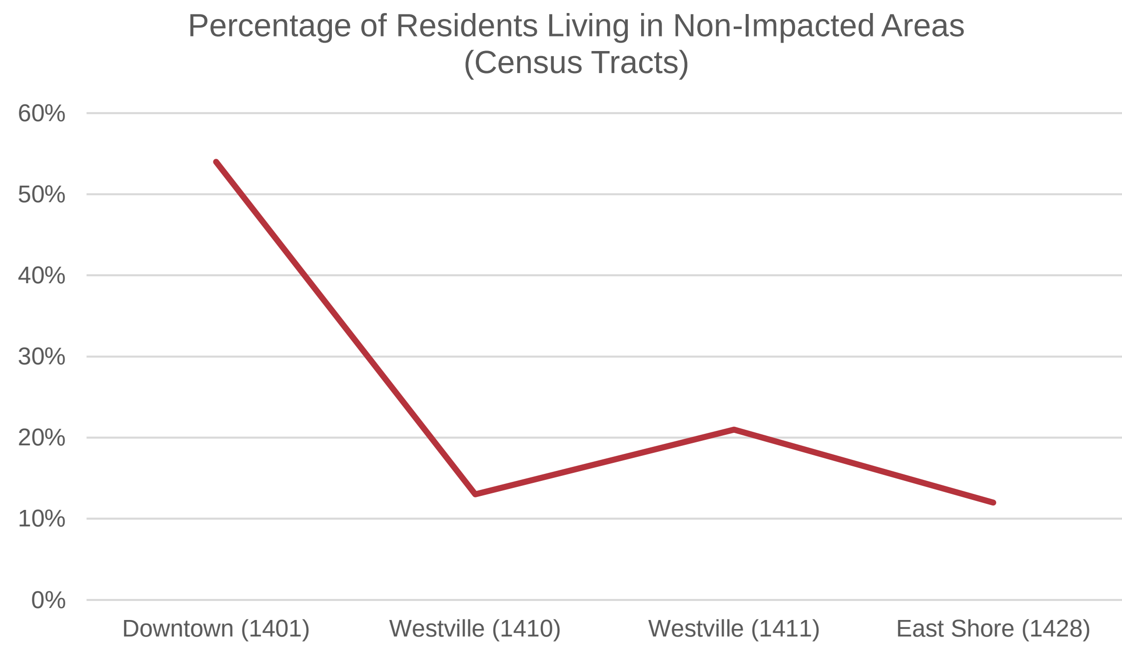
- wheelchair accessible units
- large bedroom-size units (4 bedrooms or larger)
- expanded housing opportunities in neighborhoods with low concentrations of poverty
- housing opportunities in new development projects that include significant public investment to promote revitalization of neighborhoods
- mixed-income housing opportunities that promote expanded housing opportunities and deconcentration of poverty

In addition, ECC/HANH approved budget-based rent increases for landlords who make major capital improvements in their property, including accessibility modifications. Requests for MTW rent standards are 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 reexamines its MTW rent standards monthly to ensure that ECC/HANH does not exceed 120% of the fair market rents (FMR) in the mean rent standard, which includes HAP payments to landlords, HAP RAD Payments, tenant rent payments to landlords, and any utility allowance amounts. In FY18, 16 additional HCV participants leased up in non-impacted areas[11], referring to four census tracts in New Haven where there is a lower concentration of minorities and/or low-income residents.

Impact

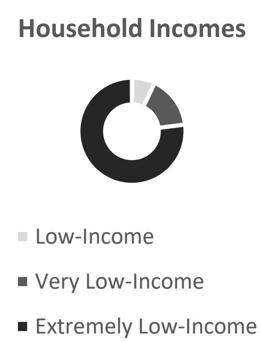
This initiative expands housing choice for low-income families that otherwise would have difficulty accessing housing using a housing voucher. In accordance with SEMAP, ECC/HANH advises families about opportunities to move to non-impacted neighborhoods, including porting to another jurisdiction, during the HCV briefing. A handout is included in the move and new admission packet to refer families to a contracted realtor to assist with their housing search in non-impacted neighborhoods. ECC/HANH also encourages landlords during workshops to advertise units in non-impacted neighborhoods. Landlords can advertise their units in the ECC/HANH apartment listing. Since the initiative began in FY09, 225 HCV participants have leased up in non-impacted neighborhoods in New Haven, representing a total of 6% of all ECC/HANH households receiving tenant-based rental assistance (3,591). Five percent of ECC/HANH's total tenant-based voucher households (4875) reside in non-impacted neighborhoods in the City of New Haven. In FY18, 16 families moved to the non-impacted areas.

[11] *Non-impacted neighborhoods are neighborhoods of choice with low concentrations of poverty*



The average incomes of families who live in the non-impacted areas are 7% higher at $17,579 compared to the entire ECC/HANH HCV-assisted population at $16,288. Because families that reside in non-impacted neighborhoods have on average higher household incomes, the average housing assistance payment in non-impacted neighborhoods is three percent lower than other areas. However, the average contract rent in non-impacted neighborhoods ($1,231) is three percent higher than average contract rents in areas outside of non-impacted neighborhoods ($1,194).

The income profile of current program participants is detailed in the adjacent chart.



Outcomes

HUD-Required Metrics

HC #5: Increase in Resident Mobility				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Annual number of incremental households leased-up in low poverty areas* because of the activity	0 (2008)	10	2018: 16 2017: 10 2016: 9 2015: 14 2014: 11 2013: 10 2012: 7 2011: 7 2010: 13	Yes
Annual number of incremental households with exception rents approved due to bedroom size issue because of the activity	0 (2008)	1**	2018: 0 2017: 1 2016: 0 2015: 2 2014: 0 2013: 0 2012: 0 2011: 1 2010: 7 2009: 1	Yes
Annual number of incremental households with exception rents approved due to an accessibility issue because of the activity	0 (2008)	10***	2018: 0 2017: 2 2016: 2 2015: 1 2014: 2 2013: 0 2012: 0 2011: 0 2010: 1 2009: 2	No, but benchmark will be reevaluated in FY19

** Low poverty areas include the following U.S. Census Tracts: 1401, 1410, 1411, and 1428*
*** This benchmark is new as of FY17 but will be reevaluated in FY19*
**** This benchmark will be reevaluated in FY19*

Challenges or Changes

Families experience difficulties moving to non-impacted neighborhoods due to a lack of transportation, funds for security deposits or a lack of appropriately sized units. At the end of FY18, there were only 257 units available for rent in these neighborhoods, representing 29% of the total available units (861) in New Haven. (Source Trulia.com Rentals)

In 2018, ECC/HANH surveyed 224 residents (with a 14% response rate) that relocated to non-impacted neighborhoods because of this initiative and found that 71% of residents are satisfied with their neighborhood and 52% would not have moved to the non-impacted neighborhood without HCV rental assistance. Most residents live downtown (50%), in a 2 or 3-bedroom home (55%) and have remained-in-place for approximately 0-3 years (41%). Thirty-five percent of survey respondents leased an apartment with accessible features, but only six percent of families leased a four-bedroom apartment or larger.

Despite offering residents mobility counseling services through a realtor, many families have not used these services to relocate to non-impacted areas. Twenty-three percent of survey respondents found their home via the internet or local newspaper. ECC/HANH is researching alternative methods to promote mobility into non-impacted neighborhoods.

Data from the census tract 1401 was erroneously omitted from previous MTW Annual Reports.

ECC/HANH does not anticipate any changes to this initiative or metrics.

INITIATIVE 1.7 – TENANT-BASED VOUCHERS FOR SUPPORTIVE HOUSING FOR THE HOMELESS

Approved in FY10 and implemented in FY11.

Self-Sufficiency

Description and Status

ECC/HANH has strategically allocated housing choice voucher resources to support the goal of ending homelessness in New Haven. ECC/HANH partners with the City of New Haven, regional entities, Continuum of Care agencies (COC), shelters, transitional and permanent housing providers to identify chronically homeless individuals and families. ECC/HANH entered in a Memoranda of Understanding (MOU) with community organizations that provide housing to homeless individuals and families and supportive services. These organizations assess and prioritize referrals to ECC/HANH to provide housing vouchers to the most vulnerable and chronically homeless individuals and families.

At the end of FY18, ECC/HANH had 210 tenant-based vouchers allocated to serve individuals that meet one or more of the following criteria.

- chronically homeless
- homeless families
- families receiving services from Child Protective Services
- formerly incarcerated individuals

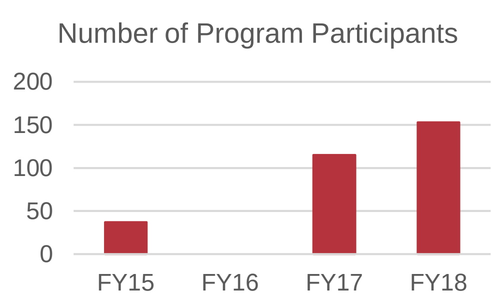
ECC/HANH, in partnership with the City of New Haven, is providing housing assistance to formerly incarcerated individuals to help prevent recidivism through the Project Longevity and Re-Entry Fresh Start programs.

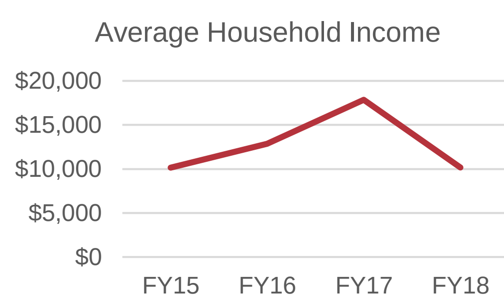
The chart below details ECC/HANH's use of housing vouchers to end homelessness in New Haven.

Use of Tenant Based Vouchers to End Homelessness					
Program	# of Vouchers	# of Vouchers Reallocated	# of Vouchers Added	Total	# of Vouchers FY18
Tenant Based DHMAS Supportive Housing– Housing First	10	0	0	10	10
DMHAS Mental Health Transformation Grant – FUSE	10	0	0	10	7
Family Options – Homeless	15	0	0	15	10
Permanent Enrichment	10	0	0	10	7
Foreclosure Protection	40	24	0	24	17
Family Unification Supportive Housing – DCF Family	20	0	0	20	17
Homelessness/Imminent Danger of Homelessness – formerly allocated for victims of mortgage foreclosures	15	0	25	40	19
Supportive Housing/Homelessness Prevention l	51	0	0	51	36
Project Longevity – partnership with City to provide vouchers to formerly incarcerated individuals	20	0	0	20	20
Re-entry Fresh Start – partnership with City to provide vouchers to formerly incarcerated individuals	0	0	10	10	10
Total	**191**	**24**	**35**	**210**	**153**

Impact

This initiative expands housing services to one of the most fragile populations served by ECC/HANH. At the end of FY18, 73% of vouchers allocated to this initiative were leased to homeless individuals and families.[12] Seventy-six percent of workable households had an average income of $10,178 and 24% were elderly and/or disabled households with an average income of $10,114.





Although household incomes were trending upwards from FY15 to FY17, it decreased by 43% at the end of FY18 because seven participating families lost all household income, resulting in a -3% decrease from baseline. ECC/HANH will engage these families in family self-sufficiency activities to increase their household incomes.

[12] *Seven of the 153 current program participants ported-out their voucher assistance to other cities*

At the end of FY18, ECC/HANH leased an additional 22 vouchers with New Reach, which were set-aside to The remaining three vouchers (totaling, 25) set-aside for this activity have been issued to families actively searching for housing.

Outcomes

HUD-Required Metrics

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average total household income for households affected by this policy in dollars	$12,643 (2013)	Steady increase in average household income	2018: $10,164 2017: $17,852 2016: $12,854 2015: $10,145 2014: $12,599	No. Average income has decreased due to 17 families who do not currently have income.
SS #5: Households Assisted by Services that Increase Self-Sufficiency				
Percentage of homeless households enrolled in program receiving supportive services	0 (2010)	100% receiving supportive services	2018: 100% 2017: 100% 2016: 100% 2015: 100% 2014: 100% 2013: 100% 2012: 100% 2011: 100%	Yes, all families receive supportive services from referral agencies except Foreclosure families; ECC/HANH will increase outreach to these families for FSS activities

HC #1: Additional Units of Housing Made Available				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Additional permanent housing made available to homeless families	0 (2010)	10	2018: 30 2017: 56 2016: 42 2015: 14 2014: 7 2013: 5 2012: 10 2011: 7	Yes.

Challenges or Changes

Initially, ECC/HANH experienced challenges with receiving referrals of homeless families and individuals from its partners due to staff changes. In response, ECC/HANH met with its partners to review the referral and voucher issuance process. As a result, the frequency of referrals has increased. Likewise, there continues to be a demand for housing vouchers to serve New Haven's homeless population. To best serve this population, ECC/HANH is seeking additional partnerships with homeless advocates.

ECC/HANH does not anticipate any changes to this initiative or metrics.

INITIATIVE 1.8 – FARNAM COURTS TRANSFORMATION PLAN

Approved in FY11 and implemented in FY12.

Housing Choice

Description and Status

ECC/HANH conducted a community planning process regarding the redevelopment of the obsolete 240-unit housing development, Farnam Courts. The development's design lacked energy efficiency, positive urban design standards and has contributed to on-going crime issues in the area. It was surrounded by areas that are thriving or undergoing transformation. Redesign of this property would better link it to its surroundings, help to create access and opportunity for residents. Farnam Courts was approved for conversion of ACC units under the Rental Assistance Demonstration (RAD) Program.

As part of the transformation plan, ECC/HANH proposed redevelopment of housing units at Farnam Courts, as well as transformation of the surrounding Mill River community into a community that supports the long-term economic sustainability of residents, as well as the long-term economic sustainability of Mill River and the City of New Haven. Through collaboration with other community partners, including the Economic Development Corporation, City of New Haven, the Board of Education and many others, ECC/HANH anticipated the infrastructure redesign would improve traffic flow through the community, redesigned housing units to be more spacious, include supportive services for families, and other critical components as they arise throughout the planning process. Supportive services included, but are not limited to, improved access to jobs, high quality early learning programs, public assets, public transportation, high quality public schools and education programs. Additionally, the redevelopment introduced market-rate units.

Farnam Courts was planned to replace 240 housing units originally built in the 1940s and most recently improved in the 1980s. The redevelopment is occurring in phases resulting in 228 replacement units and 33 market rate units. 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 Courts neighborhood with downtown, the Grand Ave corridor, and the Wooster Square neighborhood. It also links to the Mill River neighborhood, a source of job opportunities.

Farnam Courts offsite - The Fair Haven redevelopment included 57 units financed through 9% Low Income Housing Tax Credits (LIHTC), awarded in 2015. The 57 units exist on two sites located in the Fair Haven neighborhood, an area undergoing significant re-investment. The Chatham site included 32 RAD-assisted units. The Eastview Terrace Phase II site included 23 RAD-assisted units and two PBV units. The Fair Haven development was completed in 2017.

Farnam Courts Phase I - onsite demolished 148 units that were replaced with 2 mid-rise 5 story buildings housing 94 units on 1.1 acres. Of the 94 units, 86 are assisted and 8 are market-rate units. Additionally, these buildings house 7,400 sq. feet of commercial and community/program space. The community space supports a vibrant comprehensive economic self-sufficiency program. This project was financed through LIHTC 4% Bonds, a $4 million State of CT CHAMP award, HUD MTW flexible funds, City of New Haven capital dollars and private equity. Financing closed in June 2016, resident relocation completed in November 2016, construction completed during FY18.

Farnam Courts Phase II - onsite will include the demolition of the remaining 96 units and construction of 111 units. Of the 111, 87 will be RAD assisted and 24 will be market rate units. The development will also include a 3,600 square foot community center and park. Phase 2 is bifurcated into a 4% and 9% LIHTC developments with anticipated financial closings in 2019.

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

Impact

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

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline***	**Benchmark***	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	240 units	57 units at Fair Haven 94 units at Farnam Courts Phase I 111 units at Farnam Courts Phase II	57 Units completed. 55 RAD and 2 PBV units completed at Fair Haven 94 Units completed. 86 RAD and 8 Market units completed at Farnam Courts I 87 RAD units pending financial closing at Farnam Courts Phase 2A and 2B	Yes, redevelopment efforts on target for completion

Internal Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those reflecting local or increased TDCs)	10% increase REAC scores would reach 88	Eastview Terrace: 95 (2012) Farnam Courts: 56 (2016)	No applicable developments were inspected in FY17
Internal Metric #6: Utility expenses per unit**				
Reduction of utility expenses per unit, pre and post redevelopment – Electric	Valley Waverly: $900 per unit/ per month in 2012	5% reduction Electric utility expenses would reach approximately $858.33 per unit	2017: $124.57 per unit/per month at Fair Haven	Yes
Reduction of utility expenses per unit, pre and post redevelopment – Gas	Valley Waverly: $60.83 per unit/ per month in 2012	5% reduction Gas utility expenses would reach approximately $65.83 per unit	2017: $31.17 per unit/ per month at Fair Haven	Yes
Internal Metric #7: Crime Rate**				
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY03: 13 West Rock (122 Wilmot, Brookside I and II) major crimes in FY05: 47	10% reduction in number of major crimes	2017: 7 major crimes at Eastview 2016: 1 major crime in 2016	Yes

** The baseline and benchmark were updated for specificity in FY17. They previously referred to the entire ECC/HANH portfolio, rather than only Farnam Courts.*
*** These baselines will be updated to Farnam Courts data beginning FY19, per the FY19 Annual Plan.*

Number of Major Crimes*					
Development	**2018**	**2017**	**2016**	**2014**	**2012**
Eastview Terrace	9	7	1	0	0
Ribicoff 4%	0	1	0	N/A	N/A
Ribicoff 9%	0	1	0	N/A	N/A
Quinnipiac Terrace	7	0	2	4	3
West Rock (122 Wilmot, Brookside I and II)	2	N/A**	N/A**	7	25

Westville	8	1	0	0	0
William T Rowe	4	0	1	0	0
Wilmot	2	1	0	0	N/A
Farnam Phase I (Mill River Crossing)	1	N/A	N/A	N/A	N/A
Fair Haven	3	N/A	N/A	N/A	N/A

Challenges or Changes

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

INITIATIVE 1.11 – INCREASE THE PERCENTAGE OF HOUSING CHOICE VOUCHER BUDGET AUTHORITY FOR THE AGENCY THAT IS PERMITTED TO PROJECT-BASE FROM 20 PERCENT UP TO 25 PERCENT

Approved in FY13 and implemented in FY14

Housing Choice

Description and Status

This initiative continues redevelopment efforts of underperforming public housing assets, as well as increases housing choices for our residents. It allows ECC/HANH to use up to 25% housing vouchers to leverage funds for redevelopment of ECC/HANH's aging public housing stock.

This initiative was considered prior to the advent of the RAD program. The percentage of MTW project-basing did not include the full conversion of ACC sites to PBVs. The advent of RAD increased the proportion of the portfolio allowable for project-basing. ECC/HANH's current percentage of non-RAD project-based MTW vouchers is 11% (542 vouchers).

During FY14, ECC/HANH utilized 14% of its budget authority. ECC/HANH closed on Ribicoff 9% and Ribicoff 4% during FY15, closed on Fair Haven and Farnam Phase I during FY16, and plans to close on Farnam Phase II during FY19. ECC/HANHs Total voucher authority at the end of FY 2018 is 5,488.

Impact

This initiative allows ECC/HANH to support its continued mission to increase housing choice and to address the redevelopment needs of certain projects. During FY18, ECC/HANH preserved 1,705 units for households at or below 80% AMI that would otherwise not be available.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 units (frozen 2001 base)	Decrease of 5% from previous year	2018: 1705 LIPH units 2017: 1849 LIPH units 2016: 2310 LIPH units 2015: 2447 LIPH units 2014: 2447 LIPH units 2013: 2613 LIPH units	Yes
CE #4: Increase in Resources Leveraged				
Brookside I	1.7	2.0	2016: 2.3 2015: 2.3	Yes
Brookside II	1.7	2.0	2016: 7.5 2015: 7.5	Yes
Rockview I	1.7	2.0	2016: 4.6 2015: 4.6	Yes
122 Wilmot Road	1.7	2.0	2016: 3.2 2015: 3.2	Yes
Brookside Homeownership	1.7	2.0	2016: 1.7 2015: 1.6	Yes
Ribicoff I	1.7	2.0	2016: 6.1 2015: 6.1	Yes
Ribicoff II	1.7	2.0	2016: 1.2 2015: 1.2	No
Quinnipiac Terrace I	1.7	2.0	2016: 5.5 2015: 5.5	Yes
Quinnipiac Terrace II	1.7	2.0	2016: 8.6 2015: 8.6	Yes
Quinnipiac Terrace III	1.7	2.0	2016: 4.2 2015: 4.2	Yes
Eastview I	1.7	2.0	2016: 0.6 2015: 0.6	No
Rowe	1.7	2.0	2016: 4.5 2015: 4.5	Yes
Farnam Phase 1	1.7	2.0	2016: 3.1	Yes
Fair Haven	1.7	2.0	2015: 3.1	Yes

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

Internal Metrics

Redevelopment Metrics

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Increase in Agency Revenue – Farnam Phase 1 Redevelopment Fees	$0	$0	2017: $890,453	Yes
Increase in Agency Revenue – Ribicoff 9% Redevelopment Fees	$0	$0	2016: $2,000,000	Yes
Increase in Agency Revenue – Ribicoff 4% Redevelopment Fees	$0	$0	2016: $2,077,570	Yes
Increase in Agency Revenue – Fair Haven Redevelopment Fees	$0	$0	2016: $2,905,743	Yes
Increase in agency revenue - Rowe redevelopment fees	$0	$0	2014: $893,374	Yes
Increase in agency revenue - Brookside Phase 1 redevelopment fees	$0	$0	2014: $1,081,094	Yes
Increase in agency revenue - Brookside Phase 2 redevelopment fees	$0	$0	2014: $725,704	Yes
Increase in agency revenue - Rockview Phase I redevelopment fees	$0	$0	2014: $744,389	Yes
Increase in agency revenue - 122 Wilmot Road redevelopment fees*	$0	$0	2014: $1,419,767	Yes
Internal Metric #12: HCV Budget Authority for the Agency that is Permitted to Project-Base				
Overall HANH percentage of PBV/HCV**	11% (FY13)	25%	2018: 11% 2017: 11% 2016: 18% 2014: 14%	N/A

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

*** HANH calculated the percentage as follows: FY14, figures from MTW 2015 Annual Plan, (664 – 96 RAD)/(4,147 – 96 RAD) = 14%.
FY13, figures from MTW Report 2013, 387 / 3,319 = 11%. FY 2018 annual report (1205-663)/(5,488-663 RAD) =11%*

INITIATIVE 1.12 – DEVELOPMENT OF REPLACEMENT PUBLIC HOUSING UNITS WITH MTW BLOCK GRANT FUNDS

Housing Choice

Approved in FY13 and implemented in FY14.

Description and Status

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

In FY13, ECC/HANH proposed to begin a new initiative to develop public housing replacement units with MTW block grant funds, while making use of MTW authority to waive or substitute certain program rules. ECC/HANH pursued this initiative at certain sites in FY13, including Farnam Courts and Abraham Ribicoff Cottage and Extension, but intended to use this same model at other sites to be identified in the future.

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

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

During FY13, ECC/HANH issued bonds for the Redevelopment of Ribicoff Cottages and Ribicoff Cottages Extension, in addition to the Farnam Courts redevelopment. The off-site component of the Farnam Courts Transformation Plan, Fair Haven, was awarded 9% tax credits. During FY14, ECC/HANH moved forward with its redevelopment plans to close the two projects during FY15. ECC/HANH closed on Ribicoff 9% and Ribicoff 4% during FY15, closed on Fair Haven and Farnam Phase I during FY16, and plans to close on Farnam Phase II during FY19.
To date, the applicable transactions include the following completed in FY18:

Development Name	PH Units	PBV Units	Total # of Assisted Units	# of Market Rate Units	Total # of Units
Eastview Terrace	53	49	102	0	102
Quinnipiac Terrace I	58	23	81	0	81
Quinnipiac Terrace 2	56	23	79	0	79
Quinnipiac Terrace 3	17	16	33	0	33
Brookside Phase I	50	50	100	0	100
Brookside Phase II	50	51	101	0	101
Rockview Phase I	30	47	77	0	77
William T. Rowe	46	32	78	26	104
Wilmot Crossing	0	47	47	0	47
Monterey Place	0	42	42	0	42
Monterey Place 2	0	7	7	0	7
Monterey Place 3	0	45	45	0	45
Monterey 4	0	42	42	0	42

Monterey 5	0	17	17	0	17
Monterey Phase 2R	0	28	28	0	28
William Griffin	0	4	4	0	4
Edith Johnson Towers	0	95	95	0	95
Ribicoff 9%	0	44	44	11	55
Ribicoff 4%	0	51	51	0	51
Farnam Courts-Fair Haven	0	57	57	0	57
Farnam Court Phase I onsite	0	86	86	8	94
Total	**360**	**856**	**1216**	**45**	**1261**

Impact

The use of MTW block funds have produced over 1,100 quality affordable housing units. The ability to reposition the aging LIPH stock utilizing MTW Block funds allows for cost effectiveness from leveraged dollars, additional income from developer fees, and the production of quality housing. In 2016, 152 additional new housing units were made available, including 95 PBV units at Ribicoff Cottages, and 57 PBV units at Fair Haven (Chatham and Eastview). In FY18, this was increased by 86 RAD PBV units at Farnam Court Phase 1 on-site.

Outcomes

HUD-Required Metrics

HC #1: Additional Units of Housing Made Available				
Unit of Measurement	Baseline	Benchmark*	Outcome	Benchmark Achieved?
Number of new housing units made available for households at or below 80% AMI because of the activity (increase)	0 units	Replacement of 95% of units	2018: no new units were constructed 2017: Ribicoff Cottages: 95 PBVs; Fair Haven: 55 PBVs 2016: Farnam Courts: 185 LIPH units; Ribicoff Cottages: 95 PBVs; Fair Haven: 55 PBVs	Yes
HC #2: Units of Housing Preserved				
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 units (frozen 2001 base)	Decrease of 5% from previous year	2018: 1,705 LIPH units 2017: 1,849 LIPH units 2016: 2,310 LIPH units 2015: 2,447 LIPH units 2014: 2,447 LIPH units 2013: 2,613 LIPH units	Yes
CE #4: Increase in Resources Leveraged				
Brookside I	1.7	2.0	2016: 2.3 2015: 2.3	Yes
Brookside II	1.7	2.0	2016: 7.5 2015: 7.5	Yes
Rockview I	1.7	2.0	2016: 4.6 2015: 4.6	Yes
122 Wilmot Road	1.7	2.0	2016: 3.2 2015: 3.2	Yes
Brookside Homeownership	1.7	2.0	2016: 1.7 2015: 1.6	Yes
Ribicoff I	1.7	2.0	2016: 6.1 2015: 6.1	Yes
Ribicoff II	1.7	2.0	2016: 1.2 2015: 1.2	No
Quinnipiac Terrace I	1.7	2.0	2016: 5.5 2015: 5.5	Yes
Quinnipiac Terrace II	1.7	2.0	2016: 8.6 2015: 8.6	Yes
CE #4: Increase in Resources Leveraged (continued)				
Quinnipiac Terrace III	1.7	2.0	2016: 4.2 2015: 4.2	Yes
Eastview I	1.7	2.0	2016: 0.6 2015: 0.6	No
Rowe	1.7	2.0	2016: 4.5	Yes

			2015: 4.5	
Farnam Phase 1	1.7	2.0	2016: 3.1	Yes
Fair Haven	1.7	2.0	2015: 3.1	Yes

**In FY17, this benchmark was updated from "109 units" to "Replacement of 95% of units"*
***Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace 2*

Internal Metrics

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

Internal Metric #1: Increase in Agency Revenue* (continued)				
Increase in agency revenue - Rockview Phase I redevelopment fees	$0	$0	2014: $744,389	Yes
Increase in agency revenue - 122 Wilmot Road redevelopment fees*	$0	$0	2014: $1,419,767	Yes

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

Challenges or Changes

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

INITIATIVE 1.15 – RAD FINANCE DEVELOPMENT FOR ROCKVIEW PHASE II RENTAL

Housing Choice

Approved in FY14 and implemented in FY17.

Description

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

ECC/HANH has undertaken an aggressive modernization program, which includes the submission of an application for RAD funding for several sites including Westville Manor. The Rockview Phase II development will be an off-site component of the Westville Manor redevelopment. This initiative is part of the Westville RAD submission for the creation of replacement public housing units. ECC/HANH intends to demolish Westville Manor and to create these units on-site and off-site at Rockview Phase II Rental. Rockview Phase II Rental will rely on the MTW authorizations for alternative TDCs and commingling of funds. This initiative was approved in FY14, was subsequently put on hold in FY15 and was reactivated in FY17. ECC/HANH submitted a 9% tax credit application in November 2016 which was awarded in FY17. Closing is planned for FY19.

Impacts

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

Outcomes

HUD-Required Metrics

HC #1: Additional Units of Housing Made Available				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of new housing units made available for households at or below 80% AMI because of this activity (increase)	0 units	78 units	N/A	N/A
HC #2: Units of Housing Preserved *				
Number of new housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 (frozen 2001 base)	2,529	N/A	N/A
HC #3: Decrease in Wait List Time*				
Average applicant time on wait list in months (decrease)	N/A	N/A	N/A	N/A

** This chart will be removed beginning FY18, per a technical amendment to the FY18 Annual Plan.*

Internal Metrics

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

Challenges or Changes

None.

INITIATIVE 1.17 – WESTVILLE MANOR TRANSFORMATION PLAN

Approved in FY14 and implemented in FY16.

Housing Choice

Description and Status

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

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

Impact

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

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available (increase).	150 units	143 units	N/A	N/A

Challenges or Changes

None.

INITIATIVE 2.1 – FAMILY SELF-SUFFICIENCY (FSS) PROGRAM

Approved and implemented in FY07.

Self-Sufficiency

Description and Status

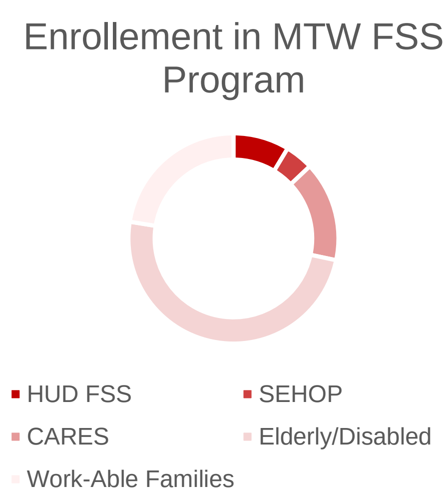
ECC/HANH's FSS program provides intensive counseling and case management services to help participant families achieve their self-sufficiency goals, according to each family's needs. Adding new services has allowed ECC/HANH to provide much needed support to a larger number of LIPH and Section 8 residents. Service referrals focus on:

- remedial education
- literacy classes
- GED preparation
- vocational and job skills/employability
- financial management

Further, ECC/HANH has invested in computer/learning labs that offer services to assist families move toward self-sufficiency.

ECC/HANH also created a "Specialized Training" program that offers training in fields where there are employment opportunities (e.g., healthcare, auto repair) in New Haven. This training aims to provide residents the skills necessary to obtain employment or increase earnings. ECC/HANH continues to provide classes and trainings to residents that are experiencing barriers to employment. Classes include, but are not limited to:

- Pre-GED
- GED
- Literacy
- Financial Literacy
- Basic, intermediate and advanced computer training
- Prior to applying for jobs, ECC/HANH provides job skills/life skills classes



The MTW FSS program serves over 1,150 families. This includes 100 families enrolled in the HUD FSS grant-funded slots, 50 Section Eight Homeownership Program (SEHOP) vouchers, 178 families enrolled in the CARES Program, 570 Elderly/Disabled households, and 260 identified work-able families enrolled in MTW funded slots.

RESIDENT SPOTLIGHT

Garland Short, 48, is enjoying homeownership. As a Family Self Sufficiency (FSS) Homebuyer, Garland used his escrow savings in November of 2017 to purchase his first home. Garland now lives in a home with three of his four children, two of whom are in college and one who is in high school. "From the projects to homeownership, all in all, we're really grateful for FSS homeownership," he says. Garland says that previously as a housing authority tenant, the ability to live in on one of ECC/HANH's single family properties with his four children was great preparation for homeownership. "We moved into one of the [ECC-HANH] houses, which put us in a better housing situation, and we were taking care of maintenance, raking leaves and shoveling snow, which prepared us for the responsibilities of homeownership." Garland initially found out about the FSS Homebuyer program through a ECC/HANH staff person and found it to be an "excellent program." He says that he mainly appreciated the chance to work with a credit counselor and learn more about the responsibility of maintaining a home as a homeowner.

The following table details the number of enrollment slots for each program.

Program	Number of Slots	Benefits from Escrow	Owner	Supports
HUD FSS Grant Funded Slots	100	Yes	FSS Coordinators	RSCs, CED Managers & Supervisors, MSW
CARES Program	Up to 178	Yes	CARES Coordinator	CED Managers & Supervisors, MSW
Work-able families	60 200	Yes Yes	Program Managers FSS Coordinators	FSS Coordinators, CED Managers & Supervisors, RSCs & MSW
Elderly/Disabled	570	No	RS Coordinators	CED Managers & Supervisors, MSW, Recreational therapist, FSS coordinators
TOTAL	**1108**			

Impact

This initiative is expected to increase self-sufficiency through employment, specialized training, higher education and increased earnings. During FY18 a total of 137 residents participated in FSS, which is not inclusive of CARES, SEHOP and Elderly/Disable participants. Of those participants, 66% obtained employment. Out of 137 participants, only 27% are unemployed.

In FY18 the average total household income increased by $7,049 from $26,372 in FY17 to a total of $33,421. With the services provided by ECC/HANH to include computer classes, job skills training and assisting families in finding employment, ECC/HANH expects the average household income will continue to increase in FY19. In FY18 there was also a 67% increase in the total families employed, increasing from 38 families that were employed full-time and 22 families employed part-time (60 families employed total) in FY17 to 70 families employed full-time and 20 families employed part-time (90 families employed total). ECC/HANH will continue to work with families to provide training and resources needed to achieve gainful employment.

FSS will continue to offer an array of programming beneficial to all residents, including a focus on empowerment, childcare, financial literacy, and mental health. In FY19, ECC/HANH will continue to promote class offerings to better benefit the needs and partner with other agencies that are a part of the Program Coordinating Committee (PCC).

Outcomes*

HUD-Required Metrics

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average earnings (wages) of households enrolled in FSS Program**	$4,082 (2013)	Steady increase in average household earnings	2018: $33,421 2017: $26,372 2016: $23,544 2015: $21,543 2014: $17,738	Yes
SS #3: Increase in Positive Outcomes in Employment Status				
Employed full-time*** Employed part-time Enrolled in an educational program Enrolled in job training program Unemployed Other	2014 Employed FT: 22 Employed PT: 93 Enrolled in education: 228 Enrolled in job training: n/a Unemployed: 113 Other: N/A	Steady increase in full-time employment for FSS participants	2018: Employed FT: 70 Employed PT: 20 Enrolled in education: 137 Enrolled in job training: Unemployed: 37 Other (Elderly/Disabled): 10 Self-employed: 2017: Employed FT: 38 Employed PT: 22 Enrolled in Education: 0 Enrolled in Job Training: 12 Unemployed: 12 Other (Elderly/Disabled): 10 Self-employed: 1 2016: Employed FT: 21 Employed PT: 13 Enrolled in education: 69 Enrolled in job training: 15 unemployed: 8 Other (Elderly/Disabled): 6 Self-employed: 1 2015: Employed FT: 30 Employed PT: N/A Enrolled in education: 170 Enrolled in job training: N/A Unemployed: 7 Other: N/A	Yes

SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of FSS households that have taken vocational and computer classes (excluding Specialized Training)	155 (2013)	200	2018: 137 2017: 44 2016: 45 2015: 178 2014: 310	No

** This data excludes SEHOP, CARES, elderly/disabled, resident-owned business services, and specialized services*
*** Average earnings include wages and other earnings. Note that 20% of FSS participants did not have income in FY17, but 50% in FY14 and 52% in FY13.*
**** Full-time employment if earned income (wages + self-employment) equates to 30 hours/week at CT minimum wage; unemployed assumes no wages. All FSS participants in FSS Log considered to be enrolled in educational program.*

Internal Metrics

FSS Classes Metrics				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Literacy course (Adult Basic Education) participants and average reading level	2014: 12 participants Range from 1st through 3rd grade reading level	Participants will reach average of 7th grade reading level	2018: 0 participants 2017: 0 participants 2016: 6 participants 6 graduates at 7th grade level 2015: 6 participants 0 graduates at 7th grade level	No
Computer course graduates for basic and intermediate levels	2014: Basic: 18 Intermediate: 5	10 intermediate course graduates annually	2018: 1 participant 2017: 20 participants received Microsoft certifications 2016: Basic: 9 Intermediate: 1 2015: Basic: 6 Intermediate: 1	No

FSS Classes Metrics (continued)				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
GED graduates by years in GED course	2013: 1 year or less: 2 1–2 years: 2 More than 2 years: 4	Steady increase in course participants receiving GED in less than 2 years	2018: 0 2017: 1 year or less: 0 1–2 years: 0 More than 2 years: 0 2016: 1 year or less: 0 1–2 years: 2 More than 2 years: 0 2015: 1 year or less: 0 1–2 years: 0 More than 2 years: 0 2014: 1 year or less: 0 1–2 years: 2 More than 2 years: 1	No
Job skills class graduates and their earned income	2014: Graduates: 0 Average earned income: n/a	10 graduates of the job skills class annually with earned income of at least 30 hours per week at minimum wage	2018: 0 2017: Graduates: 0 Average earned income: n/a 2016: Graduates: 3 Average earned income: n/a 2015: Graduates: 33 Average earned income: n/a	No

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

Challenges or Changes

There are no challenges or changes

INITIATIVE 2.2 – INCREMENTAL EARNED INCOME EXCLUSION

Approved and implemented in FY08.

Self-Sufficiency

Description and Status

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

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

Impact

This initiative was introduced in 2008 as a pilot incentive for FSS Program participants to begin saving funds which may have resulted due to earned income exclusions (as applicable). Given these anticipated up-front savings, the FSS Program families would be able to achieve their goals of: higher education, credit repair, entrepreneurship, savings, homeownership, or other goals. The number of individuals eligible for the Earned Income Exclusion stayed at an average participation rate of 28 in Fy18, as compared to 29 in FY17. Participants' average earned incomes decreased from $35,169 in FY17 to $27,870 in FY18. Despite this decrease from the previous fiscal year, the program has nonetheless seen an increase of 81% in earned incomes from the program's inception in FY08.

Outcomes

HUD-Required Metrics

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average income of households affected by this policy in dollars	$15,363 (2008)	Steady increase in average household income	2018: $27,870 2017: $35,169 2016: $28,423 2015: $15,946	Yes
SS #3: Increase in Positive Outcomes in Employment Status				
Employed full-time Employed part-time Enrolled in an educational program Enrolled in job training program Unemployed Other	2008: Employed FT: 27 Employed PT: N/A Enrolled in education: N/A Enrolled in job training: N/A Unemployed: 10 Self-Employed: 1	Steady increase in the percentage of participants who are employed full-time	2018: Employed FT: 27 Employed PT: 0 Enrolled in education: 29 Enrolled in job training: n/a Unemployed: 2 Self-Employed: 0 2017: Employed FT: 18 Employed PT: 7 Enrolled in education: 0 Enrolled in job training: 0 Unemployed: 1 Other: 1 2016: Employed FT: 8 Employed PT: 3 Enrolled in education: 0 Enrolled in job training: 0 Unemployed: 0 Other: 3 2015: Employed FT: 30 Employed PT: N/A Enrolled in education: N/A Enrolled in job training: N/A Unemployed: 12 Self-Employed: 0	Yes

SS #5: Households Assisted by Services that Increase Self Sufficiency				
Number of households enrolled in Earned Income Exclusion	57 (2008)	Steady increase from previous year	2018: 29 2017: 28 2016: 14 2015: 45	Yes

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

Challenges or Changes

As a result of low participation, ECC/HANH has determined that this program will be phased out during FY19. All participants currently receiving the benefit will continue to do so until one of the following occurs: the clock on the program timeline runs out, meaning the benefit is used up in its entirety by the participants; the individual exhausts the benefit; or the individual forfeits the benefit by not meeting the IEE program requirements.

INITIATIVE 2.3 – CARES (CARING ABOUT RESIDENT ECONOMIC SELF-SUFFICIENCY)

Self-Sufficiency

Approved in FY12 and implemented in FY13

Description and Status

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

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

ECC/HANH recognizes 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 rental assistance if they continue to make progress towards their goals.

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

There are two levels of engagement in the program, a Full CARES participant and a Transition CARES participant. This engagement is outlined here:

Full CARES Participant

- Has education and job skills that match demand in labor market
- Typically works full-time and earns a livable wage

Transition CARES Participant

- Does not have education and/or job skills that match demand in labor market
- Typically works part-time and/or needs job training to obtain higher wages or full-time employment

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 escrow account funds (including subsidy dollars). In addition to intensive supportive services for a 24-month period over 72 months, residents receive a lump sum payment. The amount is deposited into an escrow account (REEF) and released upon graduation from CARES. The monthly subsidy payment will be pre-determined at an initial assessment conducted prior to lease up in a manner consistent with ECC/HANH's Rent Simplification program.

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 one-time payment not to exceed $3,000 after all other options have been exhausted)
- Start a small business (a one-time payment not to exceed $2,500 after all other options have been exhausted)
- Purchase a computer
- Enroll in higher education, subject to the approval of ECC/HANH.

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

Impact

In 2018, the CARES program underwent improvements to a focus on reinforcing the inaugural principles of the program. CARES' focus continues to be to provide case management, resources and tools to support participants in reaching self-sufficiency. Currently, 148 participants are enrolled in the CARES program. This is a 15% increase from last year's total participation rate of 127. Of the total current number of participants, 75 are Full CARES and 73 are Transition participants. The increase is associated with reinforcement of the program rules, and more interest from residents.

All FULL CARES participants are currently employed full-time; there are 47 Full CARES participants at Brookside II, averaging $39,525.60 earned income per year, which is an increase of 132% from FY17. In part, a portion of the increase in earned income can be attributed to the number of Transition CARES participants who graduated into Full CARES by increasing their number of work hours and wages. There are 42 participants at Brookside II with an average earned income of $16,121.21. This is a 9% increase from 2017. There was also an eight percent increase in the average earned income of Rockview Transition CARES participants ($19,709.13) and a 19% increase with Full CARES participants ($33,252.64). Six participants graduated from Transition CARES to Full CARES.

Participants continue to strive for improvement in employment opportunities and career advancement. Two participants went from unemployed to employed full time, one as an accountant and the other as an assistant preschool teacher. One participant was laid off during summer months and reached out to a CARES Coordinator to work on her resume and submit applications. This participant received information regarding a job fair, which she attended and as a result was hired on the spot. Three participants enrolled in the Phlebotomy program with Connecticut Center for Arts and Technology where participants complete a four-week externship that allows them to demonstrate skills and perform tasks practiced during didactic training in real health care environments.

Currently, every participant in the CARES program is receiving on-going support and assistance through Family Self Sufficiency, homeownership, Resident-Owned Business, Connecticut Association Human Services-Financial Literacy, CONNCAT Training School, and others. Twenty-six CARES participants are enrolled in the Connecticut Association for Human Services (CAHS) financial literacy program. This eight-month program will provide resources and training on financial literacy, financial coaching, credit repair and budgeting. In addition to financial literacy training, 20 participants are enrolled to receive one-on-one financial coaching and will receive a personalized financial plan.

Ten CARES participants were referred to ECC/HANH's Resident-Owned Business (ROB) program. Participants are working with ROB consultants on establishing business plans and understanding the basis needs and steps of starting a business.

Among the successes of CARES participants, two participants purchased homes and successfully graduated from the program early. The program continues to move residents toward graduation. In 2018, one participant received a MBA and four participants received their GED. Sixty-nine participants are currently enrolled in training/higher education.

Due to the major program improvements, ECC/HANH offered participants the opportunity to elongate their program participation to receive the full benefit of the CARES program. The following options were provided to participants:

- Participants remain at their original contract date in the CARES program with no changes in income or reset. Household will pay full rent to owner and will be subject to the 72-month time limit reflecting original contract date.
- Participants will remain at their original contract date in the CARES program, however, household will go back to year 3 income. Household will pay full rent to owner and will be subject to the 72-month time limit reflecting original contract date.
- Participants will reset to year 3 as an extension to receive all resources & tools for families to reach self-sufficiency & reset to year 3 annual recertification. Income will be based on year 3 to determine the monthly subsidy. Household will pay full rent to owner and will be subject to the 72-month time limit reflecting New Year 3 reset date.

The CARES coordinator continues to reach out to participants to discuss the program and reset opportunities in the program. 69% of total participants are currently compliant with program requirements. CARES will continue to conduct outreach in efforts to engage all residents by continuing communication with flyers, case management, weekly email chain with updates/information among staff and participants, which enable our residents to effectively gain and maintain access to resources that can assist participants in pursuing opportunities in achieving self-sufficiency.

Outcomes

HUD-Required Metrics

SS #1: Increase in Household Income				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average Income for Full Cares and Transition CARES participants*	Average income of population: $16,897 in Fiscal Year 2013	Average family income of $45,000 by program completion (Full CARES)	2018: Brookside Phase II Transition: $16,121.21 Full: $39,525.60 Rockview Phase I Transition: $19,709.13 Full: $33,252.64 2017: Brookside Phase II Transition: $14,808 Brookside Phase II Full: $17,030 Rockview Phase II Transition: $18,330 Rockview Phase II Full: $28,009 2016: Brookside Phase II Transition: $14,000 Brookside Phase II Full: $32,000 Rockview Phase II Transition: $14,450 Rockview Phase II Full: $30,000 2015: Transition: $14,200 Full: $31,500 2014: Transition: $15,300 Full: $29,200	No

SS #2: Increase in Household Savings				
Unit of Measurement	Baseline	Benchmark**	Outcome	Benchmark Achieved?
Average amount of savings/escrow of participants affected by this	Zero	$8,000 per participant	2018: Brookside: $10,314.31 Rockview: $10,831.51	Yes

policy in dollars (REEF accounts)			2017: Brookside: $10,443.62 Rockview: $10,825.59 2016: Brookside: $8,000 Rockview: $3,000 2015: $8,100 per participant** 2014: $0 2013: $0	

SS #3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of participants enrolled in education /job development training	Zero	10% annual increase in enrollment of education/job development classes	2018: 69 participants total 26 financial literacy classes 23 participants in training 15 participants in 4-year colleges 5 participants in adult education 2017: 64 participants total 25 participants in literacy classes 31 participants in training 4 participants in 4-year colleges 2 in graduate school 12 participants in adult education 2016: 35 participants total 6 participants in literacy classes 8 participants in training 6 participants in 4-year colleges 2 in graduate school 2 participants in adult education 2015: 21 participants in literacy classes 20 participants in training 6 participants in 4-year colleges or graduate school 2014: 36 participants in literacy classes 31 participants in training 5 participants in 4-year colleges 2013: 26 participants in literacy classes 0 participants in training 0 participants in 4-year colleges	No

SS #4: Households Removed from Temporary Assistance for Needy Families (TANF)				
Unit of Measurement	**Baseline**	**Benchmark*** **	**Outcome**	**Benchmark Achieved?**
Percentage of households receiving TANF assistance	2013: 4 (11% of Transition CARES)	Reduction by 20% of prior year households receiving TANF	2018: _ total participants Brookside Phase II Transition: 4 Full: 3 0.04% of Full CARES Rockview Transition: 1 0.07% of Transition CARES Full: 0 2017: 13 total participants Brookside Phase II Transition: 3 0.05% of Transition CARES Rockview Transition: 10 14% of Transition CARES 2016: 17 total participants Brookside Phase II Transition: 7 8.5% of Transition CARES Rockview Transition: 10 12% of Transition CARES 2015: 8 total participants 9% of Transition CARES 2014 N/A	Yes

SS #5: Households Assisted by Services that Increase Self-Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark*** **	**Outcome**	**Benchmark Achieved?**
Number of participants receiving services aimed to increase self-sufficiency (participants who have completed CARES action plans)	Zero	10% annual increase	2018: 148 2017: 127 2016: 139 2015: 175 2014: 117 2013: 62	No
SS #8: Households Transitioned to Self-Sufficiency				
Number of households who receive zero subsidy at the end of year six	Zero	12 by the end of the program; Estimated length of the program is six years in total	2018: 0	2 families graduated early from the program and became homeowners in FY18

** Weighted income figures across Brookside and Rockview participants*
*** Benchmark was created in FY17 and may be reevaluated in FY19.*
**** While this benchmark has been met, it may be reevaluated in FY19 to reflect the idea that there will always be a certain percentage of new participants on TANF and the goal of transitioning those participants off TANF after enrollment.*
***** This benchmark may be reevaluated in FY19 to reflect the fact that participation is capped by the number of residents in the two developments.*

Internal Metrics

Enrollment				
Unit of Measurement	**Baseline**	**Benchmark***	**Outcome**	**Benchmark Achieved?**
Number of Full CARES participants	Zero	25% Increase in Full CARES	2018: 75 2017: 64 2016: 56 2015: 83 2014: 48 2013: 24	Yes
Number of Transition CARES participants	Zero	25% Reduction in Transition CARES	2018: 73 2017: 63 2016: 82 2015: 92 2014: 68 2013: 38	No
Non-compliant with program requirements				
Number of participants compliant with the program's requirements	Zero	60% of new participants will remain compliant	2018: 69 (46%) 2017: 127 (100%) 2016: 64 (46%) 2015: 158 (90%) 2014: 80 (98%) 2013: 62 (83%)	No

** These benchmarks may be reevaluated in FY19 to reflect the fact that participation is capped by the number of residents in the two developments and the importance of serving new residents who may be fit for Transition CARES. In the future, the benchmark may focus on the percentage of new participants who are transitioned to Full CARES within a certain amount of time.*

Challenges or Changes

THE CED TEAM WORKED ON FULLY IMPLEMENTING THE CARES INITIATIVE TO MOVE FAMILIES TOWARD SELF-SUFFICIENCY BY EVALUATING THE STATUS OF THE PROGRAM AND DOCUMENTING OF IMPACT FINDINGS. AS A RESULT OF THIS EFFORT, THE OPTION TO RESET FAMILIES TO YEAR 3 WAS GIVEN TO PARTICIPANTS. WHILE IT HAS PROVEN TO BE A CHALLENGE IN THE ADDITIONAL WORK THAT STAFF ARE REQUIRED TO DO, WE BELIEVE THAT THIS HAS ENHANCED THE OPPORTUNITY FOR OUR FAMILIES TO REACH SELF-SUFFICIENCY.

TEACHER-IN-RESIDENCE

Approved in FY15 and implemented in FY16

Self-Sufficiency

Description and Status

ECC/HANH has recently launched a new youth initiative named ECC Believes. The initiative is based on the premise that although some disadvantaged young people can rise above their circumstances to advance academically, personally, and professionally, most require intensive supports from an array of service providers and community-based organizations. ECC/HANH is leveraging a new housing policy to advance academic outcomes for student residents. The initiative is also a motto that ECC/HANH believes in—that each of our students can achieve excellence through individual and family supports to help them on their way towards success.

ECC Believes is comprised of supports that expand upon the ongoing work of ECC/HANH and the nationally recognized New Haven Public Schools. This initiative is research-based, supported by best practices, and founded on feedback from ECC/HANH residents, ECC/HANH staff, and community stakeholders. As such, the youth initiative focuses on:

1. Academic supports and afterschool programming to reduce the achievement gap
2. Parent and family engagement in children's education
3. Increasing programs that support post-secondary opportunities

In addition to the array of ECC/HANH-wide programs, ECC/HANH has school-specific partnerships that cater to individual student needs (e.g. tutoring and small group homework help, whole-family wraparound evaluations and mental health supports, student attendance and engagement assistance).

As part of ECC Believes, ECC/HANH seeks to make academic supports readily available to the approximately 2,000 school-age youth residing in our developments. Modeled after the Officer-in-Residence program implemented through HUD approval, ECC/HANH proposed a new MTW initiative that would offer housing to teachers in exchange for the delivery of homework help and tutorial services for our youth. Teachers housed through ECC Believes are called "Teachers-in-Residence." The initiative aims to provide ECC/HANH youth with necessary academic assistance and to help bridge an historical divide between educators and our families. The initiative also aims to build community and shift traditional relationships between teachers and parents. In turn, the program will create space for experiential learning, living, and communication. By grounding support where families live, the initiative aims to build relational pathways from the home into the classroom.

Teachers in the pilot program, as part of an agreement between ECC/HANH and each teacher, are required to provide educational assistance to ECC/HANH's youth at McConaughy Terrace and Waverly Townhouses. The selected developments are also where the teachers are housed during the pilot.

Educational assistance to ECC/HANH's school-aged youth is defined as follows:

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

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

The Teacher-in-Residence initiative is made possible in part through the designation of a residential unit as "special-use." As program dollars are often too limited for on-site services, using a housing voucher as an incentive to the Teacher-in-Resident allows ECC/HANH to provide services without additional financial resources. This unit designation benefits participating teachers by providing subsidized housing, and benefits residents by providing additional, on-site educational assistance. Through this initiative, ECC/HANH aims to increase students' academic achievement, which has the potential to end the cycle of poverty for resident families. Expected outcomes include:

- Improved academic success as students receive additional academic assistance
- Improved attendance in school as students better understand the academic material
- Improved performance on district and/or standardized testing

ECC/HANH received HUD approval for two MTW "neighborhood services special-use dwelling units"—one unit at Waverly Townhouses and one unit at McConaughy Terrace. To solicit potential teachers for the program, a job posting was listed with the agency. Interviews for the position began during June 2016, with the goal of having teachers in place before the beginning of the upcoming school year in late August 2016. As of the end of FY16, one teacher moved into Waverly Townhouses. However, ECC/HANH faced difficulties hiring a teacher at McConaughy Terrace, and the special-use unit was eventually reverted to a residential unit.

Impact

In FY17, ECC/HANH continued to engage school-age children at Waverly Townhouses, a site that houses 40 families, by providing educational programming throughout the school year and summer months. During FY18, 12 of 36 school-aged children (33%) enrolled in the program. The afterschool program consisted of students in kindergarten through 5th grade. To date, children who have consistently participated in programming have demonstrated academic and social growth, as well as an increased school attendance. Six of 12 children enrolled (50%) attended the afterschool program consistently, defined as having missed 3 or fewer sessions. Of those six children who participated consistently, four students (75%) showed improved reading levels, noted in school reporting. With regard to school attendance, five of six consistently participating students (84%) missed between 1-14 days of school, while only one student (16%) missed 15 or more days of school.

The program curriculum focused on academic support and homework help in the areas of reading and writing. The teacher-in-residence reviewed pre-literacy skills with younger kindergarten students and focused on letter recognition, letter sounds, sight work recognition, and name writing. To encourage older students in grades 3 through 5 to read for pleasure, students were introduced to different types of genres including comic books, plays, chapter books, fiction, nonfiction, and recipe books.

Math supports for the younger kindergarten students focused on counting, one-to-one correspondence and simple addition/subtraction concepts. The older students in grades three through five received academic support and homework help with a focus on math fluency and multiplication, as well as computation of fractions and long division. The children also enjoyed arts and crafts, computer time, and playing cooperative games outside to teach science, technology, engineering, and math concepts.

While the age range and the small size of the group allowed the teacher to gear instruction to an elementary school curriculum, enrollment and recruitment of additional students proved challenging. To help engage parents, the teacher participated in the Tenant Resident Council and held events throughout the year to continue recruitment and reignite interest in the second year of programming. Nonetheless, it was challenging to have parents attend meetings, events, or to answer doors during recruitment. Additionally, attendance waned in the winter and colder months as the days shortened and it became dark shortly after children returned home from school.

In FY18, the special-unit at Waverly was transitioned to a residential unit due to RAD conversion planned for the development in FY19. The afterschool program at Waverly concluded at the end of the 2018 school year to accommodate the teacher's move.

In FY18, ECC/HANH designated a special-use unit at McConaughy Terrace to relocate the teacher-in-residence and programming was began at the end of FY18. Additionally, ECC/HANH will provide transportation for families at Waverly Townhouses who are interested in having their children continue to attend. Children from neighboring Valley Townhouses will also be invited to attend the afterschool program, allowing the program to reach a larger number of ECC/HANH youth across developments.

Number of Days Absent from Programming			
Number (and Percentage) of Students during FY 2018			
Property	0 Days	1-14 Days	15+ Days
Waverly	0	5 (84%)	1 (16%)
TOTAL STUDENTS	**6**		

Outcomes

HUD-Required Metrics

SS #5: Households Assisted by Services that Increase Self-Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark*** **	**Outcome**	**Benchmark Achieved?**
Number of households receiving consultation and/or technical assistance	0	65% of school-aged children in Waverly Townhouses	2018: 12 (33%) 2017: 25 2016: N/A	No

Internal Metrics

Enrollment				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of children at each session	10	10% Annual Increase	2018: 6 2017: 10	No
Minimum of 15 children enrolled over the course of the year	20	5% Annual increase	2018: 12 2017: 25	No
Increase student achievement in literacy				
Improvement in individual reading levels	n/a	80% of students will increase one reading level (equivalent to one year's growth)	2018: 75% 2017: 90%	No
Increase student achievement in Mathematics				
Improvement in individual mathematics levels	N/A	80% of the students will increase one math level (equivalent to one year's growth)	2018: No data collected during FY18. 2017: No data collected during FY17.	Yes

Challenges or Changes

Securing academic outcomes proved to be an overall challenge for the afterschool program at Waverly. Half of the enrolled students did not attend consistently and their academic reading and math progress could not be tracked using school data, because their parents/guardians did not provide a report card, opted out of signing the release of information, or the release could not be secured by the teacher. Some of the parents who refused to sign the released shared they were not comfortable with the housing authority's ability to access their child's school information. Without this release, ECC/HANH does not have access to data regarding attendance and reading and writing levels.

To circumvent these challenges moving forward, and secure progress and outcome data that will be aligned with school assessment measures in reading and math, the Teacher-in-Residence will incorporate the "Math and Reading IXL program" into her curriculum. The teacher can secure this data from students participating in the program without securing a release of information from the New Haven Public Schools. This will allow her to assess and track individual academic growth in reading and writing, as well as track progress and highlight challenging areas in both subjects. The Math and Reading IXL program is aligned with Connecticut Common Core math standards and spans from Pre-K to high school with coverage of grade level concepts and applications. The introduction of Math and Reading IXL will enable the Teacher-in-Residence to gain baseline data at the beginning of the afterschool program and immediately begin working on student's levels and challenges without waiting for the school progress report, months after programming begins. For example, the first quarter progress report is provided in mid-fall, while the final quarter progress report is provided at the end of the school year, which can be as late as the end of June.

Additionally, New Haven Public Schools does not administer the Benchmark Assessment System (BAS) - individual reading assessment until the winter (Dec/Jan) and the Math Reasoning Inventory is a new assessment that is in its third year of providing data to the District and teachers are still working on how to align these scores to curriculum. Also, New Haven Public Schools has its predetermined timeline of assessment administration that do not necessarily align to the afterschool program timeline. The introduction Math and Reading IXL program, that can be utilized on an ongoing basis starting at the beginning of the afterschool program, will support the teacher by providing access to data that can allow her to adjust her curriculum accordingly, while providing children the opportunity for ongoing practice and introduction of new concepts in preparation for district assessments and larger state exams that are administered later in the year.

Additionally, through the Connect Home program, 100 tablets have been purchased for use in the afterschool program to help bridge the digital divide for families, serve as an assessment tool for the teacher, and support academics during programming time. The tablets will be used for both assessments and programming and the children will be allowed to bring the tablets back and forth from the program.

In FY19 and going forward, to address the lessons learned at Waverly regarding low enrollment numbers, the teacher has partnered with the local Junior League to engage youth and co-host an enrollment/open house event for the Teacher-in-Residence program. The event will target children with whom there is an established relationship, given previous attendance onsite at McConaughy. Also, the teacher has been working directly with the Resident Services Coordinator on improved outreach strategies with families, such as door-to-door introductions and a referral system to recommend families who could benefit from the program, such as working parents in need of afterschool care. The teacher has also been working with the existing Tenant Resident Council at Valley Townhouses to help improve the program model, including adjusting the days of the week and appropriate times to better serve the community, and also by hosting a holiday party with raffle prizes to incentivize parents to attend and learn about the program.

Initiative 3.1 – Rent Simplification

Approved in FY 2007 and implemented in FY08

Cost Effective

Description and Status

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

ECC/HANH utilizes the Enterprise Income Verification (EIV) system for all third-party verifications. In FY09, ECC/HANH implemented the multi-year recertification cycles that recertifies "work-able" families every two years and elderly/disabled families[13] every three years. MTW families that don't meet the elderly/disabled definition will be considered work-able families.

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

i. Multi-year recertification cycles.

- Triennial cycle (every three years) for elderly/disabled households (defined as head, co-head, or spouse is elderly and/or disabled)
- Biennial cycle (every two years) for work-able households (those that do not meet the elderly/disabled definition)

[13] *Elderly/disabled families are newly defined as: all adult members (excluding live-in attendants) of the household are elderly (age 62) and/or disabled.*

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

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

- **Rationale**: Using a band-based tiered rent schedule allows families to move away from verifying every dollar earned and deducted
- **Expected impact**: Less intrusive recertification process and increased understanding of the rent calculation methodology

iii. **Exceptional expense tiers.** Households with exceptional expenses may request a rent reduction. This includes large families (with more than two children). It also includes families with excessive medical, disability assistance, or childcare expenses. Participants are not required to provide documentation of every 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, all participants must contribute a minimum of $50 towards their monthly rent.

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

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

iv. **Minimum Rent of $50.** ECC/HANH established a minimum rent of $50 with the expectation that everyone pays something for housing. Residents who are unable to pay the minimum rent of $50 can request a hardship exemption for $0 rent. These individuals meet with ECC/HANH Hardship

Committee to determine the nature and length of the hardship and their rent is then modified accordingly based on the information collected. To move these residents towards self-sufficiency, they are referred to the Family Self-Sufficiency program if the adult household member is non-elderly/non-disabled.

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

v. **Transition to Avoid Hardships.** There will be a transition period of one year from the current income-based rent determination process to the new income-tiered rent determination process. No family will have an increase in Total Tenant Payment (TTP) during the first year they are subject to the requirements of this Rent Simplification Policy.

- Year 2: No family shall be subject to an increase in TTP greater than $25/month
- Year 3: No family shall be subject to an increase in TTP greater than $50/month
- Year 4: No family shall be subject to an increase in TTP greater than $75/month
- Subsequent years: No family shall be subject to an increase in TTP greater than $100/month

Increases are based on a family's monthly TTP in the year immediately preceding the implementation of the Rent Simplification Policy.

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

Impact

Multi-year recertification schedules. In FY18 there were 2,181 HCV recertifications scheduled. ECC/HANH realized a slight decrease in the number of annual recertifications processed in FY17 (1401) in comparison with FY16 (1431). This is a 61% decrease in annual certs from the approximate 3,628 recertifications processed in FY07, prior to implementation of the Rent Simplification policy in 2008. In addition, there were 1241 requests for a HCV interim in FY18, a decrease from the baseline of 1280 in 2007.

Now that biennial and triennial recertifications have gone through a full cycle, the downward trend will not be as significant and will only fluctuate based on the number of families who enter or leave the program on an annual basis. There has also been a 47% reduction in printing costs since 2007 due to a reduction in the number of annual recertifications for families.

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

Minimum rent. In FY16, 94 applications were received and 55 (59%) of those applications were approved. In FY17, 73 hardship requests were received and 67 (92%) were approved. ECC/HANH continues to monitor trends in hardship applications. Since 2012, there has been a 70% decrease in requests received. It is anticipated that applications will trend downward with approvals will steadily increase as fewer inappropriate applications are received, appropriate applications are processed and approved, and ultimately more residents are able to obtain employment and thus do not need minimum rent or exemptions.

Simplification of deductions. Even though the rent calculation was simplified with tiered rents and simplified deductions, most time savings have resulted from a decrease in the number of recertifications processed and a reduction in time required to process a recertification. This year, annual staff hours increased by an estimated 24% as a result of changes associated with staffing and additional recertfication projects taken on by the HCV team. In 2017 we saw a significant decrease in staff hours of about 104% in comparison to baseline year, 2007.

In FY 2018, 102 applications were received and 35 (34%) were approved. In FY 2017, 73 applications were received and 67 (49%) were approved. There has been a 58% decrease in the number of applications received, and a 32% decrease in number applications approved in comparison to the 2012 baseline.

Due to staff reductions in LIPH during FY 2018, our time estimates are 1.5 hours per recertification without interviews (family). With interviews of family members (size) it can add an additional hour. In HCV staff used 3.5 hours on average to complete certifications; this included time associated with filing, answering calls & emails.

Outcomes

HUD-Required Metrics

CE #1: Agency Cost Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Savings related to staff reduction due to implementation of multi-year recertification	$0	($133,000)	2018: $178,739 2017: $173,533 2016: $168,479 2015: $163,572 2014: $158,808 2013: $154,182 2012: $149,691 2011: $145,332 2010: $141,099 2009: $136,990 2008: $133,000	Yes, in 2008 there was a LIPH Director and HCV Director; The LIPH Director position was eliminated. HCV director position (salary + benefits) in 2008 position was combined.
Total annual cost of printing and mailing documents related to annual recertification (excluding staff time; PH and HCV combined). *	$26,923 (2007)	$13,750	2018: $16,123 2017: $14,344 2016: $17,391 2015: $12,705 2014: $14,927 2013: $13,338 2012: $16,924 2011: $14,597 2010: $23,639 2009: $26,340 2008: $26,175	No

CE #2: Staff Time Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Total annual staff time in hours to complete annual recertifications (PH and HCV combined) **	12,238 (2007)	5,000 annual staff hours	2018: 15,138 2017: 5,998 2016: 7,273 2015: 5,313 2014: 6,133 2013: 4,850 2012: 6,154 2011: 5,308 2010: 8,596 2009: 9,578 2008: 9,518	No
CE #3: Decrease in Error Rate of Task Execution				
Average percentage error rate in calculating rents in annual recertifications (% files reviewed with errors)	11% of files (2011)	5% of files	2018: 0% of files (HCV) 2017: 1% of files (HCV) 2016: 1% of files (HCV) 2015: 24% of files (HCV) 2014: 24% of files (HCV) 2013: 15% of files (HCV) 2012: 10% of files (HCV)	Yes

** 4,895 PH+HCV recertifications (2007); 2,310 (2015); 3,162 (2016); 2,000 (benchmark); $5.50 total cost per recertification packet: $2.50 average cost of postage and $3.00 printing (60-page recertification packet at $.05 per page) per recertification pre- and post-new schedules.*
*** 4,895 PH+HCV recertifications (2007); 2,714 (2014); 3,162 (2016); 2,500 (benchmark); 2.5 hours average staff time (both PH and HCV) per recertification pre-rent reform per 2007-time study and 2.3 hours post-rent reform from 2014 HCV activity time study (average of work-able and elderly/disabled households recertification processing time)*

Internal Metrics

Rent Simplification Initiative Metrics				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome***	**Benchmark Achieved?**
Number of hardships approved and hardship applications	2012: 122 approved/ 243 applications No baseline data available prior to 2012	No significant increase in hardships	2018: 35 approved/102 applications 2017: 67 approved /73 applications 2016: 55 approved/94 applications 2015: 42 approved/111 applications 2014: 40 approved/213 applications 2013: 54 approved/195 applications	Yes

Rent Simplification Initiative Metrics (continued)				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome***	**Benchmark Achieved?**
Number of families on minimum rent	28 (HCV - 2010) 170 (PH - 2007)	Decrease in minimum rent households	2018: 412 (HCV); 165 (PH) 2017: 380 (HCV); 171 (PH) 2016: 360 (HCV); 233 (PH) 2015: 348 (HCV); 213 (PH) 2014: 341 (HCV); 233 (PH) 2013: 314 (HCV); 212 (PH) 2012: 287 (HCV); 180 (PH) 2011: 227 (HCV); 183 (PH) 2010: 28 (HCV); 153 (PH) 2009: 33 (HCV); 147 (PH) 2008: 121 (HCV); 161 (PH)	No
Number of annual interims processed (PH and HCV combined)	1,280 (2007)	1,300	2018: 949 (HCV); 282 (LIPH) 2017: 2493 2016: 2497 2015: 1551 2014: 1539 2013: 1363 2012: 1967 2011: 1598 2010: 1196 2009: 1364 2008: 1140	No

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

Challenges or Changes

With the decrease in LIPH Housing Specialists staff in FY2018, current staff experienced an increased work load which required an increase in time to complete the recertifications. This increase is in line with the hike in LIPH staff time hours. In HCV staff worked on certifications that were previously assigned to other departments; causing for a hike in the hours worked there as well. During FY 2019 the Rent Simplification initiative will be evaluated to determine efficacy. A review of benchmarks will also be conducted.

INITIATIVE 3.5 – HCV RENT SIMPLIFICATION/COST STABILIZATION MEASURES

Approved in FY14

Cost Effective

Description

ECC/HANH enacted Rent Simplification measures consistent with the FY08 MTW Plan. This initiative expands upon those streamlining measures. This initiative replaced previous Initiative 3.3 (closed out) and was transitioned once HCV organizational changes and caseload optimization were completed.

This activity has three components:

Part 1. HQS Inspections on Biennial/Triennial Schedule

Unit inspections and rent increases are placed on a schedule consistent with recertifications to coincide. However, HCV participants and landlords can request a special inspection, if necessary, at any point that deficiencies are suspected.

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

Part 2. Self-Certification for Fails Not Related to Health/Safety

ECC/HANH will use a self-certification process to follow-up with non-life threatening HQS inspection violations. Landlords and participants will be able to self-certify and submit documentation of corrected deficiencies for regularly scheduled HQS inspections. All participants retain the right to request a special inspection at any time.

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

Part 3. Landlord Rent Increases on Biennial/Triennial Schedule

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

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

Impact

While ECC/HANH did not see the expected cost savings associated with the inspection components of this initiative, ECC/HANH did realize a reduction in staff time in scheduling inspections. Whereas 904 hours were dedicated to inspections in FY14, this was reduced to 674 hours in FY18, a 25% decrease over the period.

ECC/HANH also saw cost savings in biennial/triennial rent increases. FY18 saw a 49% decrease in rent increases from FY17, during which 141 rent increases were approved and processed. This represents an 81% decrease from 729 rent increases in FY13, the year prior to implementation. ECC/HANH implemented a new process of "self-certification" inspections in mid-FY17. In FY18, 11% of all failed inspections were self-certified by the landlord and participants, rather than requiring re-inspections by ECC/HANH.

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.

Outcomes

HUD-Required Metrics

Metrics Related to Inspections Components (1,2) of Activity				
CE #1: Agency Cost Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Cost of inspection contract with City of New Haven	$259,000 (2014) *	25% reduction of inspection contract cost with City	2018: $275,379 2017: $275,379 2016: $275,379 2015: $275,379	No
CE #2: Staff Time Savings				
Total HANH internal staff inspection scheduling time (annual hours) **	904 hours (2014)	367 hours	2018: 674 hours 2017: 670 hours 2015: 778 hours	No

Metrics Related to Biennial/Triennial Landlord Rent Increase Component (3) of Activity				
CE #1: Agency Cost Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Cost (in annual HAP) of processing landlord rent increases	$573,000 (2014) *	$200,000	2018: $296,520 2017: $453,324 2016: $437,580 2015: $343,932 2014: $573,000	No
CE #2: Staff Time Savings				
Annual staff time (hours) spent processing landlord rent increases	401 hours (2014) **	0 hours	2018: 141 hours 2017: 278 hours 2016: 232 hours 2015: 210 hours	No

** ECC/HANH processed 401 annual landlord rent increases in FY14 with average annual HAP increase of $1,429 ($119 per month). ECC/HANH processed 210 HCV landlord rent increases in FY15.*
*** ECC/HANH processed 401 annual landlord rent increases in FY14. 2014-time study found that landlord rent increases take an average of one hour to process.*

Internal Metrics

Special Inspections				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of HCV special inspections	157 special inspections (2015)	No significant increase over baseline	2018: 277 2017: 274 2016: 338 2015: 157	No

Challenges and Changes

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

FULTON PARK MODERNIZATION

Approved in FY11

Housing Choice

Description

This initiative was approved in FY11 and placed on hold in FY12 and continued to be deferred in FY16. This development was included in the RAD conversion for FY16. ECC/HANH completed a RPCA and submitted a RAD application on October 9, 2015, for the rehabilitation of Fulton Park. ECC/HANH had anticipated a HUD RAD application decision in the spring of 2016, but the project continued to be deferred due to discovery of significant structural issues.

Status

The Fulton Park project is part of the RAD Phase II expected to be completed during FY 2019.

ON-HOLD ACTIVITIES

INITIATIVE 1.16 – CRAWFORD MANOR TRANSFORMATION PLAN

Approved and placed on hold in FY16

Housing Choice

Description and Status

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

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

Under ECC/HANH's MTW Agreement with HUD, ECC/HANH is authorized to develop its own Leased Housing Program through exceptions to the standard HCV program. During FY08, ECC/HANH began to implement MTW Rent Standards that allow ECC/HANH to approve exception rents. Under no circumstances may ECC/HANH approve an MTW Rent Standard above 150% without prior HUD approval. ECC/HANH will reexamine its MTW Rent Standards monthly to ensure that ECC/HANH does not exceed 120% of the FMRs in the mean Rent Standard, which includes HAP payments to landlords, tenant rent payments to landlords, and any utility allowance amounts.

Impact

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

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available (increase).	104 units	99 units	2016: 109 units	Yes

Challenges or Changes

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

CLOSED OUT ACTIVITIES

Activity	Plan Year Approved/ Implemented	Year Closed Out
Initiative 1.1 – Development of Mixed Use Development at 122 Wilmot Road	Approved in FY09; development was completed and occupied in September 2013.	FY14
Initiative 1.3 – Fungibility	Approved in FY12 and implemented in FY13, but HUD provided guidance that this was no longer required to be listed as an MTW initiative.	FY13
Initiative 1.13 – Creation of a Commercial Business Venture at 122 Wilmot Road	Approved in FY13, but MTW authorization no longer required.	FY14
Initiative 1.14 – Redevelopment of 99 Edgewood Avenue (Dwight Gardens). ECC/HANH will use MTW Block Grant Banks to develop housing through a mixed finance process.	Approved in FY13, never implemented.	FY14
Initiative 3.2 – UPCS Inspections	Approved and implemented in FY08, but MTW authorization no longer required.	FY13
Initiative 3.3 – Revised HQS Inspection Protocol	Approved and implemented in FY11 but replaced with Initiative 3.5.	FY15
Initiative 3.4 – Mandatory Direct Deposit for Housing Choice Voucher Landlords	Approved and implemented in FY10, but MTW authorization no longer required.	FY14
LIPH Income Targeting: Marketing Initiatives for Higher Income Eligible Families	Approved in FY08, placed On Hold in FY14, and Closed Out in FY16.	FY16

INITIATIVE 1.1 – DEVELOPMENT OF MIXED-USE DEVELOPMENT AT 122 WILMOT ROAD

Housing Choice

Approved in FY09, implemented and closed in FY14. The development was completed and occupied in September 2013.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 units (frozen 2001 base)	2,529 units	2014: 2,447 units 2013: 2,613 units	No
CE #4: Increase in Resources Leveraged				
122 Wilmot Road dollars leveraged	1.7	2.0	2015: 3.2	Yes
Farnam Phase 1	1.7	2.0	2016: 3.1	Yes
Fair Haven	1.7	2.0	2015: 3.1	Yes

* Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace 2

Internal Metrics

Redevelopment Metrics				
Internal Metric #1: Increase in Agency Revenue				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Increase in agency revenue - 122 Wilmot Road redevelopment fees*	$0	$0	2014: $1,419,767.	Yes

Redevelopment Metrics (continued)				
Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase; REAC scores would reach 88	Quinnipiac Terrace: 2012: 89 2013: 98 Eastview Terrace: 2012: 95 McConaughy Terrace: 2009:70 2010: 58 2011: 78 2012: 82 McQueeney: 2009: 54 2010: 59 2011: 64 Ribicoff Cottages –EXT: 2009: 91 2010: 68 2011: 82 Robert Wolfe: 2009: 51 2010: 80 2011: 49 2012: 82 Ruoppolo/Fairmont: 2009: 56 2010: 61 2011: 65 2012: 79 2013: 86 Westville Manor: 2009: 90 2010: 35 2011: 51 2012: 47 Winslow-Celentano: 2009: 53 2010: 72 2011: 74 2012: 71 2013: 84 Crawford: 2013: 88	Yes

Internal Metric #4: TDC				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average (Actual TDC - TDC at HUD's limits)/number of units	Zero at program's inception	This metric cannot be narrowly defined into a single figure. However, HANH's goal is not to exceed HUD's approved alternative TDC limit.	Brookside I: 50 units at $107,700/unit Quinnipiac: 17 units at $71,800/unit Rowe: 78 units at $16,700/unit	Yes
Internal Metric #5: HCC				
Average (Actual HCC -HCC at HUD's limits)/number of units	Zero at program's inception	This metric cannot be narrowly defined into a single figure. However, HANH's goal is not to exceed HUD's approved alternative HCC limit.	Brookside I: 50 units at $132,000/unit Quinnipiac: 17 units at $66,000/unit Rowe: 78 units at $33,787/unit Brookside II: 50 units at $27,900/unit	Yes
Internal Metric #6: Utility expenses per unit**				
Reduction of utility expenses per unit, pre- and post-redevelopment – electric	Valley Waverly: $10,800 per unit in 2012.	5% reduction. Electric utility expenses would reach approximately $10,300 per unit.	2012: Eastview Terrace—$9,863/unit Quinnipiac Terrace—$5,685/unit	Yes
Reduction of utility expenses per unit, pre and post redevelopment – gas	Valley Waverly: $730 per unit in 2012.	5% reduction. Gas utility expenses would reach approximately $790 per unit.	2012: Eastview Terrace—$333/unit Quinnipiac Terrace—$415/unit	Yes

Internal Metric #7: Crime rate				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47.	10% reduction in number of major crimes.	Quinnipiac Terrace: 2012: 3 major crimes 2014: 4 major crimes 2016: 2 major crimes West Rock (122 Wilmot, Brookside I and II): 2014: 7 major crimes West Rock (122 Wilmot, Brookside I and II) 2012: 25 major crimes	Yes

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

INITIATIVE 1.3 – FUNGIBILITY OF MTW FUNDS

Cost Effective

Approved in FY12, implemented and closed in FY13. HUD provided guidance that this was no longer required to be listed as an MTW initiative. Fungibility is provided under MTW single fund flexibility and activities using that flexibility only are included in Section V of the MTW Annual Report.

Cost Effective

INITIATIVE 1.13 – CREATION OF A COMMERCIAL BUSINESS VENTURE AT 122 WILMOT ROAD

Approved in FY13 and closed out in FY14. HUD instructed ECC/HANH to close-out this activity as MTW authorization was no longer required. It was combined with Section V: Initiatives Requiring MTW Funding Flexibility Only, Major Redevelopment Efforts at West Rock. The description and outcomes of the activity appear in that section of the report.

Housing Choice

INITIATIVE 1.14 – REDEVELOPMENT OF 99 EDGEWOOD AVENUE (DWIGHT GARDENS)

Approved in FY13 and closed out in FY14. ECC/HANH will use MTW Block Grant Banks to develop housing through a mixed finance process.

INITIATIVE 3.2. – UPCS INSPECTIONS

Cost Effective

Approved and implemented in FY08 and closed out in FY13. MTW authorization is no longer required.

Before this activity was implemented, ECC/HANH conducted UPCS inspections of 100% of units and sites each year. UPCS inspections include the entire housing stock, including vacant units. Beginning in FY08 and every year subsequent, ECC/HANH completed a random sampling of no less than 20% of units for UPCS inspections. This allowed ECC/HANH to reduce the number of UPCS inspections that must be completed each year. By targeting UPCS inspections at properties most in need, ECC/HANH was able to maximize use of limited resources to reduce costs and maintain its overall agency REAC scores.

Outcomes

HUD-Required Metrics

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

Internal Metrics

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

INITIATIVE 3.3 – REVISED HQS INSPECTION PROTOCOL

Cost Effective

Approved and implemented in FY11 and closed out in FY15. This initiative was replaced with Initiative 3.5.

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

Outcomes

HUD-Required Metrics

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

** FY14 includes 3,616 inspections including HQS, reinspections, initials, and specials: Benchmark based on 3,036 inspections including HQS, reinspections, initials, and specials; Baseline FY13: 4,372 including HQS, reinspections, initials and specials; 15 minutes staff time scheduling per inspection.*

Cost Effective

INITIATIVE 3.4. – MANDATORY DIRECT DEPOSIT FOR HOUSING CHOICE VOUCHER LANDLORDS

Approved and implemented in FY10 and closed out in FY14. MTW authorization is no longer required for this initiative.

ECC/HANH's ability to effectively manage its HAP payment process has been enhanced by implementing mandatory direct deposit of all landlords who participates in the HCV program. To reach the goal of 100% direct deposit utilization, all new owners are required to enter in Direct Deposit Agreements starting in FY10. Implementation of this initiative rewards landlords with timely and accurate HAP payments.

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

Outcomes

HUD-Required Metrics

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

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

Internal Metrics

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

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

Cost Effective

LIPH INCOME TARGETING: MARKETING INITIATIVES FOR HIGHER INCOME ELIGIBLE FAMILIES

Approved in FY08 and placed on hold in FY12, closed out FY16

This initiative was first approved in FY08. In FY09, implementation of the marketing initiatives for Higher Income Eligible families began with the development of marketing materials. In FY10, the re-entry pilot implementation was delayed. The policies and procedures were established and revisions to the Admission and Continued Occupancy Policies were implemented. In FY11, outreach was set to continue, and ECC/HANH expected to bring the initial residents into the program. Due to ECC/HANH's focus on redevelopment activities, this initiative was placed on hold in FY12 and no actions have been taken to reactivate the initiative. In FY16, ECC/HANH closed out the initiative.

(V) SOURCES AND USES OF MTW FUNDS
ANNUAL MTW REPORT

A. ACTUAL SOURCES AND USES OF MTW FUNDS

i. Actual Sources of MTW Funds in the Plan Year

The MTW PHA shall submit unaudited and audited information in the prescribed Financial Data Schedule (FDS) format through the Financial Assessment System – PHA (FASPHA), or its successor system.

UNAUDITED/SINGLE AUDIT SUBMISSION TO FASS-PH, FY2018		
LINE ITEM #	**DESCRIPTION**	**TOTAL**
290	Total Assets and Deferred Outflow of Resources	$332,625,926
600	Total Liabilities, Deferred Inflows of Resources and Equity - Net Assets/Position	$332,594,051
70000	Total Revenue	$115,382,725
96900	Total Operating Expenses	$32,645,616
97000	Excess of Operating Revenue over Operating Expenses	$82,737,109
10000	Excess (Deficiency) of Total Revenue Over (Under) Total Expenses	$18,584,098

Data was submitted in the FASS-PH system as of November 27, 2018.

ii. Actual Uses of MTW Funds in the Plan Year

The MTW PHA shall submit unaudited and audited information in the prescribed FDS format through the FASPHA, or its successor system.

iii. Describe Actual Use of MTW Single Fund Flexibility

ACTUAL USE OF MTW SINGLE FUND FLEXIBILITY
Single fund flexibility is made possible by the MTW program. This 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 residents through the SEHOP Capital improvement Program as well as the Resident Services for elderly/disabled.

B. LOCAL ASSET MANGEMENT PLAN

i. Did the MTW PHA allocate costs within statute in the Plan Year? No

ii. Did the MTW PHA implement a local asset management plan (LAMP) in the Plan Year? Yes

iii. Did the MTW PHA provide a LAMP in the appendix?

Yes

iv. If the MTW PHA has provided a LAMP in the appendix, please provide a brief update on implementation of the LAMP. Please provide any actual changes (which must be detailed in an approved Annual MTW Plan/Plan amendment) or state that the MTW PHA did not make any changes in the Plan Year.

ECC/HANH did not make any changes in the plan year.

MTW ACTIVITIES THAT USE ONLY MTW SINGLE FUND FLEXIBILITY					
Label	**Description**	**Cost Effective**	**Expand Housing Choice**	**Increase Self-Sufficiency**	**Status**
1.9	Increase the Allowed Percentage of Project-Based Voucher (PBV) Units from 75 Percent to 100 Percent in a Mixed-Finance Development	✓	✓		Ongoing
	Project Modernization – Various Projects		✓		Ongoing
	Vacancy Reduction – Various Projects		✓		Ongoing
	Major Redevelopment Efforts at West Rock - Eastview Terrace (leased up 6/30/2009)		✓		Closed
	Major Redevelopment Efforts at West Rock - Rockview Phase I (leased up 2/28/2011)		✓		Closed
	Major Redevelopment Efforts at West Rock - Quinnipiac Terrace III (leased up 7/31/2011)		✓		Closed
	Major Redevelopment Efforts at West Rock - William T. Rowe (Land Swap, leased up 10/31/2011)		✓		Closed
	Major Redevelopment Efforts at West Rock - Brookside Phase II (West Rock, leased up 2/1/2013)		✓		Closed
	Major Redevelopment Efforts at West Rock - Brookside Phase I (West Rock, leased up 7/23/2013)		✓		Closed
	Major Redevelopment Efforts at West Rock - Brookside Homeownership (West Rock, ongoing)		✓		Ongoing
	Major Redevelopment Efforts at West Rock -122 Wilmot Road (West Rock, leased up 12/31/2013)		✓		Ongoing
	Major Redevelopment Efforts at West Rock - Ribicoff 4%		✓		Ongoing
	Major Redevelopment Efforts at West Rock - Ribicoff 9%		✓		Ongoing
	Major Redevelopment Efforts at West Rock - Farnam Courts		✓		Ongoing

MTW ACTIVITIES THAT USE ONLY MTW SINGLE FUND FLEXIBILITY (continued)					
Label	**Description**	**Cost Effective**	**Expand Housing Choice**	**Increase Self-Sufficiency**	**Status**
	Major Redevelopment Efforts at West Rock - Rockview Phase II		✓		Ongoing
	Major Redevelopment Efforts at West Rock – Westville Manor		✓		Ongoing
	Resident-Owned Business Development			✓	Ongoing
	SEHOP Capital Improvement Program			✓	Ongoing
	Prison/Community Reentry			✓	Ongoing
	Cap on Project-Based Units in a Project		✓		Closed[14]

[14] Closed out in FY12 and replaced by the initiative "1.9: Increase the Allowed Percentage of Project-Based Units from 75 Percent to 100 Percent in a Mixed-Finance Development.

INITIATIVE 1.9 – INCREASE THE ALLOWED PERCENTAGE OF PROJECT BASED VOUCHER (PBV) UNITS FROM 75 PERCENT TO 100 PERCENT IN A MIXED FINANCED & RAD DEVELOPMENT

Approved in FY12 and implemented in FY13

Description and Status

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

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

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

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

ECC/HANH will limit the number of project-based units in non-mixed-finance projects to no more than 50 percent of the units in the project, if ECC/HANH may project-base up to 75 percent of the units in such project, if the project meets the following criteria:

1. Will provide replacement units for public housing units lost because of demolition or disposition;
2. Is undertaken in an area where significant investments are being made;
3. Will help to reduce the concentration of very low-income families, or
4. Is in areas that provide increased access to transportation or employment opportunities.

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

This initiative includes the following buildings:

- ECC/HANH closed on Ribicoff 9%
- Ribicoff 4% closed during FY15
- Fair Haven and Farnam Phase I closed during FY16
- Plan to close on Farnam Phase II during FY18

Impact

This initiative helps to increase the supply of affordable housing in areas that promote de-concentration of poverty, provides housing in areas that are accessible to employment, schools, shopping and transportation, and helps to promote investment in areas where other significant investments are being made. ECC/HANH has a development pipeline that will utilize this initiative. ECC/HANH exceeded the benchmark for leveraged dollars (with a 2: 1 ratio) and saw a decrease in crime (by 10 percent). During FY18 144 LIPH units converted to PBV via RAD.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 units (frozen 2001 base)	Decrease of 5% from previous year	2018: 1705 LIPH units 2017: 1849 LIPH units 2016: 2310 LIPH units 2015: 2447 LIPH units 2014: 2447 LIPH units 2013: 2613 LIPH units	Yes

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

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

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

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

Internal Metrics

Redevelopment Metrics				
Internal Metric #7: Crime rate				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47	10% reduction in number of major crimes.	See "Major Crimes" table below for all crime information.	Yes

Number of Major Crimes*					
Development	2018	2017	2016	2014	2012
Eastview Terrace	9	7	1	0	0
Ribicoff 4%	0	1	0	N/A	N/A
Ribicoff 9%	0	1	0	N/A	N/A
Quinnipiac Terrace	7	0	2	4	3
West Rock (122 Wilmot, Brookside I and II)	2	N/A**	N/A**	7	25
Westville	8	1	0	0	0
William T Rowe	4	0	1	0	0
Wilmot	2	1	0	0	N/A
Farnam Phase I (Mill River Crossing)	1	N/A	N/A	N/A	N/A
Fair Haven	3	N/A	N/A	N/A	N/A

Challenges or Changes

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

PROJECT MODERNIZATION

Description of Activity

MTW flexibility allows ECC/HANH to address renovation needs in concert with agency-wide goals to provide housing of choice in sustainable residential communities. During FY18, ECC/HANH continued to manage an aging portfolio with renovation needs beyond the reach of available capital fund program (CFP) funding levels. As more of ECC/HANH portfolio converts to project-based vouchers (PBV) under the Rental Assistance Demonstration (RAD) Program, fewer developments will be eligible for CFP funding. Given funding limitations, ECC/HANH was diligent to make the best use of its capital resources to meet critical needs in support of addressing health and safety, cost savings through implementation of energy conservation measures, and vacancy reduction/increased occupancy.

This fiscal year, CFP funding supported energy savings initiatives to replace obsolete heating and hot water equipment with installation of more energy-efficient mechanical systems. ECC/HANH expended $71,854 in CFP funds for radiator replacement and heating system upgrade contracts for all 109 units at Crawford Manor, providing elderly and disabled residents with individual radiator controls in their apartments.

ECC/HANH also expended $852,556 in CFP funds for complete replacement of obsolete furnace and hot water heaters with energy-efficient gas furnaces, including chimney liners in 40 of 201 units at McConaughy Terrace. The furnace and hot water heater replacements are part of a phased project at McConaughy Terrace, where furnace and hot water heaters were replaced at 30 apartments in prior years. ECC/HANH expects these improvements will increase resident comfort and provide reduced energy costs.

During FY18, ECC/HANH hired renovation and abatement contractors to continue to supplement staff efforts to bring vacant units back on-line. ECC/HANH expended $15,000 in CFP funds, $78,224 in MTW funds and $45,957 in fire insurance money to repair a fire damaged apartment at McConaughy Terrace. By supplementing public housing operating funding, MTW flexibility permitted ECC/HANH to repair this uninhabitable apartment for re-occupancy and to reduce the vacancy rate at McConaughy Terrace. ECC/HANH also expended funds to complete hazardous materials abatement in one vacant unit at Westville Manor ($10,838 in CFP funds), one vacant unit at Crawford Manor and one area at Winslow-Celentano ($7,141 in MTW funds) for re-occupancy. Additional vacancies were deferred until forthcoming RAD conversion renovations.

In support of ECC/HANH’s RAD conversion initiative, $3.1 million in CFP funds are supplementing multiple public and private funding sources toward pre-development expenses associated with RAD conversion of 761 units. During FY18, ECC/HANH expended $967,818.76 in CFP funds (and $1,115,415.23 of CFP funds during FY17) toward RAD pre-development costs.

Five architectural and engineering (A&E) firms and two environmental consultant firms assisted ECC/HANH with design, construction management, potential hazardous materials testing, preparation of abatement scopes of work, and abatement monitoring services agency-wide, including assistance with RAD conversion developments. During FY18, ECC/HANH expended $98,306.64 in CFP funds for non-RAD A&E services and $96,318.65 in CFP funds for non-RAD environmental consulting services. RAD related A&E and RAD related environmental expenses are included in the above category RAD Portfolio Conversions A&E/Environmental.

Although ECC/HANH anticipated that all agency-wide physical needs assessments would be completed in prior fiscal years, fifteen scattered site locations were inadvertently omitted from the assessments and these were performed during FY18 at a cost of $28,750 in CFP funds.

In FY18, ECC/HANH expended $716,950 in CFP funds toward bond debt repayment for Brookside Phase 1 redevelopment in accordance with the authorized payment schedule. The bond debt repayment amount was lower than planned due to the May 2018 bond defeasance.

In support of CFP activities, during FY18 ECC/HANH expended $326,826.27 in CFP funds toward a portion of salaries and benefits to support four staff members, two of which were previously covered by the operating fund. This is the 10% of CFP allowed for administrative costs.

The planned bathroom upgrades at Crawford Manor and sewer upgrades at McConaughy Terrace have been deferred due to insufficient funds to support these large-scale projects.

Energy Usage and Cost Effectiveness Outcomes

To assess the validity of our assumptions regarding cost savings at Crawford Manor, ECC/HANH has collected gas cost and usage data from October 2012 through May 2018. In October 2015, large temporary boilers were rented and installed at Crawford Manor when the existing Domestic Hot Water Heaters (DHWH) failed. The design for replacement was already in motion, and new boilers were installed starting April 2016, and completed in October 2016. Phase II of the project replaced radiators in 109 units and provided residents with individual controls. Phase II construction started February 2017 and was completed in time for the heating season in October 2017.

The cost of gas per volume-cubic foot (CCF) has almost doubled since 2012 (See FIGURE 1).
The cost was $0.68 per CCF in 2012, and the cost in 2018 was $1.34 per CCF. This trend of increasing cost is an indicator that a solution was necessary to assist with operations costs.

FIGURE 2 shows the gas usage by volume (CCF) over 3 years while Crawford Manor was functioning with the existing antiquated boilers and storage tanks. From 2012-2015 gas consumption at peak times during the cold months averaged 40,491 CCF. Upon installation of the temporary boilers, the gas usage dropped dramatically to an average of 10,186 CCF during peak consumption. Note that the peaks are shallower, indicating that the systems installed were more efficient in managing the call for heat and storage of Domestic Hot Water (DHW).

FIGURE 3 shows the cost and usage per billing period, to indicate the direct correlation between cost and usage. Note that the upper trend line for overall gas consumption trends down over the 6 years, but the overall cost trend has remained level (lower line). This overall operational cost was maintained despite the doubling of the cost per CCF.

FIGURES 4 through 6 details changes once construction started. FIGURE 4 shows how peak gas consumption was reduced to under 12,000 CCF. There was a slight reduction in overall gas consumption from the use of the temporary boilers to the new system. Consumption increased slightly once the new radiators and individual controls were installed. This increase may be due to warmer weather experienced in New Haven in Winter 2016, as compared to Winter 2017. Staff will continue to monitor gas consumption during the upcoming winter season for comparison.

FIGURE 5 shows that even in the 3 most recent years, while under construction, there was an overall reduction of gas consumption.

FIGURE 6 indicates that although the cost per billing period fluctuated, the annual cost to ECC/HANH remained the same. As costs for gas increase, ECC/HANH will be prepared with a system that is energy efficient and has saved 321,027.27 CCF in the past 3 years, which translates to a cost savings of $83,344.25, or $27,781.42 per year (FIGURE 7). If the cost of gas were to stay stable, this would provide $416,721 savings for the 15-year estimated useful life of the system (FIGURE 7).

Outcomes*

HUD-Required Metrics

Housing Choice Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 units (frozen 2001 base)	Decrease of 5% from previous year	2018: 1,705 units 2017: 1,849 units 2016: 2,310 units 2015: 2,447 LPH units 2014: 2,447 units 2013: 2,613 units	Yes

Internal Metrics

Redevelopment Metrics				
Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88.	2018: See "REAC Scores for LIPH Properties" table below for all REAC scores.	No. The average REAC score for the ECC/HANH properties inspected in FY18 was 81.

Redevelopment Metrics (continued)				
Internal Metric #3: Average work order				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Work orders per property	N/A	Brookside Phase I: 1,000 (10 work/year) Brookside Phase II: 1,000 QT1: 560 QT2: 580 QT3: 170 Eastview: 1,020	See "Number of Annual Work Orders for LIPH Properties" table below for all work order totals.	No. The average number of work orders per building increased from 2016 to 2017, with the average in 2017 being 922 work orders per building, which is higher than half of the benchmarks presented for this metric.
Internal Metric #6: Utility expenses per unit**				
Reduction of utility expenses per unit, pre and post redevelopment – Electric	Valley Waverly: $900 per unit per month in 2012.	5% reduction. Electric utility expenses would reach approximately $858.33 per unit.	See "Annual Utility Costs, Electricity" table below for all utility information.	Yes
Reduction of utility expenses per unit, pre and post redevelopment – Gas	Valley Waverly: $60.83 per unit per month in 2012.	5% reduction. Gas utility expenses would reach approximately $65.83 per unit.	See "Annual Utility Costs, Gas" table below for all utility information.	Yes
Internal Metric #7: Crime rate				
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13 West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47	10% reduction in number of major crimes	See "Major Crimes" table below for all crime information.	Yes

Redevelopment Metrics (continued)				
Internal Metric #8: Occupancy				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Occupancy	FY01: Brookside Phase I: 85% Brookside Phase II: 0 Quinnipiac I: 83% Quinnipiac II: 0	95%	See "Point in Time Occupancy Rates for LIPH Properties" table below for all	Yes. The average occupancy rate for ECC/HANH

	Quinnipiac III: 0 FY08: Rowe: 76%		occupancy information.	properties was 96.52%

** Metrics will be revaluated and updated in FY18, per the FY18 technical amendment.*
*** In 2012, ECC/HANH calculated utilities savings by comparing post-redevelopment average per-unit utility costs at Eastview Terrace and Quinnipiac Terrace to average per-unit utility cost at Valley Waverly, which is not a redeveloped building. ECC/HANH requested data from the public utility to update the later fiscal years but did not receive that information. Utility costs began being presented by per unit per month in FY17.*

REAC Scores for LIPH Properties

Development	2018	2017	2016	2015	2014	2013	2012	2011	2010	2009
Brookside Phase I*	95	95		92						
Brookside Phase II*	91	91		95						
Constance Motley**				90						
Crawford Manor		78	69			88				
Edith D Johnson Towers**				95						
Eastview Terrace*/**							95			
Farnam Courts*/**	36		56							
Katherine Harvey Terrace**	86	86			95					
McConaughy Terrace							82	78	58	70
McQueeney**	63		70				64	59	85	54
Monterey 1**					96					
Monterey 2**					92					
Monterey 4**					92					
Monterey 5**					91					
Newhall Gardens**			96							
Prescott Bush Mall**				97						
Quinnipiac Terrace Phase I*	82	82		88		98	89			
Quinnipiac Terrace Phase II*	93	93		85						
Quinnipiac Terrace Phase III*			85							
Ribicoff Cottages - EXT**							82	82	68	91
Robert T Wolfe**		71		85			82	49	80	51
Rockview Phase I*	97	97		96						
Ruoppolo/Fairmont**						86	79	65	61	56
St. Anthony II		58								
Val Macri				94						
Waverly Townhouses**		65								
Westville Manor		58					47	51	35	90
Wilmot Crossing*/**					93					

REAC Scores for LIPH Properties										
Winslow-Celentano**		58	70			84	71	74	72	53
WT Rowe*	90	90		99						
Scattered Sites II		80								
Scattered Sites III		67	61							

** Redevelopment **RAD*

Number of Annual Work Orders for LIPH Properties

Development	FY 18	FY 17	FY 16	Other Years
Brookside Phase I	No data	No data	461	2013: 1,311
Brookside Phase II	No data	No data	472	
Brookside I, Brookside II & Rockview I		N/A	N/A	2014: 1,562
Charles T. McQueeney	769	1,008	1,312	N/A
Constance B Motley	197	609	573	N/A
Crawford	907	1,461	No data	N/A
Eastview Terrace	951	1,323	625	N/A
Essex Townhouses		220	190	N/A
Fairhaven Chatham	238	92	No data	N/A
Fairhaven Eastview	176	129	No data	N/A
Fairmont Heights	588	756	1024	N/A
Farnam Courts	298	607	1002	N/A
Katherine Harvey Terrace	111	172	132	N/A
Mathew Ruoppolo	440	535	607	N/A
McConaughy Terrace	1512	2,981	1,612	N/A
Newhall Gardens	106	312	360	N/A
Prescott Bush	165	734	464	N/A
Quinnipiac I		2,826	531	2013: 204
Quinnipiac II		2,815	608	2013: 273
Quinnipiac III		1,148	277	2013: 289
Quinnipiac Terrace I, II & III		N/A	N/A	2014: 1,351
Ribicoff 4% & 9%	1222	404	122	N/A
Robert T. Wolfe	336	978	465	N/A
Rockview		No data	48	N/A
Scattered Sites All	1348	1,586	990	N/A
Valley/Waverly	775	1,339	1,470	N/A
Westville	710	961	1,206	N/A
William T. Rowe	520	585	649	N/A
Wilmot	1346	338	175	N/A
Winslow Celentano	649	933	765	N/A

Annual Per Unit Per Month Utility Costs, Electricity				
Development	**FY18**	**FY17***	**FY16**	**Other Years**
Eastview I	$41.78	$68.97	$75.07	2012: $821.92
Fair Haven	$174.69	$124.57	No data	
Quinnipiac	No data	No data	No data	2012: $473.75
Ribicoff 4%	$193.95	$159.52	No data	
Ribicoff 9%	$214.05	$183.81	No data	
Wilmot	$215.10	$143.41	No data	
WT Rowe	$170.19	$671.59	$105.46	
Valley Waverly	No data	No data	No data	2012: $900

Annual Per Unit Per Month Utility Costs, Gas				
Development	**FY18**	**FY17**	**FY16**	**Other Years**
Eastview I	$14.69	$11.99	$7.00	2012: $27.75
Fair Haven	$19.27	$31.17	No data	
Quinnipiac	No data	No data	No data	2012: $34.58
Ribicoff 4%	$29.11	$13.28	No data	
Ribicoff 9%	$24.20	$22.21	No data	
Wilmot	$17.88	$9.88	No data	
WT Rowe	$36.14	$32.22	$6.02	
Valley Waverly	No data	No data	No data	2012: $60.83

Number of Major Crimes*					
Development	**2018**	**2017**	**2016**	**2014**	**2012**
Eastview Terrace	9	7	1	0	0
Ribicoff 4%	0	1	0	N/A	N/A
Ribicoff 9%	0	1	0	N/A	N/A
Quinnipiac Terrace	7	0	2	4	3
West Rock (122 Wilmot, Brookside I and II)	2	N/A**	N/A**	7	25
Westville	8	1	0	0	0
William T Rowe	4	0	1	0	0
Wilmot	2	1	0	0	N/A
Farnam Phase I (Mill River Crossing)	1	N/A	N/A	N/A	N/A
Fair Haven	3	N/A	N/A	N/A	N/A

** Crime data was not available for all past years*
*** After FY14, data was reported by individual developments rather than for the entire West Rock community.*

Point-in-Time Occupancy Rates for LIPH Properties				
Development Name	2018	2017*	2016	Other Years
*Brookside Phase I	92.00%	98.00%	100.00%	2013: 100%; 2014: 97%
*Brookside Phase II	94.00%	100.00%	100.00%	2013:100%; 2014: 98%
CB Motley	No Longer LIPH	93.33%	97.78%	N/A
Crawford Manor	90.74%	88.57%	95.24%	N/A
Edith Johnson Towers	No Longer LIPH	89.47%	91.58%	N/A
Essex Townhouses	93.94%	96.97%	96.97%	N/A
Fairmont Heights	86.32%	93.68%	94.74%	N/A
Farnam Courts	56.52%	100.00%	79.89%	N/A
Katherine Harvey	No Longer LIPH	100.00%	93.75%	N/A
McConaughy Terrace	95.43%	96.45%	97.46%	N/A
McQueeney Towers	92.41%	95.86%	98.62%	N/A
*New Rowe	89.13%	97.83%	95.65%	2013: 99%; 2014: 100%
Newhall Gardens	No longer LIPH	100.00%	100.00%	N/A
Prescott Bush	No Longer LIPH	98.21%	98.21%	N/A
*Quinnipiac Terrace I	98.28%	100.00%	100.00%	2013: 96%
*Quinnipiac Terrace III	96.43%	100.00%	92.86%	2013: 97%
*Quinnipiac Terrace III	100.00%	100.00%	100.00%	2013: 97%
*Quinnipiac Terrace I, II & III		N/A	N/A	2014: 98.5%
*Rockview Phase 1 Rental	100.00%	96.67%	100.00%	N/A
RT Wolfe	95.65%	98.88%	98.88%	N/A
Ruoppolo Manor	94.12%	96.08%	95.10%	N/A
Scattered Site II	95.45%			
Scattered Site III	80.77%			
Scattered Site - East	No data	97.78%	88.46%	N/A
Scattered Site - Multi Family	No data	99.12%	96.52%	N/A
Scattered Site - West	No data	100.00%	95.45%	N/A
St. Anthony II	96.52%			
Val Macri	100.00%	100.00%	100.00%	N/A
Valley Townhouses	87.18%	94.87%	97.44%	N/A
Waverly Townhouses	79.59%	96.45%	89.80%	N/A
Westville Manor	95.27%	95.92%	96.62%	N/A
William Griffin	No Longer LIPH	75.00%	100.00%	N/A
Winslow-Celentano	96.83%	100.00%	93.65%	N/A
Average Occupancy	**91%**	**96.52%**	**95.07%**	

- TDC sites

The average occupancy rates for sites using TDC was at 95.69% during FY 2018, in comparison to non TDC sites which averaged 89.32%.

Challenges and Changes

None.

VACANCY REDUCTION

Implemented in FY08.

Description of Activity

ECC/HANH will continue to show improvement from the baseline FY08 vacancy rate of 10%. Efforts in this area continued in FY18.

Impact Analysis

ECC/HANH currently uses funding flexibility to perform more unit turn over. Currently, the agency occupancy rate is at 91%, however, there are other factors, playing into the lower rate such as a hold on swing units for RAD projects at ECC/HANH. On average, ECC/HANH keeps an occupancy rate of 95 to 96%. ECC/HANH has set a standard of unit turns by bedroom size. Typically, a 0- or 1-bedroom unit turn should occur within a 20-day period. A larger 3-5-bedroom unit may take 4-6 weeks, particularly if hazardous materials (asbestos/lead) have been found in the unit. Funding allows ECC/HANH to bulk abate hazardous materials, renovate the unit and manage all administrative functions supporting vacancy reduction. During FY 2018 ECC/HANH had a total average of 106 vacancies. Many of those vacancies were associated with a development project and/or RAD projects. Unit turns were utilized for temporary relocation purposes. It is strongly anticipated LIPH occupancy percentage will increase significantly with the removal of dwelling units at Farnam Courts.

Outcomes*

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 units (frozen 2001 base)	Decrease of 5% from previous year	2018: 1705 units 2017: 1849 units 2016: 2310 units 2015: 2447 units 2014: 2447 units 2013: 2613 units	Yes

Internal Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88.	See "REAC Scores for LIPH Properties" table under the Project Modernization initiative above	No. The average REAC score for the ECC/HANH portfolio in FY18 was 81.

Internal Metric #3: Average work order				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Work orders per property	N/A	Brookside Phase I: 1000 (10 work/year) Brookside Phase II: 1000 QT1: 560 QT2: 580 QT3: 170 Eastview: 1020	See "Number of Annual Work Orders for LIPH Properties" table under the Project Modernization initiative, above	No. The average number of work orders per building increased from 2016 to 2017, with the average in 2017 being 922 work orders per building, which is higher than half of the benchmarks presented for this metric.
Internal Metric #8: Occupancy				
Occupancy	FY01: Brookside Phase I: 85% Brookside Phase II: 0% Quinnipiac I: 83% Quinnipiac II: 0% Quinnipiac III: 0% FY08: Rowe: 76%	95%	See "Point in Time Occupancy Rates for LIPH Properties" table under the Project Modernization initiative, above	No. The overall occupancy for all ECC/HANH properties was 91% in FY18.

** Metrics will be revaluated and updated in FY19, per the FY19 plan.*

Challenges and Changes

None.

MAJOR REDEVELOPMENT EFFORTS AT WEST ROCK (PREVIOUSLY INCLUDED INITIATIVE 1.13)

ECC/HANH received approval from HUD to dispose of the Brookside property in FY10. ECC/HANH requested HUD approval for disposal of Rockview in FY12. Per HUD direction, Initiative 1.13 was moved to this section of the report, because only single fund flexibility was required.

Description of Activity

This project includes:

- Brookside Phase I and II
- Homeownership
- 122 Wilmot
- Rockview

During FY14, the Rockview Rental Phase I was completed and leased up. Ribicoff was completed in 2 phases in 2015 and 2016. Rockview Phase 2 was awarded a 9% LIHTC allocation and will begin construction in the FY 2019. Rockview Phase 2 is the offsite component of the redevelopment of Westville Manor.

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

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

ECC/HANH has partnered with Michaels Development Company, a nationally known developer of affordable housing with a large portfolio, to redevelop the Rockview and Brookside public housing sites. Brookside, Rockview and the commercial space located at 122 Wilmot Road have all been demolished. During FY10, 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 blighted public housing developments and commercial building on the three sites with high-quality, well-designed residential and commercial units, provide upgraded affordable rental and homeownership opportunities to residents, improve essential services to residents and improve the quality of the surrounding neighborhood and integrate it more fully into the surrounding city.

In FY14, Initiative 1.13 – Creation of a Commercial Business Venture at 122 Wilmot Road – was combined with this initiative. The following paragraphs describe the additional activities formerly included in Initiative 1.13.

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

Inc., or an affiliate thereof, an opportunity to develop one or more cooperative ventures to facilitate economic growth and create wealth in the West Rock community.

During FY13, 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 FY14, ECC/HANH/Glendower continued outreach to the community for businesses that would be interested in being housed in the Crossings at Wilmot Road and started to explore the feasibility of a cooperative venture being housed in the facility. In FY15, ECC/HANH/Glendower closed on the redevelopment of Ribicoff Cottages and Ribicoff Cottages Extension.

Buildings			Redevelopment			
Site	Completed Construction	Lease up	TDC HCC Limits		PBV and Income	
122 Wilmot Rd (WestRock)	10/31/2013	12/31/2013	x		x	
Brookside Phase I (WestRock)	8/10/2012	7/23/2013	x		x	
Brookside Phase II (WestRock)	11/1/2012	2/1/2013	x		x	
Rockview Phase I (WestRock)	12/31/2013	2/28/2011	x		x	
Ribicoff Cottage 9%	12/1/2015	12/30/2015	x		x	
Ribicoff Cottages 4%	February 2015	April 2016	x		x	
Westville Manor	Under Design	N/A	x		x	

Impact Analysis

ECC/HANH successfully completed Brookside Phase 1, Brookside Phase 2, Rockview Phase 1, Brookside Homeownership, Ribicoff 4%, and Ribicoff 9% developments. All developments are now occupied. The Rockview Phase II development will be an off-site component of the Westville Manor redevelopment. ECC/HANH received a 9% Tax Credit Application and anticipates a financial closing the first quarter of 2019. This redevelopment effort will also include the redevelopment of the existing community center.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?

Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 units (frozen 2001 base)	Decrease of 5% from previous year	2018: 1705 units 2017: 1849 units 2016: 2310 units 2015: 2447 units 2014: 2447 units 2013: 2613 units	Yes

HC #6: Increase in Homeownership Opportunities

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households that purchased a home because of the Brookside Homeownership Program	Zero at program's inception	By the end of the program, HANH expects that 20 first-time homebuyers will be homeowners. The program has been in place for 2 years. By the end of FY13, HANH expected that 12 units would be built.	FY18: Homeownership units built: 0 Purchased: 0 FY17: Homeownership units built: 0 Purchased: 0 FY16: Homeownership units built: 0 Purchased: 0 FY14: Homeownership units built: 12 Purchased: 2 FY13: Homeownership units built: 10 Purchased: 5	Yes

Internal Metrics

Redevelopment Metrics				
Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those reflecting alternate TDCs)	10% increase. REAC scores would reach 88.	Wilmot: 2014: 93 Rockview I: 2017: 97 2015: 96 Brookside I: 2017: 95 2015: 92 Brookside II: 2017: 92 2015: 95	Yes
Internal Metric #3: Average work order				
Work orders per property	N/A	Brookside Phase I: 1,000 (10 work/year) Brookside Phase II: 1,000 QT1: 560 QT2: 580 QT3: 170 Eastview: 1,020	See “Number of Annual Work Orders” table below	Yes
Internal Metric #6: Utility expenses per unit*				
Reduction of utility expenses per unit, pre and post redevelopment – Electric	Valley Waverly: $900 per unit per month in 2012.	5% reduction. Electric utility expenses would reach approximately $858.33 per unit.	2017: Ribicoff 4%: $159.52 Ribicoff 9%: $183.81 Wilmot: $143.41	Yes

Internal Metric #6: Utility expenses per unit* (continued)				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Reduction of utility expenses per unit, pre and post redevelopment – Gas	Valley Waverly: $60.83 per unit per month in 2012.	5% reduction. Gas utility expenses would reach approximately $65.83 per unit.	2017: Ribicoff 4%: $13.28 Ribicoff 9%: $22.21 Wilmot: $9.88	Yes
Internal Metric #7: Crime rate				
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13 West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47	10% reduction in number of major crimes.	2017: 1 major crime in each of Ribicoff 4%, Ribicoff 9% and Wilmot	Yes
Internal Metric #8: Occupancy				
Occupancy	FY01: Brookside Phase I: 85% Brookside Phase II: 0% Quinnipiac I: 83% Quinnipiac II: 0% Quinnipiac III: 0% FY08: Rowe: 76%	95%	See "Point in Time Occupancy Rates" table below	Yes

** In 2012, ECC/HANH calculated utilities savings by comparing post-redevelopment average per-unit utility costs at Eastview Terrace and Quinnipiac Terrace to average per-unit utility cost at Valley Waverly, which is not a redeveloped building. ECC/HANH requested data from the public utility to update the later fiscal years but did not receive that information. Utility costs began being presented by per unit per month in FY17.*

Number of Annual Work Orders for LIPH Properties				
Development	**FY 18**	**FY 17**	**FY 16**	**Other Years**
Brookside Phase I	No data	No data	461	2013: 1,311
Brookside Phase II	No data	No data	472	
Brookside I, Brookside II & Rockview I		N/A	N/A	2014: 1,562
Charles T. McQueeney	769	1,008	1,312	N/A
Constance B Motley	197	609	573	N/A
Crawford	907	1461	No data	N/A
Eastview Terrace	951	1323	625	N/A
Essex Townhouses		220	190	N/A
Fairhaven Chatham	238	92	No data	N/A
Fairhaven Eastview	176	129	No data	N/A
Fairmont Heights	588	756	1024	N/A
Farnam Courts	298	607	1002	N/A
Katherine Harvey Terrace	111	172	132	N/A
Mathew Ruoppolo	440	535	607	N/A
McConaughy Terrace	1512	2981	1,612	N/A
Newhall Gardens	106	312	360	N/A
Prescott Bush	165	734	464	N/A
Quinnipiac I		2826	531	2013: 204
Quinnipiac II		2815	608	2013: 273
Quinnipiac III		1148	277	2013: 289
Quinnipiac Terrace I, II & III		N/A	N/A	2014: 1,351
Ribicoff 4% & 9%	1222	404	122	N/A
Robert T. Wolfe	336	978	465	N/A
Rockview		No data	48	N/A
Scattered Sites All	1348	1586	990	N/A
Valley/Waverly	775	1339	1,470	N/A
Westville	710	961	1,206	N/A
William T. Row		585	649	N/A
Wilmot	1346	338	175	N/A
Winslow Celentano	649	933	765	N/A

Point-in-Time Occupancy Rates				
Development Name	**2018**	**2017***	**2016**	**Other Years**
Brookside Phase I	92.00%	98.00%	100.00%	2013: 100%; 2014: 97%
Brookside Phase II	94.00%	100.00%	100.00%	2013: 100%; 2014: 98%
Rockview Phase 1 Rental	100.00%	96.67%	100.00%	N/A
Average Occupancy		**98.22%**	**100.00%**	**N/A**

Challenges and Changes

None.

RESIDENT-OWNED BUSINESS DEVELOPMENT PROGRAM

Implemented in FY11

Description of Activity

ECC/HANH continues to strive to strengthen Resident-Owned Business (ROB) Development program 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
- bookkeeping

Under this program, ECC/HANH serves residents that start their own businesses by providing technical assistance services. It is expected that ROBs will operate primarily in construction trades, as well as other areas. ECC/HANH support includes the following:

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

ECC/HANH continues to provide a revolving loan fund to which ROBs may apply for loans up to $25,000 by submitting a bona fide business plan and letter of intent for a pending contract award option.

The prerequisites for the loan program are:

1. Only ECC/HANH Resident-Owned Business Concerns may apply for the revolving loans
2. The business' principal must commit to enrolling in ECC/HANH's Family Self Sufficient Program ("FSS").

FSS is designed to work specifically with participants on basic personal financial capability skills through workshops on credit, banking basics, budgeting, saving, and insurance. Loan applications are reviewed by a ECC/HANH loan committee. Loan repayments are scheduled over a 12-month period. A total of $250,000 in MTW flexible funds is dedicated to the Revolving Loan Fund. ECC/HANH has invested $136,898 in loans to Resident Owned Businesses.

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

Impact Analysis

Through the ROB program, residents can receive one-on-one consultation and hands-on assistance with starting a business and begin to create jobs for the community, all while increasing their self-sufficiency. During FY18, the Resident Owned Business (ROB) program served 65 participants, all of whom received individual assessments and entrepreneurship consultation and/or training. To date, the ROB program has launched 27 successful businesses which have subsequently produced 12 jobs. The businesses range in interests and include childcare services, a temp agency, livery service, electrical services, plumbing, HVAC, and a food truck.

The ROB program has increased the economic well-being of residents who have successfully started and sustained their own businesses. Four residents have increased their earned income for FY18, which averaged $25,000, resulting in an increase of nearly 52% from FY15. As of the end of FY18, only one of the current ROBs has utilized a loan from ECC/HANH to assist with expansion of a livery business.

Although there are currently 25 participants actively receiving assistance, the referral process and program delivery model has been evaluated to maximize the number of residents who can take advantage of training opportunities available through the program. Resident Services Coordinators and FSS Coordinators are referring residents who show an interest in job creation, training and business development. In addition, the program is being presented to larger groups of residents at monthly family self-sufficiency meetings and larger community events to maximize resident access to resources that promote self-sufficiency.

Programmatic improvements include weekly open forum sessions where residents can hear about what they need to know before starting their own business, hear stories from other residents who have been successful in the program, learn how to write a business plan as well as many other business resources. Residents who are still interested after attending an open forum session are invited to a one-on-one assessment with a business professional to establish business goals. Additionally, to make the program available to all residents, the open forum sessions and programs will be held in the morning and evening to accommodate working residents.

Challenges and Changes

There are no challenges or changes in this FY.

Outcomes

HUD-Required Metrics

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average earned income of households or individuals affected by this policy in dollars	$38,785 (2014)	$24,850*	2018: $13,263 2017: $26,000 2016: $15,679 2015: $12,880	No
SS #5: Households Assisted by Services that Increase Self Sufficiency				
Number of households receiving consultation and/or technical assistance	7 (2012)	10	2018: 53 2017: 36 2016: 11 2015: 3 2014: 5 2013: 5	Yes
Number of households receiving training**	7 (2012)	10	2018: 25 2017: 16 2016: 8 2015: 3 2014: 5 2013: 5	Yes

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

Internal Metrics

Enrollment				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals or households participating in the program	0 (2010)	5	2018: 53 2017: 36 2016: 8 2015: 3 2014: 5 2013: 5 2012: 7 2011: 13	Yes
Loan Amounts of Dollars Transferred				
Dollar amount of loans provided by the program (incremental)	0 (2010)	$25,000	2018: $$12,000 2017: $22,000 2016: $7,382 2015: $0 2014: $0 2013: $74,423 2012: $0 2011: $33,093	No
Amount of Loans Outstanding				
Dollar value of loans outstanding (not to exceed)	$91,389 (2012)	$50,000	2018: TBD 2017: $16,400 2016: 6,700 2015: $7,382 2014: $10,541 2013: $29,959	Yes
Number of Loans				
Number of loans outstanding	5 (2012)	2	2018: 1 2017: 1 2016: 1 2015: 1 2014: 1 2013: 2	No
Amount Under Contract with HANH				
Amount under contract with HANH ($ revenue)	$2,250,000 (2012)	$2,925,000	2018: TBD 2017: $0 2016: $0 2015: $0 2014: $0 2013: $7,800,000	No

SEHOP CAPITAL IMPROVEMENT PROGRAM

Implemented in FY10

Description of Activity

This program supports new homeowners with necessary capital improvements that arise after being in the home for a minimum of three years. The program was created to increase the livability and value of recently purchased homes. In FY18, 27 homeowners were enrolled in SEHOP, all of whom had successfully closed on their homes. In FY18, 4 FSS participants purchased a home. The capital improvement allowance account was $183,032.92 and was accessed by four homeowners for a total of $14,122.48. There are 25 homeowners that have continued their own and no longer need the assistance. Overall, participants are purchasing homes with a higher value than the median across the city of New Haven. Participants' homes have a median home price of $172,302, while the median home value in the city of New Haven is estimated to be $168,400. These higher purchase values may indicate that less home improvement is needed, which may in turn explain why participants have not needed to access the SEHOP capital improvement allowance.

HUD-Required Metrics

HC #6: Increase in Homeownership Opportunities				
Unit of Measurement	Baseline	Benchmark**	Outcome	Benchmark Achieved?
Number of households that receive the capital improvement allowance to make capital improvements to their homes*	0 (2009)	TBD	2018: 27 participants; 4 households received disbursement 2017: 48 participants;1 household received disbursement 2016: 30 2015: 29 2014: 22 2013: 22 2012: 23 2011: n/a 2010: n/a	N/A

** Allowance comes from ECC/HANH's general fund.*
*** Benchmark will be reevaluated in FY19.*

Challenges and Changes

Although 27 households are receiving the allowance, only 4 households received a disbursement in FY18 for capital improvements. Following an evaluation of the program in FY18, it was recommended that the SEHOP program be removed as a MTW Initiative, with 27 eligible homeowners grandfathered into the benefit. The program is underutilized and is not directly related to the achievement of any resident self-sufficiency goal or outcome.

PRISON COMMUNITY REENTRY

Implemented in FY10.

Description of Activity

ECC/HANH serves individuals who have reentered society after completing a prison sentence by offering mentoring, training, and housing for program participants. ECC/HANH reentry program candidates are referred by the City of New Haven. ECC/HANH interviews candidates immediately following referral. Assessments focus on a candidate's needs, strengths and the challenges they will likely face during reentry. Upon acceptance to the program, participants sign a one-year lease, affording them housing while they work toward their reentry goals. Goals are identified in an individualized service plan. Participants who suffer from a mental health illness or substance abuse disorder must be compliant with treatment, employed, or enrolled in a training program. Throughout the program, reentry participants must also comply with probation or parole requirements. After a year, individual 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 completion of the first year may remain in the program as they continue to work toward their goals.

When the Reentry Program was initiated in June 2010, ECC/HANH 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 has been able to provide direct support and connect participants to existing services. ECC/HANH provides case management and job training programming to assist with gaining employment.

Through community partnerships, ECC/HANH has also been able to connect those reentering with:

- primary care services
- additional job readiness programs
- dental services
- mental health treatment
- peer recovery support services
- access to higher education through a partnership with the local Gateway Community College

Participants receive case management services that assist them in identifying needs and coordinating referrals and services, and ECC/HANH expects participants engage in community supportive services and job skills training. As with other housing residents, reentry participants are expected to lease compliant (i.e. pay rent on time) and not be a nuisance to other residents. The program's maximum capacity is 16 housing units.

- **Rationale:** The reentry population is a particularly fragile population that often returns to a community where they face challenges in finding housing and employment. Many reentry participants lack the skills necessary for employment or, if they have the skills, are not hired due to their criminal history. Participants may also require special assistance to break a cycle of behavior that places them at risk of returning to prison.
- **Expected impact**: The reentry program expects to enable participants to begin a journey toward self-sufficiency through remaining stably housed, gaining employment, and avoiding recidivism. This is hugely beneficial to the individual and his/her family, and to the community through gaining a productive member and reducing criminal behavior and prison-related expenses.

Impact Analysis

Currently, the Community Reentry Pilot Program provides housing opportunities through HCV and LIPH. During FY18, ECC/HANH assisted 38 participants. Of the 38 participants, four were employed during the year (two full-time and two part-time). Monthly meetings were held to discuss the current participants' progress in achieving identified goals. This program has provided prison reentry participants the ability to work one-on-one with a services coordinator. As a result, 100% of participants have been lease compliant and with no incidences of recidivism. Because of this program, participants have been able to gain job development skills, enroll in school, and begin to break the cycle of criminal behavior.

Outcomes

HUD-Required Metrics

SS #3: Increase in Positive Outcomes in Employment Status*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of new individuals employed	0 (2010)	50% would be employed	2018: 4/38 (11%) 2017: 2/3 (66%) 2016: 1/15 (.06%) 2015: 0/5 2014: 1/2 (50%) 2013: 0/2	No
Percentage of new individuals remained employed for more than six months	0 (2010)	50% will be employed for more than six months	2018: 12/38(32%) 2017: 2/3 (66%) 2016: 1/15 (.06%) 2015: 0/5 2014: 1/2 (50%) 2013: 0/2	No
SS #5: Households Assisted by Services that Increase Self Sufficiency				
Percentage of new individuals referred for services**	0 (2010)	All individuals will be enrolled in Family Support Service or FSS Program	2018: 38/38 (100%) 2017: 0/3 (0%) 2016: 0/15 (0%) 2015: 5/5 (100%) 2014: 2/2 (100%) 2013: 2/2 (100%)	Yes

SS #5: Households Assisted by Services that Increase Self Sufficiency (continued)				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of new individuals compliant with plan	0 (2010)	50% will be compliant with Service Plan***	2018: 38/38 (100%) 2017: 3/3 (100%) 2016:15/15 (100%) 2015: 5/5 (100%) 2014: 2/2 (100%) 2013: 1/2 (50%)	Yes
SS #8: Households Transitioned to Self Sufficiency******				
New participant graduation from the program	0 (2010)	50% will Graduate the program	2018: 8/8 (25%) 2017: 1/3 (33%) 2016: 12/15 (80%) 2015: 0/5 (0%) 2014: 1/2 (50%) 2013: 1/2 (50%)	No

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

Internal Metrics

Enrollment				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of new individuals leased in permanent housing	0 (2010)	100% of enrolled individuals	2018: 38 (100%) 2017: 3 (100%) 2016: 15 (100%) 2015: 5 (100%)	Yes
Recidivism				
Percentage of new individuals who experienced recidivism (returned to prison)	0 (2010)	50% would be re-incarcerated	2018 0/38 (0%) 2017: 0/3 (0%) 2016: 0/15 (0%) 2015: 0/5 (0%) 2014: 2/2 (100%) 2013: 1/2 (50%)	Yes

Challenges and Changes

There are no challenges for FY 2018.

RESIDENT SERVICES FOR ELDERLY/DISABLED

ECC/HANH implemented its Resident Services for Elderly/Disabled initiative in one of the buildings in 2003 and extended it to three additional sites in 2007. As of FY18, resident services have been expanded to all Elderly/Disabled Developments.

Description of Activity

Under this program, ECC/HANH serves individuals who are: elderly, suffering from a temporary or permanent disability, or suffering from mental health and/or substance abuse addiction. This fragile population requires special assistance, including mental health monitoring and treatment coordination. By preventing homelessness and allowing residents to continue to live independently, this program is expected to reduce expenses related to urgent health responses for residents and the local community.

Given this resident profile, service provision is geared at assisting residents to remain independently housed and lease compliant with a maximum quality of life. It is estimated that 25% of the Elderly/Disabled population requires only minimal staff support, while 75% of the population requires a range of services and staff support to remain independent. The overall goals of service delivery are to support a sense of community and companionship, decrease isolation, ensure access to welfare benefits for those living alone, provide general support with access to basic needs (food, medical care, transportation, housekeeping, supplemental income etc.), and make connections to medical and behavioral health services.

These resident goals are met through staff support and collaboration with area service providers. Staff support will continue to ensure the existence of a functioning Tenant Resident Council and Resident Advisory Board, access to Rental Rebate and other supplemental income programs, availability of classes offered on-site and at computer labs, and other services. Collaboration with community providers such as the CT Food Bank, Yale PRIDE, City of New Haven Senior Centers, Mary Wade, Easter Seals, Marrakech, area healthcare providers, and more will continue to provide enrichment, community building, and numerous social, recreational and health-related activities.

To achieve resident goals, ECC/HANH's Elderly Disabled program activities include the following elements:

- Assess and document residents' needs in an Action Plan.
- Provide participants with case management and resident service coordinator services. Case management and service coordination helps resident to identify needs, manage referrals and services, with the goal of compliance with treatment plans.
- Support participants to meet program goals, including lease compliance (i.e. paying rent on time) and not being a nuisance to other residents.

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

- **Rationale:** This is a particularly fragile population that includes elderly and or/disabled individuals who require special assistance, including mental health care monitoring and transportation to health care appointments.
- **Expected Impact**: Particularly with the expansion of this programming in FY18, ECC/HANH expects to reduce expenses related to urgent health responses for residents and the local community. By preventing homelessness for vulnerable populations and allowing residents to continue to live independently, this program is expected to reduce the costs associated with homeless services or long-term intensive care.

Impact Analysis

In FY18, the Elderly/Disabled Residents program enrolled 569 residents. As of FY18, all ECC/HANH elderly and disabled residents across all sites have access to the resident services as needed, which supports resident quality of life and the ability to maintain self-sufficiency. The assistance received continues to help residents to live independently in ECC/HANH communities, avoid eviction, and delay or prevent a move to a higher level of care. Outreach efforts have increased steadily in the past several years. In FY16 the outreach efforts increased to an average of 361 per month, while in FY17 the outreach efforts increased again to 455 per month. In FY18 the efforts continue to increase, and outreach efforts increased to 512 per month, totaling 6144 efforts over the course of the fiscal year. This increase in programming is attributed to the following:

- In FY18, ECC/HANH expanded the Elderly/Disabled services to all elderly and disabled families across all sites. As a result, program staff enrolled 569 residents. This is an increase of 141% from 2017, when there were 98 total participants. Of this group of 569 families, 47 (8%) residents are employed. Of the 47 employed residents, 10 residents are employed full time and 37 residents are employed part-time. This is an increase from FY17, when only 13 of the 98 participants were employed.
- With the growing program, ECC/HANH has hired two Resident Services Coordinators, as well as a Recreational Therapist (RT) and an Elderly/Disabled consultant to assist with the growing caseload.
- Upon hire, the recreational therapist conducted a survey to determine the needs and interests of the Elderly/Disabled population. As a result, the recreational therapist has coordinated an array of recreational programs that are now offered at three sites per day, which counts for a portion of outreach efforts throughout the year. On average, the RT has at minimum 60 outreach efforts per month throughout the ECC/HANH Elderly/Disabled developments.
- The Elderly/Disabled Consultant works intensively with the residents and brings in various educational programs, totaling about 12 to 15 outreach efforts per month.
- In addition, the Resident Services Coordinators (RSCs) have increased their outreach efforts by meeting with residents to conduct needs assessments, coordinating group meetings such as Tenant Resident Council and Resident Advisory Board, and supporting residents during the RAD conversions, during which Resident Services Coordinators assisted and facilitated the RAD moves. The Resident Service Coordinators also coordinate with community agencies to organize presentations on subjects such as financial literacy, budgeting, winter safety, etc.
- Because of the increase in service to residents, the RSCs increased outreach and completed a high number of action plans for the year. In 2017, the number of residents compliant with their action plans had been 98. In 2018, the number of residents who are compliant with their action plan has increased to 551.
- FY18 also saw a remarkable increase in employed residents, accounting for 8% of the group. This reflects achievement of a primary goal of the MTW program, self-sufficiency. Overall, more residents have maintained lease compliance and there has been an increase in community building, which is particularly notable given the elderly/disabled population. ECC/HANH continues to assist residents to remain independently housed and lease compliant.

Outcomes

HUD-Required Metrics

SS #3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Currently employed full-time and part-time	23 employed (2012)	22	2018: 47 employed 2017: 13 employed 2016: 11 employed 2015: 3 employed 2014: 6 employed 2013: 26 employed	Yes
SS #5: Households Assisted by Services that Increase Self Sufficiency				
Number of individuals enrolled	102 (2012)	100	2018: 569 2017: 98 2016: 96 2015: 92 2014: 98 2013: 105	Yes
Average number of outreach efforts conducted per month	62 (2013)	85	2018: 512 2017: 455 2016: 361 2015: 227 2014: 126	Yes

SS #5: Households Assisted by Services that Increase Self Sufficiency (continued)				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average number of group meetings held per month	128 (2013)	85	2018: 198 2017: 159 2016: 170 2015: 151 2014: 118	Yes
SS #8: Households Transitioned to Self Sufficiency				
Number of households transitioned to self-sufficiency*	0 (2012)	20	2018: 102 2017: 36 2016: 20 2015: 2 2014: 0 2013: 0	Yes

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

Internal Metrics

Compliant with Action Plan				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals compliant with Action Plan*	83 (2013)	80	2018: 551 (97%) 2017: 98 2016: 91 2015: 80 2014: 95	Yes
Non-compliant with Action Plan				
Number of individuals non-compliant with Action Plan	22 (2013)	< 25	2018: 18 (3%) 2017: 0 2016: 1 2015: 4 2014: 3	Yes

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

Challenges and Changes

None.

CREATION OF NEW INSTRUMENTALITY ENTITIES TO SUPPORT ECC/HANH GOALS AND STRATEGIC PLANNING ACTIVITIES

Approved and implemented in FY17

Description of Activity

ECC/HANH has initiated the planning and formation of new affiliate-instrumentality entities to support the Agency's short term and long-term plans to establish a new corporate structure, better align revenues, and provide more coordinated and effective services to residents. These new instrumentality entities will be vehicles for ECC/HANH to partner with financial institutions and other investors to continue to redevelop and modernize the ECC/HANH portfolio of properties and support the agency's 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:

- Property management and consultant services
- Development of mixed-use and mixed-income real estate projects
- Social services and program activities for ECC/HANH owned and non-owned developments

Through the establishment of new affiliate entities, ECC/HANH seeks to achieve the following:

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

Impact Analysis

The goal of this initiative is to reduce costs and achieve greater cost effectiveness while increasing family self-sufficiency and housing choice. ECC/HANH has formed an entity known as ECC/HANH's "Group 1 RAD," which has obtained 501 (c) (3) status. Closing on the Group 1 RAD development occurred on May 15, 2018 with 144 units. The ECC/HANH 2019 budget is reflective of cost efficiencies achieved RAD conversions and through the creation of the agency 3rd party property management affiliate, known as the "360 Management Group, Co." 360 Management received 501 (c) (3) status in March 2018.

With the closing of Group 1 RAD in May 2018, ECC/HANH expects to achieve 18% of the targeted leverage goal of $60M from proposed RAD Conversion activities. Approximately $12M in leverage funds committed for RAD Group 1 is a combination of equity generated from the sale of low income housing tax credits and bank financing.

The agency has not yet initiated planning for the creation of its social services entity. FY18 activities were focused on the implementation of the RAD Conversion activities and reductions in operating costs associated with unit conversion. It is expected that this type of initiative will result in cost savings, therefore the metrics have been revised to reflect as such. For FY 2018 metrics are reflective of the cost savings associated with the conversion of 144 unit from LIPH to RAD/PBV. Metrics also include ECC/HANH's Twinbrook site, also referred to as Ribicoff 4% & Ribicoff 9%. Baselines are reflective of the four sites associated with RAD group one; including Katherine Harvey Terrace, New Hall Gardens, Prescott Bush and Constance Baker Motley. No baseline data was available for Ribicoff prior to conversion, however, a cost savings is still recognized for FY 2018 for all sites including Ribicoff 4% & 9%.

Outcomes

HUD-Required Metrics

CE #1: Agency Cost Savings				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
*Savings related to Property Management Affiliate [**Total cost of task in dollars (decrease)]	2017: $800,732	N/A	2018: KH, PB, CBM, NHG $161,011.56 Ribicoff 4%: $235,307.3 Ribicoff 9%: 234,511.37	Yes: Total expense for all sites equals to: $630,830.23. this is a decrease in the 1st year of 27%
Total Operating Expenses. 2017 total operating expenses for RAD group I were approximately $1,845,476.	$1,845,476	10% reduction in operating expenses	2018: KH, PB, CBM, NHG: $286,117 Ribicoff 4%: $440,602 Ribicoff 9%: $453,602	Yes: Total operating costs for all sites including R4% & R9% total: $770,321. This is a percentage decrease of 140%

Internal Metrics

Number of Annual Work Orders				
Development	FY 18	FY 17	FY 16	Other Years
Constance B Motley	197	609	573	N/A
Katherine Harvey Terrace	111	172	132	N/A
Newhall Gardens	106	312	360	N/A
Prescott Bush	165	734	464	N/A
Ribicoff 4% & 9%	1222	N/A	N/A	N/A
Wilmot	1346	338	175	N/A

Number of Annual Work Orders				
Development	**FY 18**	**FY 17**	**FY 16**	**Other Years**

Challenges and Changes

There were no challenges or changes during FY 2018

CLOSED OUT ACTIVITIES THAT REQUIRE MTW FLEXIBILITY ONLY

CAP ON PROJECT-BASED UNITS IN A PROJECT

Implemented in FY10 and closed out in FY12

Outcomes

Internal Metrics

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

VI. ADMINISTRATIVE

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

ECC/HANH Does not currently have open Voluntary Compliance Agreements.

B. Results of Agency-Directed Evaluations of Demonstration.

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

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

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

In FY18, 96.59% of the families receiving ECC/HANH assistance are below 50% AMI at admission. Thus, ECC/HANH has met the requirement that 75% of families assisted be below 50% of AMI at admission. ECC/HANH has met this requirement every year since becoming an MTW organization.

New Admissions Only – FY07 through FY2018												
	FY07	FY08	FY09	FY10	FY11	FY12	FY13	FY14	FY15	FY16	FY17	FY18
Total number of newly admitted families assisted	344	329	344	425	433	447	238	402	560	676	947	673
Number of families with incomes below 50% AMI	332	310	322	387	394	410	229	372	522	606	872	650
Percentage of families with incomes below 50% AMI	96.5%	94.2%	93.6%	91.0%	90.9%	91.7%	96.2%	92.5%	93.2%	90.0%	92.1%	96.5%

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

ECC/HANH has served considerably more families since achieving MTW status, primarily through its modernization and redevelopment efforts made possible by MTW flexibility. During FY18, ECC/HANH served 28.02% more families than at baseline.

<table>
<tr><th colspan="3">Families Served in FY2018 Compared to Baseline</th></tr>
<tr><td colspan="2">Baseline number of families to be served (total number of families)</td><td>4827</td></tr>
<tr><td rowspan="2">Total number of families to be served this fiscal year</td><td>HCV: 4315</td><td rowspan="2">6180</td></tr>
<tr><td>LIPH: 1774</td></tr>
<tr><td colspan="2">Numerical difference above baseline</td><td>1353</td></tr>
<tr><td colspan="2">Percentage difference above baseline</td><td>28.02%</td></tr>
</table>

ECC/HANH (CT004)								
	FY01	FY02	FY03	FY04	FY05	FY06	FY07	FY08
Families Served through MTW Public Housing	1,970	2,086	1,895	1,737	1,640	1,553	1,531	2,359
Families Served through MTW Vouchers	2,857	2,889	2,997	3,176	3,454	3,312	3,106	3,030
Other Families Served through MTW	0	0	0	0	0	0	0	0
NUMERATOR – Total Families Served	**4,827**	**4,975**	**4,889**	**4,913**	**5,094**	**4,865**	**4,637**	**5,389**
Number of Families (Public Housing)	1,970	2,086	1,895	1,737	1,640	1,553	1,531	2,359
Incremental Increase to Baseline	0	116	0	0	0	0	0	389
Incremental Decrease to Baseline	0	0	75	233	330	417	439	0
Number of Families (Vouchers)	2,857	2,889	2,994	3,176	3,454	3,312	3,106	3,030
Incremental Increase to Baseline	0	32	140	319	597	455	249	173
Incremental Decrease to Baseline	0	0	0	0	0	0	0	0
TOTAL FAMILIES SERVED	**4,827**	**4,975**	**4,889**	**4,913**	**5,094**	**4,865**	**4,637**	**5,389**
% TOTAL	**100%**	**103%**	**101%**	**102%**	**106%**	**101%**	**96%**	**112%**

CC/HANH (CT004)								
	FY09	**FY10**	**FY11**	**FY12**	**FY13**	**FY14**	**FY15**	**FY16**
Families Served through MTW Public Housing	1,898	2,017	2,294	2,161	2,590	2,141	3,410	2,134
Families Served through MTW Vouchers	3,042	3,075	3,089	2,975	3,323	3,338	2,181	3,762
Other Families Served through MTW	0	0	0	0	0	0	0	0
NUMERATOR – Total Families Served	**4,940**	**5,092**	**5,383**	**5,136**	**5,913**	**5,479**	**5,591**	**5,896**
Number of Families (Public Housing)	1,898	2,017	2,294	2,161	2,590	2,141	2,181	2,134
Incremental Increase to Baseline	0	47	324	191	620	171	1,440	164
Incremental Decrease to Baseline	72	0	0	0	0	0	0	0
Number of Families (Vouchers)	3,042	3,075	3,089	2,975	3,323	3,338	3,410	3762
Incremental Increase to Baseline	185	218	232	118	466	481	0	905
Incremental Decrease to Baseline	0	0	0	0	0	0	676	0
TOTAL FAMILIES SERVED	**4,940**	**5,092**	**5,383**	**5,136**	**5,913**	**5,479**	**5,591**	**5,896**
% TOTAL	**102%**	**105%**	**111%**	**106%**	**122%**	**114%**	**116%**	**122%**

ECC/HANH (CT004)								
	FY17	**FY18**						
Families Served through MTW Public Housing	1,774	1,589						
Families Served through MTW Vouchers	4,315	4,591						
Other Families Served through MTW	0	0						
NUMERATOR – Total Families Served	**6,089**	**6,180**						
Number of Families (Public Housing)	1,774	1,898						
Incremental Increase to Baseline	0	0						
Incremental Decrease to Baseline	196	124						
Number of Families (Vouchers)	4,315	4,591						
Incremental Increase to Baseline	1,458	0						
Incremental Decrease to Baseline	0	276						
TOTAL FAMILIES SERVED	**6,089**	**6,180**						
% TOTAL	**126%**	**128%**						

Incremental Increases/Decreases to Baseline			
Reason for Change	Program	Year of Change	Change Amount
Voucher Baseline - HANH gives "Section 8 Participant Demographics" on page 184 of their FY2002 Annual MTW Report. This number is given as of the beginning of FY2002 (which would be October of 2001). This is very close to when HANH signed their MTW Agreement. Best number available.	HCV	FY2001	2,857
Public Housing Baseline - HANH gives public housing households served as 1,146 (families) and 824 (elderly) at the beginning of FY2002 (which would be October of 2001). This is very close to when HANH signed their MTW Agreement. Best number found.	PH	FY2001	1,970
Public Housing - 154 actual units demo/dispo in 2002. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2002	-154
Public Housing - 36 HOPE VI public housing units added in 2002. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY2002	36
Vouchers - 77 Enhanced Vouchers became part of MTW program on 8/1/02.	HCV	FY2002	77
Public Housing - 277 actual units demo/dispo in 2004. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2004	-277
Vouchers - Housing Conversion for Ethan Gardens (28 in 01/05). Housing Conversion for Eastview Terrace (30 in 05/05).	HCV	FY2005	58
Public Housing - 143 actual units demo/dispo in 2005. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2005	-143
Vouchers - Housing Conversion for Canterbury Gardens (34 in 12/05).	HCV	FY2006	34
Public Housing - 58 HOPE VI public housing units added in 2006. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY2006	58
Public Housing - 153 actual units demo/dispo in 2007. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2007	-153
Public Housing - 28 HOPE VI public housing units added in 2007. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY2007	28
Public Housing - 90 actual units demo/dispo in 2008. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2008	-90
Public Housing - 28 HOPE VI public housing units added in 2008. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY2008	28

Public Housing - 53 new units brought online at Eastview Terrace.	PH	FY2009	53
Public Housing - 295 actual units demo/dispo in 2009. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2009	-295
Vouchers - Housing Conversion for 77-79 Orchard Street Apartments (6 in 08/10).	HCV	FY2010	6
Vouchers - William T. Rowe Apartments (9 in 7/11).	HCV	FY2011	9
Public Housing - ADJUSTMENT - Demo/dispo report for FY2010 was updated to show one actual unit demolished.	PH	FY2011	-1
Public Housing - 50 new units brought online at Brookside Phase I.	PH	FY2012	50
Public Housing - 34 new units brought online at The Wilmont Crossing at West Rock and 50 new units at Brookside Phase II.	PH	FY2013	84
Public Housing - Pulled from Demo/Dispo Report on PIC data page, pulled on 5.2.17	PH	FY2014	-193
Public Housing - 30 units brought online at Rockview Phase 1 Rental (11/30/13 Actual DOFA Date)	PH	FY2014	30
Public Housing - Pulled from Demo/Dispo Report on PIC data page, pulled on 5.2.17	PH	FY2015	-120
Vouchers - 95 PH units converted to RAD PBV (44 units at Ribicoff Cottages 9%, 51 units at Ribicoff Cottages 4%).	HCV	FY2015	95
Public Housing - Pulled from Demo/Dispo Report on PIC data page, pulled on 5.2.17	PH	FY2016	-55
Vouchers - Termination Opt Out (198 units in 4/16, 15 units in 6/16, 53 units in 8/16)	HCV	FY2016	266
Vouchers - 55 units converted to RAD PBV at Farnam - Fair Haven 9%	HCV	FY2016	55
Vouchers - PH Conv to PBV (86 units at Farnam 4%, 42 units at Monterey 4, 28 units at Monterey Place Phase 2R, 210 units at Monterey 1B)	HCV	FY2017	367
Public Housing - Pulled from Demo/Dispo Report on PIC data page, pulled on 8.31.18	PH	FY2017	-582
Vouchers	HCV	FY2018	276
Public Housing	PH	FY2018	124

Data Source for Number of Families Served				
2001 - Vouchers - Pulled from page 184 of HANH's FY 2002 Annual MTW Report.	FY01	2,857	Baseline 4827 total Families Served	
September 2001 - Public Housing - Pulled from last page of HANH's FY 2002 Annual MTW Report.	FY01	1,970		
FY 2002 - Vouchers - Pulled from HANH FY09 Annual MTW Report (page 22).	FY02	2,889	101.12%	
FY 2002 - Public Housing - Pulled from HANH FY09 Annual MTW Report (page 22).	FY02	2,086	105.89%	1.030660866
FY 2003 - Vouchers - Pulled from September 2003 VMS Report that includes 2,946 MTW and 48 All Other.	FY03	2,994	104.80%	1.012844417

Data Source Families Served (continued)				
FY 2003 - Public Housing - Pulled from HANH FY09 Annual MTW Report (page 22).	FY03	1,895	96.19%	
FY 2004 - Vouchers - Pulled from September 2004 VMS Report that includes 3,176 MTW.	FY04	3,176	111.17%	
FY 2004 - Public Housing - Pulled from HANH FY09 Annual MTW Report (page 22).	FY04	1,737	88.17%	1.017816449
FY 2005 - Vouchers - Pulled from September 2005 VMS Report that includes 3,333 MTW and 121 HOPE VI.	FY05	3,454	120.90%	
FY 2005 - Public Housing - Pulled from HANH FY09 Annual MTW Report (page 22).	FY05	1,640	83.25%	1.05531386
FY 2006 - Vouchers - Pulled from September 2006 VMS Report that includes 3,306 MTW, 1 All Other and 5 Tenant Protection.	FY06	3,312	115.93%	
FY 2006 - Public Housing - Pulled from HANH FY09 Annual MTW Report (page 22).	FY06	1,553	78.83%	1.007872385
FY 2007 - Vouchers - Pulled from September 2007 VMS Report that includes 3,106 MTW.	FY07	3,106	108.72%	
FY 2007 - Public Housing - Pulled from HANH FY09 Annual MTW Report (page 22).	FY07	1,531	77.72%	0.960638077

Data Source Families Served (continued)				
FY08 - Vouchers - Pulled from September 2008 VMS Report that includes 3,030 MTW.	FY08	3,030	106.06%	
FY08 - Public Housing - Pulled from HANH FY09 Annual MTW Report (page 22).	FY08	2,356	119.59%	1.115806919
FY09 - Vouchers - Pulled from September 2009 VMS Report that includes 3,042 MTW.	FY09	3,042	106.48%	
FY09 - Public Housing - Pulled from HANH FY09 Annual MTW Report (page 22).	FY09	1,898	96.35%	1.023409985
FY10 - Vouchers - Pulled from September 2010 VMS Report that includes 19 Homeownership, 2,873 MTW, 168 Ports and 15 Tenant Protection.	FY10	3,075	107.63%	
FY10 - Public Housing - Pulled from HANH FY10 Annual MTW Report (page 11).	FY10	2,017	102.39%	1.054899524
FY11 - Vouchers - Unit month average pulled from VMS (see third tab).	FY11	3,089	108.12%	
FY11 - Public Housing - Pulled from Development Detail Report for September 27, 2011. Includes 178 units approved for demo/dispo. This is out of 2,542 (occupancy rate of 90%).	FY11	2,294	116.45%	1.115599751

Data Source Families Served (continued)				
FY12 - Vouchers - Pulled from HANH's FY12 Annual MTW Plan. (Page 8)	FY12	5,119	179.17%	
FY12 - Public Housing - Pulled HANH's FY12 Annual MTW Plan. (Page 8)	FY12	2,094	106.29%	1.49430288
FY13 - Vouchers - Pulled from HANH's FY13 Annual MTW Plan. (Page 8)	FY13	3,025	105.88%	
FY13 - Public Housing - Pulled HANH's FY13 Annual MTW Plan. (Page 8)	FY13	2,094	106.29%	1.06049306
FY14 - Public Housing - Pulled from Elite dated November 5, 2014.	FY14	2,141	108.68%	
FY14 - Vouchers - Pulled from Elite dated November 5, 2014.	FY14	3,338	116.84%	1.135073545
FY15 - Public Housing- Pulled from Elite dated November 24, 2015.	FY15	3,410	173.10%	
FY15 - Vouchers- Pulled from Elite dated November 24, 2015.	FY15	2,181	76.34%	1.158276362
FY16 - Public Housing- Pulled from Elite dated October 28, 2016.	FY16	2,134	108.32%	
FY16 - Vouchers- Pulled from Elite dated October 28, 2016.	FY16	3,762	131.68%	1.221462606
FY17 - Public Housing- Pulled from Elite dated September 30, 2017.	FY17	1,774	90.05%	
FY17 - Vouchers- Pulled from Elite dated September 30, 2017.	FY17	4,315	151.03%	1.261446033
FY17 - Public Housing- Pulled from Elite dated September 30, 2018.	FY18	1,589	76.17%	
FY17 - Vouchers- Pulled from Elite dated September 30, 2018.	FY18	4,591	158.91%	1.280298322

1. Baseline for the Mix of Family Sizes to Be Served

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

Baseline Family Sizes Served by ECC/HANH							
Baseline	1 person	2 people	3 people	4 people	5 people	6+ people	Total
Ratio of family sizes to be maintained	32%	24%	20%	13%	6%	5%	100%
Number of families served by family size	2429	1390	1119	638	313	200	6089
Ratio of families served by family size	40%	23%	18%	11%	5%	3%	100%
Percentage Difference	8%	-1%	-2%	-2%	-1%	-2%	0

Housing Authority of the City of New Haven

Resolution Number 12-140/18-R

APPROVING THE SUBMISSION OF ECC/HANH'S MTW REPORT FOR FY 2018

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

WHEREAS, ECC/HANH has signed an MTW Agreement with HUD regarding the operation of ECC/HANH's MTW program; and

WHEREAS, a requirement of the MTW Deregulation Demonstration program is for ECC/HANH to submit an MTW Annual Report to HUD within 90 days of the end of the fiscal year;

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF COMMISSIONERS OF THE HOUSING AUTHORITY OF THE CITY OF NEW HAVEN that the Board Authorizes the Executive Director to take such actions and execute such documents as necessary to finalize and submit to the U.S. Department of Housing and Urban Development ECC/HANH's MTW Annual Report for Fiscal Year 2018, including all required certifications, documentation, and HUD forms, of which this Board Resolution is a part.

I hereby certify that the above resolution was adopted by a majority of the Commissioners present at a meeting duly called at which a quorum was present, on December 18, 2018.

Karen DuBois-Walton, Ph. D.
President

12.18.18
Date

REVIEWED:
BERCHEM MOSES PC
GENERAL COUNSEL

By:
Rolan Joni Young Esq.
A Senior Partner

To: Board of Commissioners

From: Karen DuBois-Walton, Ph.D., President

Date: December 18, 2018

RE: Approval of MTW Annual Report for FY 2018

ACTION:	Recommend that the Board of Commissioners adopt Resolution Number 12-140/18-R
TIMING:	Immediately.
DISCUSSION:	As a Moving to Work (MTW Agency, in lieu of the five year and annual plans required of other agencies, ECC/HANH is required to submit to HUD an annual MTW Plan and an Annual MTW Report. The MTW Annual Report is prepared at the end of each fiscal year. It reports ECC/HANH's progress and challenges in achieving the objectives established in the Annual Plan for the year. The MTW Annual Report must be submitted to HUD within 90 days after the end of the fiscal year Attached is a copy of ECC/HANH's proposed MTW Annual Report for Fiscal Year 2018. This resolution requests the Board's authorization for the Executive Director to submit to the U.S. Department of Housing and Urban Development (HUD) the MTW Annual Report for FY 2018, and all required and related certifications, documents and HUD forms.
STAFF:	Leasley Negron, Director, Moving to Work Initiatives

CERTIFICATIONS OF COMPLIANCE

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
OFFICE OF PUBLIC AND INDIAN HOUSING

Certifications of Compliance with Regulations:
Board Resolution to Accompany the Annual Moving to Work Plan

Acting on behalf of the Board of Commissioners of the Moving to Work Public Housing Agency (MTW PHA) listed below, as its Chairman or other authorized MTW PHA official if there is no Board of Commissioners, I approve the submission of the Annual Moving to Work Plan for the MTW PHA Plan Year beginning **10/01/2018**, hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

(1) The MTW PHA published a notice that a hearing would be held, that the Plan and all information relevant to the public hearing was available for public inspection for at least 30 days, that there were no less than 15 days between the public hearing and the approval of the Plan by the Board of Commissioners, and that the MTW PHA conducted a public hearing to discuss the Plan and invited public comment.

(2) The MTW PHA took into consideration public and resident comments (including those of its Resident Advisory Board or Boards) before approval of the Plan by the Board of Commissioners or Board of Directors in order to incorporate any public comments into the Annual MTW Plan.

(3) The MTW PHA certifies that the Board of Directors has reviewed and approved the budget for the Capital Fund Program grants contained in the Capital Fund Program Annual Statement/Performance and Evaluation Report, form HUD-50075.1 (or successor form as required by HUD).

(4) The MTW PHA will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.

(5) The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.

(6) The Plan contains a certification by the appropriate state or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the MTW PHA's jurisdiction and a description of the manner in which the Plan is consistent with the applicable Consolidated Plan.

(7) The MTW PHA will affirmatively further fair housing by fulfilling the requirements at 24 CFR 903.7(o) and 24 CFR 903.15(d), which means that it will take meaningful actions to further the goals identified in the Assessment of Fair Housing (AFH) conducted in accordance with the requirements of 24 CFR 5.150 through 5.180, that it will take no action that is materially inconsistent with its obligation to affirmatively further fair housing, and that it will address fair housing issues and contributing factors in its programs, in accordance with 24 CFR 903.7(o)(3). Until such time as the MTW PHA is required to submit an AFH, and that AFH has been accepted by HUD, the MTW PHA will address impediments to fair housing choice identified in the Analysis of Impediments to fair housing choice associated with any applicable Consolidated or Annual Action Plan under 24 CFR Part 91.

(8) The MTW PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.

(9) In accordance with 24 CFR 5.105(a)(2), HUD's Equal Access Rule, the MTW PHA will not make a determination of eligibility for housing based on sexual orientation, gender identify, or marital status and will make no inquiries concerning the gender identification or sexual orientation of an applicant for or occupant of HUD-assisted housing.

(10) The MTW PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.

(11) The MTW PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.

(12) The MTW PHA will comply with requirements with regard to a drug free workplace required by 24 CFR Part 24, Subpart F.

(13) The MTW PHA will comply with requirements with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Amendment and implementing regulations at 49 CFR Part 24.

(14) The MTW PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.

(15) The MTW PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).

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

(17) With respect to public housing and applicable local, non-traditional development the MTW PHA will comply with Davis-Bacon or HUD determined wage rate requirements under section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.

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

(19) The MTW PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.

(20) The MTW PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR Part 200.

(21) The MTW PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the Moving to Work Agreement and Statement of Authorizations and included in its Plan.

(22) All attachments to the Plan have been and will continue to be available at all times and all locations that the Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the MTW PHA in its Plan and will continue to be made available at least at the primary business office of the MTW PHA.

Elm City Communities, Housing Authority New Haven	CT004
MTW PHA NAME	***MTW PHA NUMBER/HA CODE***

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

Erik Clemons	Chairman
NAME OF AUTHORIZED OFFICIAL	***TITLE***
	12/18/2018
SIGNATURE	***DATE***

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

Appendix 1: Documentation of Public Hearing and Public Comment Period

Housing Authority of the City of New Haven/Elm City Communities
PUBLIC HEARING: MOVING TO WORK 2018 ANNUAL REPORT

Thursday, November 29, 2018 @ 4:00 P.M.
360 Orange Street, New Haven, CT 06511

Those present included:

Leasley Negrón, ECC
Maza Rey, ECC
Latoya McCrea, ECC
Tim Albaitis, ECC
Nayara Colon, ECC
Catherine Hawthorne, ECC

Leasley Negrón called the public hearing to order at 4:02 p.m.

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

> Section VII (A) (f)(ii) of the Authority's Moving to Work Agreement requires that before the Agency can file its Approved Annual Moving to Work Report to the U.S. Department of Housing and Urban Development (HUD), it must conduct a public hearing, consider comments from the hearing on the proposed amendments, and obtain approval from the Board of Commissioners.
>
> Pursuant to said Section, a public hearing is being held to receive comments and recommendations on **Thursday, November 29, 2018 at 4:00 PM, at the 3rd floor Board of Commissioners Conference Room at 360 Orange Street, New Haven, CT 06511**. A copy of the report will be made available for review starting Monday**, October 29, 2018** on the Authority's website at www.elmcitycommunities.com and at the front desk in the main lobby area at 360 Orange Street.
>
> The public is invited to provide written comments addressed to ECC/HANH MTW 2018 Report, Attn: Maza Rey, P.O. Box 1912, New Haven, CT 06509-1912. Any individuals requiring a reasonable accommodation to participate in the hearing should call Teena Bordeaux, Reasonable Accommodations Coordinator for ECC/ HANH at 498-8800 extension 1507 or at the TDD Number 497-8434.

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

Public Comments:

There were no attendees from the public and there were no public comments.

Adjournment:

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

Appendix 2: Alternative TDC and HCC Limits

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

HUD HCC 2013							
	0	1	2	3	4	5	6
Detached	$ 96,195	$ 122,916	$ 144,239	$ 170,801	$ 200,549	$ 219,593	$ 237,542
Row House	$ 78,165	$ 102,750	$ 121,542	$ 148,120	$ 176,091	$ 194,147	$ 211,074
Walk Up	$ 71,663	$ 97,219	$ 123,709	$ 161,949	$ 201,180	$ 226,579	$ 251,643
Elevator	$ 81,545	$ 114,163	$ 146,781	$ 195,708	$ 244,635	$ 277,253	$ 309,871

HUD HCC FACTORS							
	0	1	2	3	4	5	6
Detached	-33.31%	-14.78%	16.60%	18.42%	39.04%	52.24%	64.69%
Row House	-35.69%	-15.46%	-1.75%	21.87%	44.88%	59.74%	73.66%
Walk Up	-42.07%	-21.41%	0.00%	30.91%	62.62%	83.16%	103.42%
Elevator	-44.44%	-22.22%	0%	33.33%	66.67%	88.89%	111.11%

HANH/ELM CITY COMMUNITIES HCC 2013							
	0	1	2	3	4	5	6
Detached	$ 145,318	$ 185,685	$ 217,896	$ 258,023	$ 302,962	$ 331,731	$ 358,846
Row House	$ 118,081	$ 155,221	$ 183,609	$ 223,759	$ 266,014	$ 293,290	$ 318,861
Walk Up	$ 108,259	$ 146,866	$ 186,882	$ 244,651	$ 303,915	$ 342,285	$ 380,149
Elevator	$ 109,828	$ 153,759	$ 197,690	$ 263,587	$ 329,483	$ 373,414	$ 417,346

HUD TDC 2013							
	0	1	2	3	4	5	6
Detached	$ 168,342	$ 215,103	$ 252,419	$ 298,901	$ 350,961	$ 384,288	$ 415,699
Row House	$ 136,788	$ 179,813	$ 212,699	$ 259,210	$ 308,159	$ 339,757	$ 369,380
Walk Up	$ 125,410	$ 170,134	$ 216,490	$ 283,411	$ 352,064	$ 396,513	$ 440,376
Elevator	$ 130,472	$ 182,661	$ 234,850	$ 313,133	$ 391,416	$ 443,605	$ 495,794

HANH/ELM CITY COMMUNITIES TDC 2013							
	0	1	2	3	4	5	6
Detached	$228,357	$291,790	$342,408	$405,464	$476,083	$521,291	$563,900

Row House	$185,556	$243,918	$288,528	$351,622	$418,022	$460,885	$501,068
Walk Up	$170,121	$230,789	$293,673	$384,452	$477,581	$537,877	$597,377
Elevator	$178,470	$249,858	$321,246	$428,328	$535,410	$606,798	$678,186

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

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

Appendix 3: Local Asset Based Management

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

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

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

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

Cost of legal services will be on a 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 work 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 prorated based upon the number of ACC units or percentage of time charged to a project.

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

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

Appendix 4: ECC/HANH MTW Evaluation

Executive Summary
A 2015 evaluation of ECC/HANH's MTW program found the following:

- MTW has been used extensively by HANH to assist in redeveloping many of its properties. Various MTW flexibilities related to fungibility, income limits, project-based vouchers, and development and construction cost limits have been used to help redevelop over 800 affordable units. Through these projects HANH was also able to earn nearly $5 million in developer fees.

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

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

The evaluation provided the following recommendations:

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

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

Enterprise Community Partners found the following:

ECC/HANH continues to support housing choice for their residents by redeveloping and repositioning aging low-income public housing developments, replacing demolished units with a variety of affordable housing types, increasing participation in the RAD program, renovating offline units, upgrading units, and making accessibility improvements. These efforts could produce positive ripple effects throughout the city of New Haven, especially near the West Rock Neighborhood where ECC/HANH is working to redevelop all public housing properties. Positive community impacts are being reported at the two ECC/HANH properties for which crime data was analyzed, both of which have had reductions in the number of major crimes. ECC/HANH's efforts to provide housing choice for vulnerable populations continues to increase, as the HCV Preference and Set-Aside for Victims of Foreclosure has increased by 15 participants and Tenant-Based Vouchers for Supportive Housing for the Homeless has increased by 35 participants since inception.

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

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

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

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

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

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

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

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

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

Appendix 5: Procedures for Rent Simplification for the Public Housing Program

Public Housing Program Rent Simplification

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

Rent Simplification: Equity & Efficiency

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

Everyone Should Contribute

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

Fiscal Equity for ECC/HANH/ELM CITY COMMUNITIES

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

Approvable Method

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

Measurable Reduction in Administrative Time

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

Transition to Avoid Hardships

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

Asset Exclusion

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

Earned Income Disallowance

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

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

Family Self Sufficiency (FSS) Income Exclusion

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

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

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

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

Other Exclusions

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

Annualized Income Calculation

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

Annual Reexaminations

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

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

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

Deductions for Exceptional Expenses

Excess resources are dedicated to verifying deductions for child care, medical and disability allowances. Third party verifications of these amounts are difficult to accomplish, and the agency often relies upon second and first party verifications of these deductions. Obtaining verification data also places an undue burden on the resident. To simplify this process, ECC/HANH/ELM CITY COMMUNITIES will eliminate standard deductions for these amounts for elderly, disabled and non-elderly households.

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

The amount of expense is set in $2,000.00 tiers. This allows ECC/HANH/ELM CITY COMMUNITIES to move away from verifying every dollar. Tenants are not required to provide documentation of every dollar of expense. Rather, tenants need only provide documentation sufficient to meet the appropriate tier. The amount of monthly rent reduction is established at the mid-range of the tier. Households with exceptional expenses will receive a direct reduction of the monthly rent. However, no tenant will have rent reduced below a rent of $50.00 as a result.

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

Changes in Family Composition

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

Mandatory Interim Reexaminations Policy

Residents must request an interim reexamination if any of the following conditions occur:

- Change in family composition affects the voucher size or bedroom size.
- The addition of a family member 18 years of age or older.
- Change in family composition causes the family to move from one income tier to another with a higher rent schedule.
- Addition of a live-in aid.
- Income increase following an interim rent reduction.
- Subsequent change following an exceptional deduction granted by HANH.

Optional Interim Reexaminations Policy

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

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

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

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

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

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

Verification of Annual Income from Wages and Salaries and Assets

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

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

Income Tiered Rents Calculated within $1,000 Bands

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

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

Rent will be set at 28.5 percent of income for income tiers of $1000.00 starting at $2,500.00. The rent will be calculated at the lower end of each tier. For example, for the $2,500.00 to $3,499.00 tier, the rent will be calculated at 28.50 percent of $2,500.00. Families with incomes below $2,500.00 will be charged the minimum rent. Families will be permitted to apply for a hardship if verifiable proof is if household total expenses exceed $2,000.00.

Minimum Rents and Flat Rents

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

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

Zero Income Households

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

All families placed on minimum rent, except for elderly and disabled families, will be referred to the Family Self Sufficiency Program.

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long-term hardship exemption from the minimum rent requirements. All families placed on minimum rent must be informed in writing of the procedures for applying for a hardship exemption from the Minimum Rent Requirement and the ability to have minimum rent waived. All families who apply for such hardship exemption, except for elderly persons and persons with disabilities, will be referred to the Family Self Sufficiency Program to assist the family in moving towards self-sufficiency.

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

Criteria for Hardship Exemption from Minimum Rent Requirement

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

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

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long-term hardship exemption from the minimum rent requirement. A temporary hardship exemption exists when none of the above criteria is expected to last for more than 90 days. A long-term hardship exemption exists when at least one of the above criteria is expected to last for more than 90 days.

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

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

Hardship Review Committee

All "Applications for Exemption from Minimum Rent" shall be forwarded to the Hardship Review Committee. The Hardship Review Committee shall consist of the Executive Director or his/her designee, the Chief Operations Officer or his/her designee, the Service Center Director or his/her designee, and the Assistant Executive Director of Community and Economic Development or his/her designee. At the family's request, the Hardship Review Committee may include one (1) resident of ECC/HANH/ELM CITY COMMUNITIES who is in good standing.

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

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

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

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

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

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

- If the Committee determines that ***the hardship is of a temporary nature (the hardship is expected to last less than 90 days)***, at the end of the 90-day period, the resident's rent will be reinstated to the minimum rent retroactively to the initial date of suspension. The resident will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH/ELM CITY COMMUNITIES for any back rent that is due and owed to ECC/HANH/ELM CITY COMMUNITIES.
- If the Committee determines that the ***hardship is of a long-term nature (the hardship is expected to last more than 90 days),*** the tenant shall be exempt from the minimum rent requirement from the first of the month following the date of the application for exemption from the minimum rent until such time that the hardship no longer exists.
  - ECC/HANH/ELM CITY COMMUNITIES may deny a resident a long-term exemption from the minimum rent requirement, if the resident fails to attend the scheduled meeting with the Hardship Review Committee. ECC/HANH/ELM CITY COMMUNITIES will provide each resident one opportunity to reschedule the meeting. If the resident fails to attend the scheduled meetings, ECC/HANH/ELM CITY COMMUNITIES may deny the long-term exemption from the minimum rent requirement. The letter scheduling the meeting shall inform residents that persons with disabilities are entitled to reasonable accommodation about this requirement.
  - Except for Elderly or Disabled families, no tenant shall be exempt from the minimum rent requirement for more than 90 days during a one-year period unless at least one member of the family who is 18 years of age or older enrolls and actively participates in ECC/HANH/ELM CITY COMMUNITIES's FSS Program for job or benefit counseling. Such family member(s) shall enroll in the FSS Program within 30 days from the date of the Application for Exemption from Minimum Rent.
- If the ***hardship is determined to be non-existent,*** the resident will be responsible for paying rent to ECC/HANH/ELM CITY COMMUNITIES for any rent that was suspended while the tenant's Application for Exemption from Minimum Rent was pending. The minimum rent shall be re-instated retroactively to the initial date of the suspension. The resident will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH/ELM CITY COMMUNITIES for any back rent that is due and owed to ECC/HANH/ELM CITY COMMUNITIES.

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

- **If the hardship exemption is determined to be temporary:**
    - That a temporary hardship exemption was granted;
    - The effective dates of the exemption;
    - The basis for the decision to grant a temporary hardship exemption, including that a long-term exemption was denied and the reason that such long-term exemption was denied; and
    - That the resident has a right to enter into a reasonable repayment agreement with ECC/HANH/ELM CITY COMMUNITIES for the minimum rent that was suspended and is now owing to ECC/HANH/ELM CITY COMMUNITIES.
- **If the hardship exemption is determined to be long-term:**
    - That a long-term hardship exemption was granted;
    - Whether the long-term exemption is permanent or subject to periodic review and, if subject to periodic review, when such review will take place;
    - That all non-elderly, non-disabled residents are required to comply with FSS requirements as a condition of the receipt of a long-term exemption; and
    - That the resident must notify ECC/HANH/ELM CITY COMMUNITIES within 10 days if the hardship ceases to exist because the resident has obtained a source of income sufficient to pay (at least) the minimum rent.
- **If the hardship is determined to be non-existent:**
    - That a hardship exemption was denied;
    - The reason for such determination; and
    - The terms and conditions on which the resident family must pay back the minimum rent that was suspended and is now owing to ECC/HANH/ELM CITY COMMUNITIES.
    - All letters concerning Hardship Review Committee determinations shall state that any resident who disagrees with the decision may request a grievance in accordance with ECC/HANH/ELM CITY COMMUNITIES's grievance procedures, a copy of which will be included with the written decision. In cases where a grievance is sought, no action shall be taken by ECC/HANH/ELM CITY COMMUNITIES until the grievance process is completed.

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

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

income drop within ninety (90) days of a scheduled certification do not have access to the Hardship Review Committee.

Rent Simplification Implementation - Public Housing

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

A staggered approach is used to integrate the two year and three-year reexamination cycles.

- Initially in fiscal year 2008, all families will be re-examined during the first year.
- In the second year of the program (2009), two thirds of the elderly/disabled families will be re-examined and one half of the non-elderly/non-disabled families.
- In the third year of the program (2010), one third on the elderly/disabled families will be re-examined and one-half of the remaining non-elderly/non-disabled families.

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

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

Hardship Waiver Policy and Guidelines

Families with Annual Income below $2,500 annually shall pay the minimum rent of $50.00 per month. All families placed on minimum rent, except for elderly and disabled families, will be referred to the Family Self Sufficiency Program.

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

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

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

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

1. Criteria for Hardship Exemption from Minimum Rent Requirement

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

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

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

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

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

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

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

2. Initiation of Hardship Exemption Review

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

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

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

3. Notification of the Right to a Hardship Exemption

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

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

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

4. Hardship Review Committee

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

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

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

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

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

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

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

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

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

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

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

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

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

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

- **If the hardship exemption is determined to be temporary:**
    - That a temporary hardship exemption was granted;
    - the effective dates of the exemption;
    - the basis for the decision to grant a temporary hardship exemption, including that a long-term exemption was denied and the reason that such long-term exemption was denied; and
    - that the resident has a right to enter into a reasonable repayment agreement with ECC/HANH/ELM CITY COMMUNITIES for the minimum rent that was suspended and is now owing to ECC/HANH/ELM CITY COMMUNITIES.
- **If the hardship exemption is determined to be long-term:**
    - that a long-term hardship exemption was granted;
    - whether the long-term exemption is permanent or subject to periodic review and, if subject to periodic review, when such review will take place;
    - that all non-elderly, non-disabled residents are required to comply with FSS requirements as a condition of the receipt of a long-term exemption; and
    - that the resident must notify ECC/HANH/ELM CITY COMMUNITIES within 10 days if the hardship ceases to exist because the resident has obtained a source of income sufficient to pay (at least) the minimum rent.
- **If the hardship is determined to be non-existent:**
    - that a hardship exemption was denied;
    - the reason for such determination; and
    - the terms and conditions on which the resident family must pay back the minimum rent that was suspended and is now owing to ECC/HANH/ELM CITY COMMUNITIES.

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

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

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

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

Public Housing Rent Simplification Summary: Exceptions to LIPH Regulations

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
Annual Income	24 CFR Part 5.609(a)(4) 5.609(c)(8)(x11)	Any income derived from an asset to which any member of the family has access. Adoption assistance payments for any child more than $480.00 received.	Excludes asset from the determination of annual income to the extent the amount does not exceed $50,000. All income earned by fulltime student will be excluded who is over 18. Students who are HOH or spouse are not excluded. All income earned by a family from adoption assistance will be excluded.
Income Exclusion for Person Enrolled in FSS Program	24 CFR Part 5.609(b)(1)	Incremental earnings and benefits resulting in any family member from participation in a qualifying State or local employment training programs (including training programs not affiliated with a local government) and training of a family member as resident management staff.	Exclude 100 percent of any incremental earnings from wages or salaries earned by any family member during the first year of FSS program participation, 75% in 2nd year, 50% in 3rd year, 25% in 4th year and 0% in 5th year, if the household is enrolled in the FSS Program. This will not exceed 5 years. A family's eligibility to receive this optional income disallowance is limited to a total of 48 months. In addition, for families that qualify and receive the federal EID, the total number of months that a family may receive the optional income disallowance provided for under this subparagraph and under the Federal Earned Income Disregard (EID) may not exceed 48 months. In no

Public Housing Rent Simplification Summary: Exceptions to LIPH Regulations			
Topic	**Regulatory Provision**	**Current Policy**	**Alternative MTW Policy for Public Housing Program**
			event shall the family receive the exclusion provided for under this subparagraph during the same period said family member is receiving the federal EID as set forth in 24 CFR Part 5.617. Additionally, the current exclusion covering incremental earnings of any family participating in a state or local program will be expanded to include any qualifying federal program, whether the member is enrolled in the FSS program.
Business Income for Resident Owned Businesses	24 CFR Part 5.609(b)(2)	The net income from the operation of a business or profession is included in determining annual income.	Exclude 100 Percent of any net income derived from the operation of a businesses; provided the business qualifies as a resident owned business under 24 CFR Part 963.5. During the first year of enrollment in FSS program 100 percent; 75 percent in the second year; 50 percent in the third year; 25 percent in the fourth year; 0 percent exclusion thereafter.
Earned Income Disallowance	24 CFR Part 960.255	Incremental income earned by a family member, provided the increase in income is the result (1) of employment of a family member was previously unemployed for one or more years prior to employment; (2) increased earnings by a family member during participation in any economic self-sufficiency or other job training program; or (3) result of new employment or increased earnings of a family member during or within six months after receiving assistance, benefits or services under any state program for temporary assistance for needy families	ECC/HANH/ELM CITY COMMUNITIES will continue to implement the Earned Income Disregard (EID). The maximum amount of time a family may participate in the program combined with the Family Self Sufficiency Program (FSS) is 48 months. After 24 months, when the EID is exhausted, the family member may enter the FSS Program and 50% of their earnings may be excluded. They will then continue to exclude 25% in the fourth year and 0% thereafter. This will allow more families to enter and benefit from the program. In no event shall the family receive the exclusion provided for under this subparagraph during the same period said family member is receiving EID as set forth in 24 CFR

Public Housing Rent Simplification Summary: Exceptions to LIPH Regulations			
Topic	**Regulatory Provision**	**Current Policy**	**Alternative MTW Policy for Public Housing Program**
			Part 5.617. In addition, the total number of months that a family may receive the exclusion provided for under this subparagraph and under the EID may not exceed 48 months.
Mandatory Deductions	24 CFR Part 5.611	(1) $480 for each dependent; (2) $400 for any elderly family or disabled family; (3) The sum of the following to the extent the sum exceeds three percent of annual income: (i) Un-reimbursed medical expenses of any elderly family or disabled family; and (ii) reimbursed reasonable attendant care and auxiliary apparatus expenses for each member of the family who is a person with disabilities; (4) Any reasonable child care expenses necessary to enable a member of the family to be employed or to further his or her education.	Eliminate the outlined mandatory deductions under this part. These deductions will be considered as Exceptional Expense Deductions.
Additional (Exception) Expenses Deductions	24 CFR 5.611	A PHA may adopt additional deductions from annual income. ECC/HANH/ELM CITY COMMUNITIES had none	Families with verifiable deductions more than $2,000 will be allowed to request that these additional expenses be used in determining TTP. These verifiable deductions must exceed $2,000 and shall be the sum of (1) Mandatory Deductions determined in accordance with Section 5.611 (2), plus non-reimbursed utility expenses (except telephone and cable).
Total Tenant Payment	24 CFR 5.628	(a) Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (1) 30 percent of the family's monthly adjusted income; (2) 10 percent of the family's monthly income; (3) If the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance	The Total Tenant Payment (TTP) will be based upon (1) income-tiered TTP structure or the minimum TTP $50 for a family with income of up to $2,500 annually.

Public Housing Rent Simplification Summary: Exceptions to LIPH Regulations			
Topic	**Regulatory Provision**	**Current Policy**	**Alternative MTW Policy for Public Housing Program**
		with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (4) The minimum rent, as determined in accordance with Sec. 5.630.	
Hardship Provision for Exceptional Expenses	24 CFR 5.611(2))	A PHA may adopt additional deductions from annual income. The PHA must establish a written policy for such deductions.	A family may be exempt from minimum rent as follows: When the family has lost eligibility for or is awaiting an eligibility determination for a Federal, State or local assistance program, including a family that includes a member who is a non-citizen; When the family would be evicted because it is unable to pay the minimum rent; When the income of the family has decreased because of changed circumstances, including loss of employment. Family whose shelter expenses, plus un-reimbursed medical, childcare and disability expenses exceed 40 percent of annual income or whose medical, childcare or disability expenses of $6,000 or more annually may seek a deduction in rent for exceptional expenses.
Minimum Rent	24 CFR 5.630	A family may be exempt from minimum rent of $50.00 as follows: (i) When the family has lost eligibility for or is awaiting an eligibility determination for a Federal, State, or local assistance program, including a family that includes a member who is a non-citizen; (ii) When the family would be evicted because it is unable to pay the minimum rent; (iii) When the income of the family has decreased because of changed circumstances; (iv) a death has occurred in the family’s household; (v) Any other circumstances to be considered by the PHA to be reason to waive the minimum rent requirement.	A family may only receive one hardship exemption from the minimum rent requirement during a twelve-month period, unless a tenant is elderly, disabled, or is enrolled in ECC/HANH/ELM CITY COMMUNITIES’s Family Self Sufficiency Program. The minimum rent requirement may be waived more than once during a twelve-month period if at least one adult member of the household enrolls in the Family Self Sufficiency Program (the "FSS Program"). Elderly and disabled families are not required to enroll in the FSS Program.

Public Housing Rent Simplification Summary: Exceptions to LIPH Regulations			
Topic	**Regulatory Provision**	**Current Policy**	**Alternative MTW Policy for Public Housing Program**
Utility Allowances and Reimbursements	24 CFR 5.632(a) and (b)	Tenant Paid Utilities to be deducted from TTP to determine tenant rent.	No change. ECC/HANH/ELM CITY COMMUNITIES will pay all utilities except for electricity at Westville Manor, Fairmont Heights, McConaughy Terrace and all Scattered Site properties.
Annual Reexamination of Income and Family Composition	24 CFR 960 Part 257	Reexamination of income must occur every year, except every two years for elderly or disabled households.	Reexamination of income will occur every three years for Elderly and Disabled families and every two years for all other families. Annual update of changes in family composition for persons 18 years of age and older that are added or subtracted from the family. ECC/HANH/ELM CITY COMMUNITIES will do UIV and submit a 50058 annually. Additionally, the Community Service requirement will be reviewed annually for all household members who are not disabled, working less than 20 hours per week or enrolled in classes under the FSS program.
Interim Reexamination	24 CFR 960 Part 257	A family may request an interim reexamination of family income because of any changes since the last examination. The owner must make the interim reexamination within a reasonable time after the family request. Currently, family must report any change in income that amounts to $200 or more a month.	A family can request only three interim re-examinations each 12 months with the exceptions of those conditions where they are required to report certain changes in family composition or certain changes in family income. A family, except for elderly or disabled or a family enrolled in FSS, may make one request for an interim for a hardship exemption every 12 months.
Verification of Wages, Salaries and Assets below $5,000 and Assets below $50,000	24 CFR 5.659	The owner must obtain and document in the family's file third party verification of the following factors or must document in the file why third-party verification was not available :(1) Reported family annual income; (2) The value of assets; (3) Expenses related to deductions from annual income; and	Only a self-certification will be required for income up to and including $5,000.00. For income above $5,000.00 two most recent pay stubs or a W-2 or 1099 dated within 90 days of effective date of re-examination. ECC/HANH/ELM CITY COMMUNITIES will continue to conduct EIV or UIV.

Public Housing Rent Simplification Summary: Exceptions to LIPH Regulations			
Topic	**Regulatory Provision**	**Current Policy**	**Alternative MTW Policy for Public Housing Program**
		(4) Other factors that affect the determination of adjusted income.	Asset exclusion is raised to $50,000.00 and only self-certification will be required.
Determination of Tenant Total Payment (TTP)	24 CFR 5.628	a) Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (1) 30 percent of the family's monthly adjusted income; (2) 10 percent of the family's monthly income; (3) If the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (4) The minimum rent	TTP based upon income-tiered approach. No family shall be subject to an increase in TTP of greater than $25.00 a month during the second year that the family is subject to the Rent Simplification Policy. The increase in TTP during the third year the family is subject to Rent Simplification shall not exceed more than $50 during the third year; $75 a month during the fourth year; and $100 a month above the monthly TTP in the year immediately preceding the implementation of Rent Simplification. The families TTP after the fifth year shall be whatever amount is determined under Rent Simplification. These limitations on rent increase shall only apply to increases in TTP that result from the imposition of Rent Simplification and not for increases that result from changes in family composition or changes in family income.

Appendix 6: Procedures for Rent Simplification for the Section 8 MTW Voucher Program

Housing Choice Voucher Program Rent Simplification

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

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

Rent Simplification: Equity & Efficiency

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

Everyone Should Contribute

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

Fiscal Equity for ECC/HANH/ELM CITY COMMUNITIES

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

Approvable Method

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

Measurable Reduction in Administrative Time

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

Transition to Avoid Hardships

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

Asset Exclusion

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

Earned Income Disallowance

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

Family Self Sufficiency (FSS) Income Exclusions

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

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

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

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

There is no requirement that these increases in rental income must go into an escrow account. Families will be permitted to retain these additional earnings.

Other Exclusions

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

Annualized Income Calculation

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

Annual Reexaminations

Reexaminations are currently conducted every year for non-elderly households and every two years for elderly and disabled households. ECC/HANH spends on average three hours per annual reexamination. Under

Rent Simplification, annual reexaminations will occur every two years for non-elderly households and every three years for elderly and disabled households. These changes will allow families who experience increases in income to retain all their increased earnings between annual reexaminations. During the first year all families will be recertified. This process will be phased in over a three-year period.

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

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

Deductions for Exceptional Expenses

Excess resources are dedicated to verifying deductions for child care, medical and disability allowances. Third party verifications of these amounts are difficult to accomplish, and the agency often relies upon second and first party verifications of these deductions. Obtaining verification data also places an undue burden on the resident. To simplify this process, ECC/HANH will eliminate standard deductions for these amounts for elderly, disabled and non-elderly households.

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

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

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

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

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

Changes in Family Composition

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

Mandatory Interim Reexaminations Policy

Residents must request an interim reexamination if any of the following conditions occur:

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

Optional Interim Reexaminations Policy

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

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

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

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

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

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

Verification of Annual Income from Wages and Salaries and Assets

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

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

- Self-certification of all sources of Annual Income shall be required in all cases.
- For families with total assets of $50,000.00 or less, a self-certification of said assets shall be required.

Income Tiered Rents Calculated within $1,000 Bands

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

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

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

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

Minimum Rents

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

Zero (0) Income Households

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

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

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

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

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

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

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

Hardship Review

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

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

The Application for Exemption from Minimum Rent shall originate from the family or a ECC/HANH employee if the family experiences any one of the Criteria for Minimum Rent Exemption.

When a participant applies, or a ECC/HANH employee submits an application on behalf of a participant. ECC/HANH will suspend the minimum rent requirement for 90 days commencing on the first of the month following the date of the application and will adjust the HAP payment accordingly.

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

The Hardship Review Committee shall send a letter to all participant families who have applied for Hardship Exemption from Minimum Rent stating:

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

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

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

- If the Committee determines that the ***hardship is of a long-term nature (the hardship is expected to last more than 90 days),*** the tenant shall be exempt from the minimum rent requirement from the first of the month following the date of the application for exemption from the minimum rent until such time that the hardship no longer exists.
    - ECC/HANH may deny a participant a long-term exemption from the minimum rent requirement, if the participant fails to attend the scheduled meetings with the Hardship Review Committee. ECC/HANH will provide each participant one opportunity to reschedule the meeting. If the participant fails to attend the scheduled meetings, ECC/HANH may deny the long-term exemption from the minimum rent requirement. The letter sent to schedule the meeting shall inform participants that persons with disabilities are entitled to reasonable accommodation about this requirement.
    - Except for Elderly or Disabled families, no tenant shall be exempt from the minimum rent requirements for more than 90 days during a one-year period unless at least one member of the family who is 18 years of age or older enrolls and actively participates in ECC/HANH's FSS Program for job or benefit counseling. Such family member(s) shall enroll in the FSS program within 30 days from the date of the Application of Exemption from Minimum Rent.
- If the hardship is determined to be nonexistent, the participant will be responsible for paying rent to ECC/HANH for any rent that was suspended while the Application for Exemption from Minimum Rent was pending. The minimum rent shall be re-instated retroactively to the initial date of the suspension. A participant will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH for any back rent that is due and owing to ECC/HANH.

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

- If the hardship exemption is determined to be short term:
    - that a short-term hardship exemption was granted;
    - the effective dates of the exemption;
    - the basis for the decision to grant a short-term exemption, including that a long-term exemption was denied and the reason that such long-term exemption was denied; and
    - that the participant has a right to enter into a reasonable repayment agreement with ECC/HANH for the minimum rent that was suspended and is now owed to ECC/HANH.
- If the hardship exemption is determined to be long term:
    - that a long-term hardship exemption was granted;
    - whether the long-term exemption is permanent or subject to periodic review and, if subject to periodic review, when such review will take place; and
    - that all non-elderly, non-disabled participants are required to comply with FSS requirements as a condition of the receipt of a long-term exemption; and
    - that the participant must notify ECC/HANH within 10 days if the hardship ceases to exist because the participant has obtained a source of income sufficient to pay (at least) the minimum rent.
- If the hardship is determined to be non-existent:
    - that a hardship exemption was denied;

- the reason for such determination; and
- the terms and condition on which the participant family must pay back the minimum rent that was suspended and is now owing to ECC/HANH.

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

Mixed Families

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

Fraud Prevention

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

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

Rent Simplification Implementation – Housing Choice

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

A staggered approach is used to integrate the two-year and three-year reexamination cycles.

- Initially in fiscal year 2008, all families will be re-examined during the first year.
- In the second year of the program (2009), two thirds of the elderly/disabled families will be re-examined and one half of the non-elderly/non-disabled families.
- In the third year of the program (2010), one third on the elderly/disabled families will be re-examined and one-half of the remaining non-elderly/non-disabled families.

Rent Simplification has been fully implemented since December 31, 2010.

SEMAP Waivers

The SEMAP verification methods and ratings are set forth under 24 CFR Part 983. As a result of the Rent Simplification Plan, many of these indicators will either no longer be relevant or ECC/HANH and/or HUD will be unable to measure ECC/HANH's performance; therefore, ECC/HANH will request a waiver of the following SEMAP indicators beginning October 1, 2007.

- Sec. 985.3(c) Determination of Adjusted Income.

  Beginning October 1, 2007, Total Tenant Payment will be based Annual Income by income tiers. Additional, ECC/HANH will no longer include assets of less than $50,000 in the determination of Annual Income. There will no longer be any Mandatory Deductions; therefore, a waiver of this Section is required.

- Section 985.3(j) Annual reexaminations.

  This indicator shows whether the PHA completes a reexamination for each participating family at least every 12 months (24 CFR 5.617). A waiver of this indicator is required since ECC/HANH will no longer reexamine every family each year.

- Section 985.3(m) Annual HQS Inspections.

  This indicator shows whether the PHA inspects each unit under contract at least annually. (24 CFR 982.405(a). ECC/HANH will no longer inspect every unit every year but will instead inspect units according to the families' biennial or triennial recertification schedule.

- Section 985.507(m) Rent to Owner: Reasonable Rent.

- Section 985.3(n) Lease-Up.

  This indicator shows whether the PHA enters HAP contracts for the number of units reserved under ACC for at least one year. Due to the funding fungibility under MTW, Section 8 funds are used according to the priorities set forth in the MTW Annual Plan.

Alternative Inspection Schedule

ECC/HANH will no longer inspect each unit every year, but will instead inspect units according to the families' biennial or triennial recertification schedule, unless:

- The participant or landlord requests a special inspection due to violations noticed by either party.

Hardship Waiver Policy and Guidelines

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

Except for elderly and disabled families, all families placed on minimum rent will be referred to the Family Self Sufficiency Program.

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

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

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

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

Criteria for Hardship Exemption from Minimum Rent Requirement.

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

- When a family has lost eligibility or is awaiting eligibility determination from a Federal, State or local assistance program;

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

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

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

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

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

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

Initiation of Hardship Exemption Review

An application for Exemption from Minimum Rent may originate from either a ECC/HANH employee or the participant family.

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

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

Notification of the Right to a Hardship Exemption

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

ECC/HANH will also notify all families in writing of the ability to receive a hardship exemption from minimum rent and the procedures for applying for such a hardship exemption in the following documents: participant rent change notifications, the Application for Exemption from Minimum Rent and all form documents related to the hardship exemption process.

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

Exceptional Expenses

Applicability - Deductions permitted under 24 CFR Part 5.611(a) shall be permitted only to the extent that the sum of anticipated deductions permitted under said Part 5.611(a) for the year are expected to equal or exceed $2,000. Families with Exceptional Expenses that equal or exceed $2,000 may request a rent deduction. The amounts of expenses are set in $2,000 tiers. This allows ECC/HANH to move away from verifying every dollar of every deduction. Participants will no longer be required to provide documentation for every dollar of expenses, but, instead, participants need only provide documentation sufficient to the expenses of the appropriate tier.

The amount of the rent deduction is established at the mid-range of each tier. Families with Exceptional Expenses will receive a reduction in the rental payment as set forth on the following table:

- Families must have more than two qualifying dependents to qualify for additional Dependent Deductions.
- The Elderly/Disabled deductions shall not be used in determining Exceptional Expenses.
- Dependent deduction shall only be allowed for families with more than two dependents because the standard amount of this deduction has been included in the determination of the percentage used to calculate tenant rent.

Rent Reduction for Households with Exceptional Expenses	
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

Elderly persons and persons with disabilities always have the right to request a Reasonable Accommodation(s).

Rents are determined in accordance with the methods and income measures set forth in ECC/HANH's Public Housing Rent Simplification Policies.

Attachment C-1: Exceptions to HCV Regulations			
Topic	**Exceptions to HCV Program Regulations**	**Current Policy**	**Alternative MTW Policy for Housing Choice Voucher Program**
Annual Income	24 CFR Part 5.609(a)(4)	Any income derived from an asset, to which any member of the family has access.	Excludes assets, from the determination of annual income, if the amount is $50,000 or less. All income earned by a fulltime student will be excluded. All income earned by a family from adoption assistance will be excluded.
Income Exclusion for Person Enrolled in FSS Program	24 CFR Part 5.609(b)(1)	Incremental earnings and benefits to any family member, received from participation in a qualifying **State or local employment training** program, (including training programs not affiliated with a local government); and training of a family member participating as resident management staff.	Exclude 100 percent of any incremental earnings from wages or salaries earned by any family member during the first year of FSS program participation, 75% in 2nd year, 50% in 3rd year, 25% in 4th year and 0% in 5th year, if the household is enrolled in the FSS Program. This will not exceed 5 years. Additionally, the current exclusion covering incremental earnings of any family participating in a state or local program will be expanded to include any qualifying **federal** program, whether the member is enrolled in the FSS program.
Business Income for Resident Owned Businesses	24 CFR Part 5.609(b)(2)	The net income from the operation of a business or profession is included in determining annual income.	During the first year of enrollment in the FSS program, exclude 100 percent of any net income derived from the operation of a business; provided the business qualifies as **a resident owned business** under 24 CFR Part 963.5. • 50 percent exclusion during the second year; • 25 percent exclusion the third year.
Earned Income Disallowance for Persons with Disabilities	24 CFR Part 5.617(a)	Incremental income earned by a previously unemployed disabled person in the 12 months prior to becoming employed, provided the increase in income is the result of: (1) employment of a family member, previously unemployed for one or more years prior to employment; (2) increased earnings by a family member during participation in any	Eliminated since any family member that enrolls in the FSS program will have all incremental earnings excluded if the member remains in the FSS program.

Attachment C-1: Exceptions to HCV Regulations			
Topic	**Exceptions to HCV Program Regulations**	**Current Policy**	**Alternative MTW Policy for Housing Choice Voucher Program**
		economic self-sufficiency or other job training program; or (3) result of new employment or increased earnings of a family member during or within six months after receiving assistance, benefits or services under any state program for temporary assistance for needy families.	
Mandatory Deductions	24 CFR Part 5.611	(1) $480 for each dependent; (2) $400 for any elderly family or disabled family; (3) The sum of the following, to the extent the sum exceeds three percent of annual income: (i) Un-reimbursed medical expenses of any elderly family or disabled family; and(ii) reimbursed reasonable attendant care and auxiliary apparatus expenses for each member of the family who is a person with disabilities (4) Any reasonable childcare expenses necessary to enable a member of the family to be employed or to further his or her education.	Eliminate all mandatory deductions.
Additional (Exception) Expenses Deductions	24 CFR 5.611	None	Families with verifiable deductions that or exceed of $2,000 will be allowed to request that these additional expenses be used in determining TTP. These verifiable deductions must equal or exceed $2,000 and shall be the sum of: Mandatory Deductions determined in accordance with Section 5.611 (a), plus non-reimbursed utility expenses (except telephone).
Total Tenant Payment	24 CFR 5.628	Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (a) 30 percent of the family's monthly adjusted income; (b) 10 percent of the family's monthly income; (c) If the family is receiving	TTP to be based upon (1) income-tiered TTP structure or the minimum TTP $50 for a family with income of up to $2,500 annually.

Attachment C-1: Exceptions to HCV Regulations			
Topic	Exceptions to HCV Program Regulations	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
		payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (d) The minimum rent, as determined in accordance with Sec. 5.630.	
Hardship Provision	24 CFR 5.630(b)	A family may be exempt from minimum rent as follows: (i) When the family has lost eligibility or is waiting an eligibility determination for a Federal, State, or local assistance program, including a family that includes a member who is a non-citizen; (ii) When the family would be evicted because it is unable to pay the minimum rent; (iii) When the income of the family has decreased because of changed circumstances, including loss of employment.	A family whose shelter expenses, plus un-reimbursed medical, childcare and disability expenses exceed 40% of annual income or whose medical, childcare or disability expenses of $6,000 or more annually may seek hardship.
Minimum Rent	24 CFR 5.630	$25.00 for HCV. $50.00 for LIPH.	HCV increased from $25.00 a month to $50.00 a month so that LIPH and HCV have same minimum rent amount. $50.00 for HCV. $50.00 for LIPH.
Utility Allowances and Reimbursements	24 CFR 5.632(a) and (b)	Tenant Paid Utilities to be deducted from TTP to determine tenant rent.	No change. Tenant paid utilities to be deducted from TTP to determine tenant rent.

Attachment C-1: Exceptions to HCV Regulations			
Topic	**Exceptions to HCV Program Regulations**	**Current Policy**	**Alternative MTW Policy for Housing Choice Voucher Program**
Medical Deductions	24 CFR 5.611(c)		No longer applicable unless they exceed applicable threshold.
Annual Reexamination of Income and Family Composition	24 CFR 982.516	Reexamination of income must occur every year, except every two years for elderly or disabled households.	Reexamination of family income will occur every three years for Elderly or Disabled families and every two years for all other families, instead of every year. Reexamination of family composition will only occur if a family notifies ECC/HANH of a change in family composition since this will affect the determination of appropriate size unit. Annual update of changes in family composition for persons 18 years of age and older that are added or subtracted from the family. ECC/HANH will do UIV and submit a 50058 annually.
Interim Reexamination	24 CFR 982.516	A family may request an interim reexamination of family income for any changes since the last annual reexamination. ECC/HANH must conduct the interim reexamination within a reasonable period after the family request. Currently, family must report any change in income that exceeds $200 or more a month.	A family may request a maximum of three interim re-examinations within a 12-month period, except for those conditions under which they are required to report certain changes in family composition or certain changes in family income. A family, except for elderly or disabled, may only make **one** request for an **interim reexamination** for a hardship exemption each 12 months, unless one (1) household member is enrolled in the FSS program.
Verification of Wages, Salaries and Assets below $5,000 and Assets below $50,000	24 CFR 5.659	ECC/HANH must obtain and document in the family's file third party verification of the following factors, or must document in the file why third-party verification was not available: (1) Reported family annual income; (2) The value of assets; (3) Expenses related to deductions from annual income; and (4) Other factors that affect the determination of adjusted income.	Only a self-certification will be required for income up to and including $5,000. For income above $5,000, two most recent pay stubs or a W-2 or 1099 dated within 90 days of effective date of re-examination will be required. ECC/HANH will continue to conduct EIV or UIV.
Determination of Tenant Total Payment (TTP)	24 CFR 5.628	Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar:	TTP based upon income-tiered approach. No family shall be subject to an increase in TTP greater than $25.00 a month during the second year the family is a

Attachment C-1: Exceptions to HCV Regulations			
Topic	**Exceptions to HCV Program Regulations**	**Current Policy**	**Alternative MTW Policy for Housing Choice Voucher Program**
		(1) 30 percent of the family's monthly adjusted income; (2) 10 percent of the family's monthly income; (3) if the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (4) The minimum rent.	participant in the Rent Simplification Policy. The increase in TTP during the third year of the Rent Simplification Policy shall not exceed $50 a month. The increase in TTP during the fourth year of the Rent Simplification Policy shall not $75 a month. The increase in TTP during the fifth year shall not exceed $100 a month above the monthly TTP in the year immediately preceding the implementation of Rent Simplification Policy. **These limitations on rent increase shall only apply to increases in TTP that result from the implementation of the Rent Simplification Policy and not rent increases that result from changes in family composition or changes in family income.**
Annual Inspections	24 CFR Part 982.405(a)	ECC/HANH must inspect each unit annually during Section 8 assisted occupancy. 24 CFRP Part 982.405 (a) states that: The PHA must inspect the unit leased to a family prior to the initial term of the lease, at least annually during assisted occupancy, and at other times as needed, to determine if the unit meets the HQS. (See §982.305(b)(2) concerning timing of initial inspection by the PHA.)	ECC/HANH will no longer inspect every unit every year, but will instead inspect units every two years, unless the first unit inspection conducted after the implementation of the Rent Simplification Policy shows that the unit; (1) failed an inspection, or (2) the unit had a failed inspection in the three years prior to the implementation of the Rent Simplification Policy. A unit must have three consecutive years without a failed inspection to qualify for the bi-annual inspection. **Units for which landlords are requesting increases in HAP payment will also be inspected prior to ECC/HANH granting any such increase.**

Attachment C-1: Exceptions to HCV Regulations			
Topic	**Exceptions to HCV Program Regulations**	**Current Policy**	**Alternative MTW Policy for Housing Choice Voucher Program**
Waiver of SEMAP Indicator	24 CFR Part 985.3(c).		**Determination of Adjusted Income**. Beginning October 1, 2007, Total Tenant Payment will be based on Annual Income by income tiers. Additional, ECC/HANH will no longer include assets of less than $50,000 is the determination of Annual Income. There will no longer be any Mandatory Deductions; therefore, a waiver of this Section is required by HUD.
Waiver of SEMAP Indicator	24 CFR Part 985.3(m)		**Annual HQS Inspections**. This indicator shows whether the PHA inspects each unit under contract at least annually. (24 CFR 982.405(a). ECC/HANH will no longer inspect every unit every year but will instead inspect a unit every two years unless the unit's inspection history indicates a need for an annual inspection as set forth above.
Waiver of SEMAP Indicator	24 CFR Part 985.3 (n)		**Lease-Up**. This indicator shows whether or not ECC/HANH enters HAP contracts for the number of units reserved under ACC for at least one year. ECC/HANH currently has a waiver of this provision and request that it be extended until September 30, 2008.
Portability procedures	24 CFR Part 983.355 (c) (1)	ECC/HANH would like to have the ability to re-determine the eligibility of adult household members by performing a background check to ensure that family members do not have a criminal background.	

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