2020 MOVING TO WORK ANNUAL REPORT

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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.

Making a Difference…

Mayor
Justin Elicker

Board of Commissioners
Erik Clemons, Chairman
William Kilpatrick, Commissioner
Elmer Rivera-Bello
Foluke Morris, Commissioner

President
Karen DuBois-Walton, Ph.D.

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I. INTRODUCTION

In 2001, the Elm City Communities/The 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 FY20 MTW Annual Report (October 1, 2019 to September 30, 2020) states ECC/HANH's MTW progress toward achieving goals and objectives outlined in the FY20 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. The purpose of the MTW program, as established by Congress, is to identify innovative local approaches for providing and administering housing assistance that accomplish three primary goals:

1. To reduce costs and achieve greater cost effectiveness in federal expenditures.
2. To give incentives to families with children where the head of household is: working, seeking work, or 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 for 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.

Additionally, the MTW program 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 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 FY20.

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. In FY2018 and FY2019, ECC/HANH has introduced the strategic planning process of developing agency playbooks and has continued to update its playbook regularly.

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 educational 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 educational 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						
Label	**Description**	**Cost Effective**	**Expand Housing Choice**	**Increase Self-Sufficiency**	**FY Approved**	**Status**
1.15-1.17	RAD Finance Development for Rockview Phase II Rental & Westville Manor Transformation Plan		✓		2014	Ongoing
1.16	Crawford Manor Transformation Plan		✓		2014	On Hold
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
4.8	Fulton Park Modernization		✓		FY11	Ongoing
4.9	LIPH Income Targeting: Marketing Initiatives for Higher Income Eligible Families	✓			FY08	Closed
3.6	Expanded Jurisdiction		✓		FY19	Ongoing

[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

Label	Description	Cost Effective	Expand Housing Choice	Increase Self-Sufficiency	FY Approved	Status
3.7	Non-traditional Supportive Housing Program		✓	✓	FY19	Ongoing

OVERVIEW OF MTW INITIATIVES REQUIRING FUNDING FLEXIBILITY ONLY[9]

Label	Description	Cost Effective	Expand Housing Choice	Increase Self-Sufficiency	FY Approved	Status
3.9F	Project Modernization – Various Projects		✓			Ongoing
3.10F	Vacancy Reduction – Various Projects		✓		2008	Ongoing
4.1F	Resident-Owned Business Development			✓	2009	Ongoing
4.2F	SEHOP Capital Improvement Program			✓	2010	Ongoing
4.3F	Prison/Community Reentry			✓	2009	Ongoing
4.4F	Resident Services for Elderly/Disabled			✓	2005	Ongoing
4.5F	Cap on Project-Based Units in a Project	✓	✓		2010	Closed
4.6F	Creation of New Instrumentality Entities to Support ECC/HANH Goals and Strategic Planning activities	✓			2019	Moved[10]
4.7F	REACH	✓		✓	FY19	Ongoing
3.8	Community Health Network of CT (CHNCT)				FY20	Proposed

[9] Per HUD request in the FY20 MTW Plan, the MTW Initiatives Requiring MTW Flexibility Only have been numbered and labeled in accordance with the categorizations of the ongoing initiatives (Cost Effective, Expand Housing Choice, Increase Self-Sufficiency). These initiatives are also labeled with the letter "F" to indicate that they require MTW Flexibility Only.

[10] Moved to "MTW Initiatives Requiring Funding Flexibility Only"

II. General Operating Information

(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			
CT004000015 Fairmont Heights	98	0	In Progress	N/A	Planned Conversion of ACC units
CT004000011 McQueeney Towers	150	149	Completed	Yes	converted ACC units
CT004000012 Winslow Celentano	65	64	Completed	Yes	converted ACC units
CT004000015 Ruoppolo Manor	105	0	In Progress	N/A	Planned Conversion of ACC units
CT004000014 Farnam Courts	92	36	Completed	Yes	converted ACC units
CT004000001 Westville Manor	62	0	In Progress	NA	Planned Conversion of ACC units
Valley Townhouses	40	0	In Progress	N/A	Planned Conversion of ACC units

612 249 **Planned/Actual Total Vouchers Newly Project-Based**

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:

- Farnam Courts Phase 2 received 4% and 9% LIHTC awards as well as state capital funding. This development will be bifurcated into a 36 unit 4% LIHTC phase and a 52 unit 9% LIHTC phase. All funding for both phases has been obtained and closing for the 4% occurred in FY20. We anticipate closing on the 9% in during FY21.
- RAD Group 3, consisting of McQueeney and Celentano Towers has obtained all necessary funding and closed in during FY20.
- RAD Group 4, consisting of Fairmont and Ruoppolo Manor, has also obtained all necessary funding and is scheduled to close during FY21.
- The 62 replacement units for Westville Manor are being constructed at Rockview Phase II. This project closed in June 2019 with construction completion by August 2020.
- Robert T Wolfe is currently on hold.
- Valley Townhomes on hold.
- The 62 units at Westville Manor are currently listed under LIPH in PIC, however, ECC/HANH has moved forward with building at the Rockview site.

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 VOUCHE RS	PLANNED STATUS AT END OF PLAN YEAR*	RAD?	DESCRIPTION OF PROJECT
Expanded Jurisdiction (PBV)	**19**	Committed	No	New Initiative Expanded Jurisdiction FY19 Plan
PBV Fellowship I	**18**	Leased	No	New PBV units
PBV Fellowship II	**5**	Leased	No	100% Supportive Housing
PBV Also Cornerstone (Continuum of Care)	**4**	Leased	No	100% Supportive Housing units
PBV Norton Court (Continuum of Care)	**12**	Leased	No	100% Supportive Housing
PBV Cedar Hill	**4**	Leased	No	100% Supportive Housing
PBV West Village	**15**	Leased	No	100% Supportive Housing
PBV QT Phase 1	**23**	Leased	No	100% Supportive Housing Single Room Occupancy
PBV QT Phase 2	**23**	Leased	No	81 LIHTC PBV units
PBV QT Phase 3	**16**	Leased	No	79 LIHTC PBV units
PBV Eastview Phase I	**49**	Leased	No	33 LIHTC PBV units
Chatham/Eastview	**2**	Leased	Yes	102 RAD/PBV units
PBV Brookside Phase I Rental	**51**	Leased	No	2 RAD/PBV units
PBV Brookside Phase 2 Rental	**51**	Leased	No	LIHTC PBV units
PBV Rockview Phase I Rental	**47**	Leased	No	LIHTC PBV units
PBV New Rowe Building	**32**	Leased	No	LIHTC PBV units
PBV 122 Wilmot Road	**13**	Leased	No	LIHTC PBV units
PBV Park Ridge	**60**	Leased	No	LIHTC PBV units
PBV Frank Nasti Existing	**11**	Leased	No	Elderly/Disabled Housing
PBV CUHO Existing	**24**	Leased	No	Scattered Site PBV families
PBV CUHO New Construction	**5**	Leased	No	Scattered Sites PBV units' families
PBV Shartenburg	**20**	Leased	No	Scattered Sites PBV units Families
Mutual Housing Association New Construction	**20**	Leased	No	20 PBV units for the City initiative 360 State-Families
PBV Mutual Housing Assoc. (Neighborhood Works/New Horizon)	**9**	Leased	No	8 rehabilitation / 12 new construction affordable housing - 45.5% of units are PBV
PBV Mutual Housing Existing	**15**	Leased	No	9 MHA PBV units
PBV Casa Otonal	**12**	Leased	No	PBV units
PBV Christian Community Action	**17**	Committed	No	Elderly/Disabled

New Haven Coliseum (previously Live Learn Play)	**19**	Committed	No	PBV units
Residences at Ninth Square	**55**	Committed	No	PBV for Neighborhood Revitalization
RAD 122 Wilmot Road	**34**	Leased	Yes	PBVs outside of the New Haven Area
RAD Eastview Phase I	**53**	Leased	Yes	Support the redevelopment of the 9th sq.
RAD Ribicoff (Twin Brook)– 9%	**44**	Leased	Yes	RAD/PBV
Charles T. McQueeney	**149**	Leased	Yes	RAD/PBV
Winslow Celentano	**64**	Leased	Yes	RAD/PBV
Howe Street Single Room Occupancy	**80**	Leased	Yes	RAD/PBV
RAD Ribicoff (Twin Brook) -4%	**51**	Leased	Yes	102 units – 48% of units are PBV; remaining 53 ACC units converted to RAD PBV
RAD Fair Haven/ Farnam	**55**	Leased	Yes	44 units of RAD converted ACC units – 80% PBV
RAD Monterey Place-Edith B Johnson	**95**	Leased	Yes	51 units of RAD converted ACC units
RAD Monterey Place-William Griffin	**4**	Leased	Yes	55 units of RAD converted ACC units and 2 PBVs
RAD Monterey Place 1	**42**	Leased	Yes	95 units of RAD converted ACC units
RAD Monterey Place 2	**7**	Leased	Yes	RAD converted ACC units
RAD Monterey Place 3	**45**	Leased	Yes	RAD converted ACC units
RAD Monterey Place 4	**42**	Leased	Yes	RAD converted ACC units
RAD Monterey Place 5	**17**	Leased	Yes	RAD converted ACC units

RAD Monterey Place 2R	**28**	Leased	Yes	RAD converted ACC units
RAD Prescott Bush	**56**	Leased	Yes	RAD Converted ACC units
RAD Waverly Townhouses	**51**	Partial Leased/Partial Committed	Yes	RAD converted ACC units
RAD CB Motley	**45**	Leased	Yes	RAD converted ACC units
RAD Newhall Gardens	**26**	Leased	Yes	RAD converted ACC units
RAD Katherine Harvey Terrace	**17**	Leased	Yes	RAD converted ACC units
RAD Fulton Park	**12**	Committed	Yes	RAD converted ACC units
RAD Chamberlain Court (Justice Landing)	**7**	Committed	Yes	RAD converted ACC units
RAD Farnam Onsite I	**86**	Leased	Yes	RAD converted ACC units
Portsea Place	8	Leased	No	Supportive Housing for homeless young adults

2,021 1,769 **Planned/Actual Total Existing Project-Based Vouchers**

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

- During FY20, 249 units were project based under the RAD portfolio ((Farnam Courts 4%, Charles T. McQueeney and Winslow Celentano). The closing for this project occurred during FY20 and are currently under rehab and construction. An updated list of RAD has been included in the FY20 plan. Other commitments are moving forward at a delayed pace due to financing and development plan changes.

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 offline 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

In preparation for the RAD conversion of an LIPH development. LIPH dwelling units will be not be re-occupied within 90 days of the RAD closing date. Those vacant units will be used for swing units for relocation purposes during the construction phase of the RAD.
LIPH vacant units in non-RAD Project sites are used as swing units and/or master lease for Rad relocation purposes. These RAD relocations are temporary and are returned to LIPH for re-occupancy.

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

v.

ECC/HANH's goal through its MTW status for this fiscal year was to provide housing of choice in the most cost-effective method possible. Given the funding limitations, our plan was to address the urgent operational needs within the LIPH portfolio remaining post-RAD conversion. MTW status has facilitated management of capital improvement project financing. ECC/HANH has been able to focus on physical needs at our LIPH properties in complement to the larger construction-redevelopment projects undertaken through RAD. Our ongoing objectives remain:

- Remediate Life-Health, Safety, Security and Code non-compliance property conditions
- Provide Project results which will save on Operational support- or provide energy savings
- Improve Accessibility
- Reduce vacancies
- Provide best use of CFP funds in coordination with ECC/HANH Operations and The Glendower Group, ECC/HANH's development entity.

During FY 2020, ECC/HANH continued to execute projects that supported these goals and improved the remaining portfolio. Properties planned for future redevelopment efforts were not prioritized for CFP projects; however, if there was a Life, Health and Safety challenge, we considered the needs across the entire portfolio. Several work items in the FY 2020 MTW Plan are continuation/implementation of MTW 2019 Plan projects that were not fully completed by the end of FY 2019. In FY 2020, work was planned at Crawford Manor, McConaughy Terrace, Essex Townhouse, Robert Wolfe, Scattered Sites and McQueeney commercial, common areas. Funds had also been earmarked for Agency wide services and obligations. During FY 2020, A&E and Environmental services proposals were solicited from current Indefinite Quantities Contract firms and task orders issued.

1. **Crawford Manor ADA Storefront and Entry Access System Upgrades**
   - ECC/HANH planned this project to bring the entryway into ADA compliance. The current entry does not provide adequate turnaround area or pull-side clearance. Due to the lack of accessibility, the door is often propped open. The need for a secure entry is critical and will provide residents in the Elderly and Disabled community with the much-needed sense of security. Project design initiated during FY 2019. Project bid in conjunction with the Fire Alarm Panel and Fire Pump projects, and award approved February 2020. Implementation delayed pending COVID safety plan. Project redesigned and repackaged. Moving forward in 2 phases. Expect PH1, ADA entry and Fire Pump to be re-bid and implemented during FY 2021. $0 spent.

2. **Crawford Manor Fire Alarm Panel and Fire Pump Replacement**
   - The existing Fire Alarm panel and fire pump are at end of useful life. Alarm system now requires including addressing features for smoke alarms. This critical equipment needs to be replaced to ensure safety for residents in the 15-story apartment tower. Project design initiated during FY 2019. Project bid in conjunction with the Crawford scope of work in Item 1. Award approved February 2020. Implementation delayed pending COVID safety plan. Project redesigned and separated into PH1, ADA entry and Fire Pump. Expect project to be re-bid during FY 2021 for start of construction in spring. PH2, Fire Alarm Panel is being postponed until it is deemed COVID Safe to work in units leased to an elderly and disabled population. COVID has effectively shut down our projects in the interiors of occupied units. Project ready to go in February, has been delayed 1 year, with PH2 still with no date to move forward. $0 spent.

3. **McConaughy Terrace Storm and Sanitary Sewer Replacement**
   - In FY 2019, project moved forward with Phase 2 of the underground investigation of existing sewer lines. Goal was to prioritize repairs, and to perform targeted critical repairs. In FY 2020, ECC/HANH planned a more comprehensive approach to address the ongoing and challenging project of upgrading crushed clay pipe in a large family development site built in 1948. We already had evidence of cracked storm and sanitary connections, sewage back-ups, and periodic flooding on and off our site where the sanitary and storm sewers are still connected. This project required significant financial investment to address critical health and safety concerns. Bids solicited and received. Contract awarded February 2020. Implementation delayed pending COVID safety plan and MBE-WBE-Section 3 compliance. $116,322.50 spent with balance of contract funds to be expended in FY 2021 At the end of the 4th quarter, project is on schedule to be completed in January 2021. This project has already improved storm sewer drainage on site. It was uncovered that there was no connection to the City Storm sewer line, which had caused flooding on the west side of the site for years. We already see positive results in water and waste management throughout the site. This is a major improvement to the health and safety of McConaughy residents.

4. **McConaughy Driveways, Parking Lots and Catch Basin Repair**
   - Just as a lawn sets off the exterior improvements to a home, paving the parking lots and driveways is the next step in improving the site. In FY19, ECC initiated an updated site survey and project design. The SOW focused on the area’s most in need of repair, including the resetting of in driveway catch basins. This project had long been deferred due to lack of funding availability. These repairs should result in improved REAC scores at the property. Project completed in FY 2020. Contract closed out. $297,635.23 spent.

5. **McConaughy Continuation-Completion of Furnace & Hot Water Heater Replacement; Interior Improvements 2 Units**
   - In FY 2019, ECC/HANH initiated furnace & hot water heater replacement project to complete equipment replacement in the units not included in prior upgrades. 66 apartments completed in prior funding years. Work started in summer of 2019 and was completed January 31, 2020. Anticipated outcome: improved energy efficiency, cost savings and resident comfort with fewer heat-related work orders. This project also brought the chimneys up to code with chimney liners to improve draft, efficiency and reduce the incidence of smoke fume infiltration into the unit. $1,444,288.30 spent. The charts, below document that actual measurable benefits were achieved with this heating system upgrade. Construction on the project began July 2020, and the heating season began October 15, 2020. Construction was completed January 30, 2020. <u>McConaughy Gas Consumption #1</u>, February 2018 - January 2019, shows the baseline energy use (thm) and cost pre-construction. The use of energy when less than the year before, is more reflective of the fluctuating temperatures that year. The cost increases are due to the rise in gas

costs per cu/meter. The lesser cost in January 2019 is a reminder of the warm spell we had that month, 14/31 days above 40 degrees F.and only 4 days below freezing, as compared to 2018, which had a blizzard January 4th, 18/31 days at or below freezing and a colder monthly average.

McConaughy Gas Consumption #2 indicates the shift in energy use, with a reduction in thm/month. As units were completed, (all completed in January 2020) a greater savings in thm /month was achieved. Efficiencies were achieved in the summer months, reflecting the benefit of the replacement of the energy efficient domestic hot water heaters. The cost analysis shows the comparatively greater savings to the energy use at the end of construction. The cost per cu ft for gas, as we know, did not decrease.

McConaughy gas consumption #1.pd McConaughy gas consumption #2.pd

Also, at McConaughy, ECC/HANH designed and contracted for interior structural and vacancy rehabilitation repairs including structural stair reinforcements in 1 vacant and 1 occupied unit. This was work which needed engineering input and was beyond Operations vacancy-make-ready plans. Work was completed in FY 2020. $59,478.51 spent.

6. **Non-Lead Related Hazardous Materials Abatement and Repairs**
   - ECC/HANH received a Lead Paint grant for McConaughy, Essex, Scattered Sites West and Scattered Sites East. Lead grant funds are not eligible for non-lead hazardous materials abatement and building repairs that may be needed prior to implementation of lead paint abatement. ECC/HANH planned to use non- lead grant capital funds for related non-lead hazardous materials abatement and building repairs as specified in solicitation documents by our consultants. Lead and non-lead work clearly identified. Bids solicited. Responses received January 2020. Responses higher than anticipated. No contract awarded. Re-solicited in May 2020 as RFP for IQC contracts. No award. ECC/HANH repackaged abatement documents into multiple groupings and re-solicited quotes and bids in October 2020. Expect lead abatement and non-lead abatement and repair work to proceed in FY 2021. $0 spent.

7. **Scattered Sites East & West: Replacement of Domestic Hot Water and Heating Ventilation and Air Conditioning Systems**
   - Goals: 1. Replace antiquated inefficient oil-fired furnaces and boilers with gas-fired systems in one- and 2-family homes. This will save utility costs, Operations repair time and the inconvenience of running out of fuel and associated restart charges. 2. Replace antiquated gas systems with energy-efficient new gas-fired systems. Some systems are at or near end of Estimated Useful Life. 3. Replace any antiquated electric heating and hot water systems with more energy-efficient systems. Project designed and bid during FY 2019. Responses received were higher than anticipated. Project is being re-bid Fall, 2020 with work to take place in Spring, 2021. $0 spent.

8. **Scattered Site Multifamily Cornell Scott Ridge: Paving and Parking Lots**
   - Paving was beyond its useful life. Improvements benefited vehicular traffic, drainage, erosion control and overall curb appeal. In FY 2019, ECC/HANH initiated an updated site survey and project design. Project bid in conjunction with the McConaughy paving scope of work in item 4 above. Project completed in FY 2020. Contract closed out. $215,528.58 spent.

9. **Essex Townhouses Heating System**
   - Boiler room upgrade. Project design initiated in FY 2019. Quotes solicited and project awarded in FY 2020. Work completed. Contract closed out. $39,613.67 spent.

10. **Wolfe: Skylight Replacement with Associated Abatement, Health & Safety Repairs**
    - Replacement of leaking skylight and roof section, associated water damage and hazardous material abatement were the initial planned scope of work. Project design initiated in FY 2019; in FY 2020 project bid. ECC/HANH received one response, with no award made. Instead, roof repairs are now included in a larger scope of health and safety building repairs that are needed to keep Wolfe viable for approximately 3 years, pending future redevelopment. Design completed; solicitation issued October 2020 for implementation in FY 2021. $0 spent.

11. **Crawford Interior/Building Upgrades**
    - Non-RAD conversion development. Units need kitchen and bathroom upgrade; interior doors, walls, ceilings; appliances; windows, lighting, etc. Backlog of unfunded needs. Crawford being evaluated among ECC/HANH's planning for remaining non-RAD converted properties. $0 spent.

12. **McConaughy Interior/Building/Site Upgrades**
    - Non-RAD conversion development. Units need kitchen and bathroom upgrade; interior doors, walls, ceilings; appliances; fences, sidewalks, lighting, building exterior repairs, etc. McConaughy started being evaluated among ECC/HANH's planning for remaining non-RAD converted properties. ECC considering an application for a development approach to the large backlog of unfunded needs. Pending any development plans, the property will still be assessed with all the other LIPH portfolio. $0 spent.

13. **Scattered Sites West Interior/Building/Site Upgrades**
    - Non-RAD conversion development. Units need kitchen and bathroom upgrade; interior doors, walls, ceilings; appliances; fences, sidewalks, lighting, building exterior repairs, etc. Backlog of unfunded needs. Scattered Sites being evaluated among ECC/HANH's planning for remaining non-RAD converted properties. $0 spent.

14. **Scattered Sites East Interior/Building/Site Upgrades**
    - Non-RAD conversion development. Units need kitchen and bathroom upgrade; interior doors, walls, ceilings; appliances; fences, sidewalks, lighting, building exterior repairs, etc. Backlog of unfunded needs. Scattered Sites being evaluated among ECC/HANH's planning for remaining non-RAD converted properties. $0 spent.

15. **Scattered Sites Multifamily Interior/Building/Site Upgrades**
    - Non-RAD conversion development. Units need kitchen and bathroom upgrade; interior doors, walls, ceilings; appliances; fences, sidewalks, lighting, building exterior repairs, etc. Backlog of unfunded needs. Scattered Sites being evaluated among ECC/HANH's planning for remaining non-RAD converted properties. $0 spent.

16. **Essex Interior/Building/Site Upgrades**
    - Non-RAD conversion development. Units need kitchen and bathroom upgrade; interior doors, walls, ceilings; appliances; fences, sidewalks, lighting, building exterior repairs, etc. Backlog of unfunded needs. Essex being evaluated among ECC/HANH's planning for remaining non-RAD converted properties. Priority for implementation in FY 2021 is replacing the building envelope: roof, siding, windows, gutters and site fencing. Project in design. $0 spent.

17. **McQueeney Commercial, Common Area Spaces, Floors 1, 2 & 3**
    - Upgrades to offices and common area spaces were not eligible for inclusion in RAD conversion. Contract for second floor Finance area and break room awarded March 2020. Implementation delayed pending COVID safety plan. Substantial completion, October 2020.

Project designed to create greater efficiencies in the Finance Department by including all staff in one area. The Breakroom relocation and resulting upgrade was needed to allow Finance to expand. Project funded solely by MTW funds. Glendower Development Group is overseeing design and construction of remainder of office-common area upgrades. Work expected to commence Fall of 2020. $0 spent.

18. Lead Testing by Certified Inspector/Lead Abatement

- PHAs are mandated to provide lead-safe housing. The Goal was to identify risks to children under six and develop plans for remediation, if required, in properties with construction completion dates from prior to 1900-1978. The overall scope of work throughout the portfolio was budgeted above $1M. ECC/HANH targeted units with the most likely positive readings as the Scattered Site portfolio which has the greatest number of houses built before 1978, the date after which lead was prohibited in residential paint. ECC/HANH received a Lead Paint grant for McConaughy, Essex, Scattered Sites West and Scattered Sites East. Inspections-risk assessments were initiated in FY 2019 and abatement plans developed. Our Agency has focused much effort on youth building. This is all based on a healthy child, which is the goal of this effort. Bids solicited. Responses received January 2020. Responses higher than anticipated. No contract awarded. Re-solicited in May 2020 as RFP for IQC contracts. No award. Limited exterior interim controls were performed at McConaughy as work that could be safely done with social distancing. In consultation with HUD and our environmental consultants, ECC/HANH repackaged abatement documents into multiple groupings and planned for re-solicited quotes and bids in October and November 2020. Expect work to proceed in FY 2021. $61,733.60 spent pre-abatement

The following are agency wide funding projects:

19. Agency Wide Vacancy Reduction

- Funds were allocated for abatement costs and vacancy reduction efforts that may occur during FY 2020. Two vacancy IQC contracts awarded in FY 2020. $89,046.66 spent.

20. Agency Wide Abatement

- Funds were allocated for abatement costs (non-vacancies) that might occur during FY 2020. $5,978.25 spent.

21. Two (2) types of contracts in Architecture Engineering and Environmental indefinite quantity services form the backbone of our Planning & Modernization and Glendower Design team. These contracts provide a stable of consultants without giving up the cost competitive advantage. For each task solicited the full stable of consultants respond with a cost and time sensitive proposal, affording ECC the best candidate.

- **Indefinite Quantity Contract (IQC) Architectural & Engineering Consulting Services** $192,024.68 spent.
- **IQC Environmental Consulting Services** $164,286.55 spent.

22. Administration Salaries & Benefits (CFP only)

- Staff salaries and benefits in support of CFP FY 2020 activities. $307,828.20 spent.

23. CFFP Bond Debt

- ECC/HANH leveraged CFP funds for development of Brookside Phase 1 Rental. Bond Debt is paid from Capital Fund allocations in accordance with HUD repayment schedule. Payments were made in March and in September. $770,562.50 spent

24. RAD Group 2 Development Costs
- CFP 2018 funds budgeted toward Waverly, Stanley Justice and Fulton Park redevelopment. $285,151.00 spent.

25. RAD Group 3 First Year Funding
- CFP 2019 funds budgeted toward McQueeney and Celentano First Year Funding. $365,215.00 spent.

26. RAD Group 4 First Year Funding
- CFP 2020 funds budgeted toward Fairmont and Ruoppolo First Year Funding. Closing postponed until FY 2021. $0 spent.

Long-term outcomes of the FY 2020 work reflected the MTW Short Term Strategic plan goals to further increases in Housing of Choice and Accessibility, to ensure Organizational Sustainability through development of housing through the Glendower Group, Inc. and ensure Cost Effectiveness through reducing Total Development Costs and replacement of obsolete building systems.

ECC/HANH's Reference to most Recent HUD-approved Five-Year Plan: Form 50075.2, FY2020-2024, HUD-approved in EPIC portal 3-11-20.

B. LEASING INFORMATION

A. 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	12,672	10,656	1,056	888
MTW Housing Choice Vouchers (HCV) Utilized	67,584	57,240	5,632	4,770
Local, Non-Traditional: Homeownership	N/A			
Planned/Actual Totals	80,256	67,896	6,688	5,658

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

The planned number of units for LIPH was based on the number of units ECC/HANH expected to have by the end 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 to be removed from LIPH was related to the actual number of development projects. ECC/HANH anticipated having 501 LIPH units convert to RAD of which only 249 converted during the FY.

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	#	#

B. 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	ECC/HANH experienced leasing issues associated with RAD conversions. The Operations team continued to work on prepping vacancies and moving people in while working around the relocation process.
MTW Housing Choice Voucher	HCV did not have leasing issues during FY20 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	4,461	Partially Open	No
MTW Housing Choice Voucher	Program Specific	2,560	Partially Open	No

Please describe any duplication of applicants across waiting lists:

Applicants can apply for more than one program within ECC/HANH. Numbers provided for each waitlist are not duplicated, these are the actual number of applicants for each program.

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 2020				
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%	2,360	42%	10%
2 Person	24%	1,284	23%	-1%
3 Person	20%	969	17%	-3%
4 Person	13%	557	10%	-3%
5 Person	6%	314	6%	0%
6+ Person	5%	174	3%	-2%
TOTAL	**100%**	**5,658**	**100%**	

*** 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:

N/A

i. 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	13	Number of Households to receive zero subsidy at the end of year 6.
Prison Community Reentry	0	Live Independently and be lease compliant[11]
Resident Services Elderly/Disabled	96	Graduation from the Program
	0	***(Households Duplicated Across MTW Activities)***
	109	**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.*

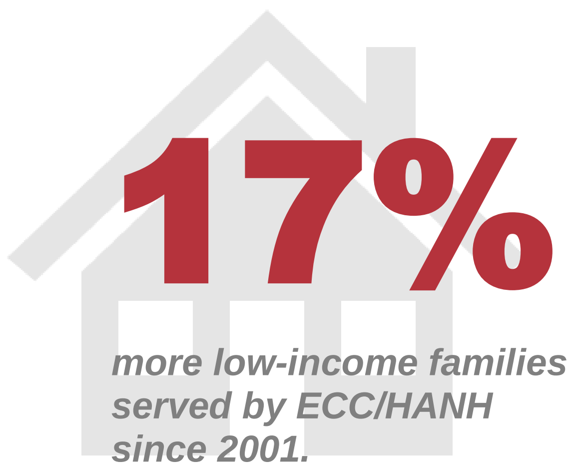
[11] Includes graduates from reentry programs in HCV

Who We Serve

ECC/HANH serves 5,658 families 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 approximately 17% (831 families), indicating that MTW status has allowed ECC/HANH to increase the number of families served.

The vast majority of the families served by ECC/HANH can be categorized as Extremely Low Income (ELI). ELI households make up 84% of LIPH and 77% of HCV families. Households are predominantly composed of 1 to 3 persons, with 13% of LIPH and 69% of HCV households ranging from 1-person to 3-person families. 31% percent of LIPH families and 40% of HCV families earn wages. Only a small percentage of families report no income, accounting for 9% of LIPH and 3% of HCV households. This has not changed significantly over the last year.

A table on the following page summarizes the population demographics.



ECC/HANH Population Demographics -2020					
	LIPH		HCV		Total
Total Households	888	16%	4,770	84%	5,658
Total Individuals	1,980	15%	10,811	85%	12,791
Average Income	$ 14,965.00		$ 17,003.00		
Average TTP	$ 334.00		$ 779.00		
Households with Extremely low income	750	84%	3653	77%	4,403
Households with Very Low income	79	9%	800	17%	879
Households with Low income	15	2%	202	4%	217
Households Above low income	44	5%	115	2%	159
Households with No income	76	9%	143	3%	219
Households with Employment income	750	84%	1,642	34%	2,392
Households with Public Assistance	151	17%	227	5%	378
Households with Social Security	401	45%	2,223	47%	2,624
Households with Other Income	68	8%	569	12%	637
Minority Households	583	66%	2,775	58%	3,358
Non-minority	305	34%	1,995	42%	2,300
Elderly families	210	24%	1,343	28%	1553
Disabled families	476	54%	1,944	41%	2420
1 member	382	43%	1,978	41%	2360
2 members	205	23%	1,079	23%	1284
3 members	141	16%	828	17%	969

4 members	83	9%	474	10%	557
5 members	49	6%	265	6%	314
6 members	13	1%	91	2%	104
7 members	12	1%	33	1%	45
8+ members	3	0%	22	0%	25

Low-Income Public Housing (LIPH)

At the end of FY20, ECC/HANH had a total 1,383 public housing units. This total included:

- 790 site-based family units (41% of LIPH stock)
- 422 elderly/disabled units (8% of LIPH stock)
- 171 scattered site units (10% of LIPH stock)

Of the total LIPH units, post RAD-conversion, 19 units will remain approved as vacancies for units offline. These will be held for the following uses: Officers in Residence, Teachers in Residence, Asset Management offices, Tenant Resident Council offices/food banks.

During FY20, ECC/HANH planned to remove 578 units from the LIPH portfolio. Only 251 were removed. Plans to remove units are still underway and dependent on the redevelopment plans under ECC/HANH's Planning and Development Department and the Glendower group. Although ECC/HANH is decreasing the LIPH stock, it is important to note that the RAD stock has increased. The increase in RAD units means that residents are not losing housing opportunities, and as noted previously, fifteen percent more families are now served through ECC/HANH's affordable housing programs than before ECC/HANH was granted MTW status.

The following table details in the LIPH portfolio at the end of FY20.

Development Name	Development Type	Units beginning FY20	Planned Units to Add	Planned Units to Remove	Actual Units Added	Actual Units Removed	Total units at the end of FY20
Val Macri	Elderly/Disabled	17	0	0	0	0	17
Fairmont Heights	Elderly /Disabled	98	0	98	0	0	98
Crawford Manor	Elderly /Disabled	109	0	0	0	0	109
McQueeney Towers	Elderly /Disabled	150	0	150	0	150	0
Winslow Celentano	Elderly /Disabled	65	0	65	0	65	0
RT Wolfe	Elderly /Disabled	93	0	0	0	0	93
Ruoppolo Manor	Elderly /Disabled	105	0	105	0	0	105
Valley Townhouses	Family	40	0	0	0	0	40
Farnam Courts	Family	92	0	92	0	36	56
Westville Manor	Family	151	0	62	0	0	151

McConaughy Terrace	Family	201	0	0	0	0	201
Quinnipiac Terrace I	Family	58	0	0	0	0	58
Quinnipiac Terrace 2	Family	56	0	0	0	0	56
Quinnipiac Terrace 3	Family	17	0	0	0	0	17
Essex Townhouses	Family	35	0	0	0	0	35
New Rowe	Family	46	0	0	0	0	46
Brookside Phase 1	Family	50	0	0	0	0	50
Brookside Phase II	Family	50	0	0	0	0	50
Rockview Phase 1 Rental	Family	30	0	0	0	0	30
Scattered Site - Multi Family	Scattered Sites	96	0	0	0	0	96
Scattered Site - West	Scattered Sites	23	0	0	0	0	23
Scattered Site - East	Scattered Sites	52	0	6	0	0	52
Total		**1634**	**0**	**578**	**0**	**251**	**1383**

Total Voucher Summary					
MTW Activities Summary	Description	2020 Vouchers	Actual units Removed	Actual units Added	Total Units at end of FY20
MTW Tenant Based Voucher	Portable tenant based assistance	3113	0	326	3439
Expanded Housing Choice	Support mobility and homeownership opportunities for residents	459	0	0	459
PBV Efforts To End Homelessness	Allocation to homeless providers	58	0	0	58
PBV Housing Development	Project Based Voucher Assistance for redevelopment projects	645	0	0	645
RAD	Conversion of LIPH Units to RAD Platform	817	0	0	817
TBV Supportive Housing Efforts	Subsidies for supportive housing efforts	203	0	0	203

MOD Rehab-Single Room Occupancy	80 SRO Units	80	80	0	0
HUD VASH	85 Veterans Supportive Housing	85	0	0	85
TOTALS		**5460**	**80**	**326**	**5706**

Housing Choice Voucher

At the end of FY20, ECC/HANH had a total voucher count of 5,706. During the course of the year, ECC/HANH was able to RAD 249 LIPH units, bringing the total RAD count to 1066. The following table provides breakdown of vouchers by program type below.

Voucher Summary FYE 20					
MTW Activities Summary	Description	2020 Voucher	Actual units Removed	Actual units Added	Total Units at end of FY20
MTW Tenant Based Voucher	Portable tenant based assistance	3113	0	326	3439
Expanded Housing Choice	Support mobility and homeownership opportunities for residents	459	0	0	459
PBV Efforts To End Homelessness	Allocation to homeless providers	58	0	0	58
PBV Housing Development	Project Based Voucher Assistance for redevelopment projects	645	0	0	645
RAD	Conversion of LIPH Units to RAD Platform	817	0	0	817

TBV Supportive Housing Efforts	Subsidies for supportive housing efforts	203	0	0	203
MOD Rehab-Single Room Occupancy	80 SRO Units	80	80	0	0
HUD VASH	85 Veterans Supportive Housing	85	0	0	85
TOTALS		**5460**	**80**	**326**	**5706**
Vouchers by Program Type					
Project-Based Vouchers PBV Efforts to End Homelessness					
Housing Program & Type	**Description**	**Units Beginning FY20**	**Actual units Removed**	**Actual units Added**	**Actual Units at end of FY20**
PBV Fellowship I	100% supportive housing	18	0	0	18
PBV Fellowship II	100% supportive housing	5	0	0	5
PBV Also Cornerstone (CoC)	100% supportive housing	4	0	0	4
PBV Norton Court (CoC)	100% supportive housing	12	0	0	12
PBV Cedar Hill	100% supportive housing	4	0	0	4
PBV West Village	100% supportive housing SRO units (52 Howe St.)	15	0	0	15
PBV Efforts to End Homeless Subtotal		**58**	**0**	**0**	**58**
Project-Based Vouchers PBV Housing Redevelopment					

Housing Program & Type	Description	Units Beginning FY20	Actual units Removed	Actual units Added	Actual Units During FY20
PBV QT Phase 1	81 units 28% PBV units	23	0	0	23
PBV QT Phase 2	79 units 29% PBV units	23	0	0	23
PBV QT Phase 3	33 rental units 48% PBV units	16	0	0	16
PBV Eastview Phase I	102 units 48% PBV units	49	0	0	49
PBV Chatham/Eastview	2 PBV Units	2	0	0	2
PBV Brookside Phase I Rental	100 affordable rental mixed 50% PBV units	51	0	0	51
PBV Brookside Phase 2 Rental	51 PBV for affordable housing for families in 1 to 4-bedroom units	51	0	0	51
PBV Rockview Phase I Rental	47 units for affordable housing 61% PBV units	47	0	0	47
PBV New Rowe Building	104 affordable mixed-use, mixed-finance developments 31% PBV units	32	0	0	32
PBV 122 Wilmot Road	13 PBVs for affordable housing for elderly in 1 and 2-bedroom accessible units	13	0	0	13
PBV Park Ridge	100% elderly/disabled housing	60	0	0	60
PBV Frank Nasti Existing	scattered site PBV – families	11	0	0	11

PBV CUHO Existing	scattered site PBV – families	24	0	0	24
PBV CUHO New Construction	affordable 8-unit rental housing development – families	5	0	0	5
PBV Shartenburg	20 PBV units for City initiative 360 State - families	20	0	0	20
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	20
PBV Mutual Housing Assoc. (Neighborhood Works/New Horizon)	9 MHA PBV units	9	0	0	9
Mutual Housing Existing	15 MHA PBV Units	15	0	0	15
PBV Casa Otonal	12 PBV units	12	0	0	12
PBV Christian Community Action (CCA)		17	0	0	17
Colosseum formerly Live Learn Work Play	PBV for Neighborhood Revitalization	19	0	0	19
Expanded Jurisdiction		19			19
Farnam Relocation		52	0	0	52
Residences at Ninth Square	Support for Redevelopment of 9th Square Development	55	0	0	55
PBV Housing Redevelopment Subtotal		**645**	**0**	**0**	**645**
PBV Subtotal		**703**	**0**	**0**	**703**
Rental Assistance Demonstration (RAD) Conversion					

Housing Program & Type	Description	Units Beginning FY20	Actual units Removed	Actual units Added	Actual Units at end of FY20
RAD 122 Wilmot Road	34 PBV/RAD	34	0	0	34
RAD Eastview Phase I	102 units – 48% PBV units; remaining 53 ACC units converted to RAD PBV	53	0	0	53
RAD Ribicoff (Twin Brook)– 9%	44 RAD units – 80% PBV units; 11 market-rate units	44	0	0	44
RAD Ribicoff (Twin Brook) -4%	51 units RAD units	51	0	0	51
RAD Fair Haven/ Farnam	55 units of RAD converted ACC units and 2 PBVs	55	0	0	55
RAD Monterey Place- Edith B Johnson	95 units of RAD converted ACC units	95	0	0	95
RAD Monterey Place- William Griffin	4 units of RAD converted ACC units	4	0	0	4
RAD Monterey Place 1	42 units of RAD converted ACC units	42	0	0	42
RAD Monterey Place 2	7 units of RAD converted ACC units	7	0	0	7
RAD Monterey Place 3	45 units of RAD converted ACC units	45	0	0	45
RAD Monterey Place 4	42 units of RAD converted ACC units	42	0	0	42
RAD Monterey Place 5	17 units of RAD converted ACC units	17	0	0	17
RAD Monterey Place 2R	28 units of RAD converted ACC units	28	0	0	28

RAD McQueeney Towers	150 units of converted ACC units	0	0	149	149
RAD Fairmont Heights	98 units of converted ACC units	0	0	0	0
RAD Matthew Ruoppolo Manor	105 units of converted ACC units	0	0	0	0
RAD Winslow Celentano	65 units of converted ACC units	0	0	64	64
RAD Robert T. Wolfe	93 units of converted ACC units	0	0	0	0
RAD Prescott Bush	56 units of converted ACC units	56	0	0	56
RAD Waverly 51 Townhouses	52 units of converted ACC	51	0	0	51
RAD Valley Townhouses	40 units of converted ACC	0	0	0	0
RAD CB Motley	45 units of converted ACC	45	0	0	45
RAD Newhall Gardens	26 units of converted ACC	26	0	0	26
RAD Katherine Harvey Terrace	17 units of converted ACC	17	0	0	17
RAD Fulton Park	12 units of converted ACC	12	0	0	12
RAD Chamberlain Court (Justice Landing)	7 units of converted ACC	7	0	0	7
RAD Westville Manor	62 units of converted ACC	0	0	0	0
RAD Farnam Onsite I	86 units of converted ACC	86	0	0	86
RAD Farnam Onsite 2A	92 units of converted ACC	0	0	36	36
RAD Conversion Subtotal		**817**	**0**	**249**	**1066**
	PBV + RAD Subtotal	**1520**	**0**	**249**	**1769**
Tenant-Based Vouchers TBV Supportive Housing Efforts					

Housing Program & Type	Description	Units Beginning FY20	Actual units Removed	Actual Units to be Added	Actual units at end of FY20
Tenant Based DHMAS Supportive – Housing First	supportive housing	10	0	0	10
DMHAS Mental Health Transformation Grant – FUSE	supportive housing	10	0	0	10
Family Options – Homeless	supportive housing	15	0	0	15
Permanent Enrichment	supportive housing	10	0	0	10
Foreclosure Prevention	foreclosure prevention	17	2	0	15
Family Unification Supportive Housing	DCF Family	20	0	0	20
Homelessness/Imminent Danger of Homelessness	formerly foreclosure PBV	40	0	0	40
Supportive Housing/Homelessness Prevention l	supportive housing/homelessness prevention	51	0	0	51
Project Longevity	20 vouchers for City initiative targeting homeless former offenders	20	0	0	20
Re-entry Fresh Start	10 vouchers for re-entry applicants through City Fresh Start	10	0	0	10
Supportive Housing Efforts Subtotal		**203**	**2**	**0**	**201**
Tenant-Based Vouchers (continued)					

Housing Program & Type	Description	Units Beginning FY20	Actual units Removed	Actual units Added	Actual units at end of FY20
Tenant Based Vouchers (not assigned to special use)		3113	0	326	3439
Expanding Housing Choice					
CARES (SEHOP)	5 vouchers set aside for CARES participants	5	0	0	5
Section Eight Home Ownership Program (SEHOP)	50 vouchers set aside for LIPH & HCV Homeownership Program	60	0	0	60
West Rock Homeownership Phase 1	5 new homeownership units	0	0	0	0
RAD IIA Relocation Vouchers		70			
RAD IIB Relocation Vouchers		32			
Tenant Protection Vouchers for Church St. South	266 vouchers for CSS dislocated residents	242	242	0	0
State and Local Initiatives vouchers to support housing choice and preservation	new activity: 50 vouchers	50	0	0	50
Expanding Housing Choice Subtotal		**459**	**242**	**0**	**217**
Tenant-Based Vouchers Subtotal		**3,775**	**244**	**326**	**3,857**
PBV+RAD+TBV MTW Subtotal		**5,295**	**244**	**575**	**5,626**
Non MTW VASH and SRO Vouchers					
Housing Program & Type	**Description**	**Units Beginning FY20**	**Actual units Removed**	**Actual units Added**	**Actual units at end of FY20**
Non-MTW VASH		85	0	0	85
Non-MTW SRO		80	80	0	0

IV. Approved MTW Activities

ONGOING ACTIVITIES

Initiative 1.2 – Local Total Development Cost (TDC) Limits

Approved in FY09 and implemented in FY10.

Cost Effective

Housing Choice

Description and Status

This initiative was approved in FY08 and implemented in FY09. This activity establishes Total Development Costs (TDC) and Housing Construction Costs (HCC) for ECC/HANH that are separate from HUD's standard limits, to better reflect local real estate market conditions. ECC/HANH has determined that HUD's standard TDC and HCC limits do not reflect the local marketplace conditions for development and redevelopment activities for New Haven based on two factors: location and design standards.

Location: HUD's TDC and HCC cost limit reflects a national industry average. However, construction costs in New Haven, with its proximity to the New York City construction market, are higher than the national average. Although higher costs can be challenging to accommodate, ECC/HANH uses higher quality building products to:

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

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. The alternate HCC and TDC uses 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 further confirmed that New Haven MSA construction costs are on par with those of Fairfield County (in Connecticut), like that of the New York City market. Given these costs, the data showed that it is necessary to use an alternate HCC and TDC. ECC/HANH used the approved FY09 TDC and HCC limits for the Rockview Phase I Redevelopment. During FY12, ECC/HANH submitted revised TDC and HCC limits.

Design Standards: ECC/HANH's design standards include higher quality materials for long-term viability and durability. Using higher quality materials for development and redevelopment activities results in higher construction costs but also increases the quality, marketability, and sustainability of units, improves energy efficiency, and reduces the number of requests for emergency work orders. By using higher quality materials, ECC/HANH also anticipates faster lease ups and fewer unit turnovers.

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 (limited to de minimus reduction)	2020: 1,383 units 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 being converted to RAD, therefore the benchmark was updated accordingly.

Internal Metric #6: Utility Expense Per Unit ****				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Reduction of utility expenses per unit, pre and post redevelopment – Electric	Valley Waverly: $900 per unit/ per month in 2012	5% reduction; Electric utility expenses would reach approximately $858.33 per unit	Refer to Appendix 10, Electricity Utility Costs Per Unit Per Month.	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	Refer to Appendix 10, Gas Utility Costs Per Unit Per Month.	Yes

TOTAL DEVELOPMENT COST BY DEVELOPMENT AND UNIT										
Development Name	Year Converted	LIPH Units	PBV Units	Total # of Assisted Units	# of Market Rate Units	Total # of Units	HUD TDC (2013) ~	ECC HANH TDC ~	TDC	TDC Per Unit
Eastview Terrace Phase 1	2009	53	49	102	0	102	$259,210	$351,621	$32,289,891	$316,567.56
Quinnipiac Terrace 3	2010	17	16	33	0	33	$259,210	$351,621	$9,384,480	$284,378.18
William T. Rowe	2010	46	32	78	26	104	$313,133	$428,328	$24,987,375	$240,263.22
Brookside Phase I	2011	50	50	100	0	100	$259,210	$351,621	$30,198,639	$301,986.39
Brookside Phase II	2012	50	51	101	0	101	$259,210	$351,621	$20,014,054	$198,158.95
Wilmot Crossing	2012	0	47	47	0	47	$313,133	$428,328	$13,109,292	$278,921.11
Rockview Phase I	2013	30	47	77	0	77	$259,210	$351,621	$21,790,445	$282,992.79
Ribicoff 9%	2014	0	44	44	11	55	$313,133	$428,328	$14,517,329	$263,951.44
Ribicoff 4%	2014	0	51	51	0	51	$259,210	$351,621	$13,457,150	$263,865.69
Farnam Courts-Fair Haven	2015	0	57	57	0	57	$259,210	$351,621	$19,203,991	$336,912.12
Farnam Court Phase I onsite	2016	0	86	86	8	94	$313,133	$428,328	$27,436,148	$291,873.91
Rockview Phase 2**	2019	0	62	62	16	78	$298,901	$405,464	$22,736,473	$291,493.24
Farnam Courts-Phase 2*	2020	0	88	88	23	111	$259,210	$351,621	$33,394,964	$300,855.53
Westville Manor*	TBD	0	87	87	22	109	$313,133	$405,464	$41,420,000	$380,000.00
Total		360	856	1216	45	1261				

*- Proposed, ** Under Construction, ~2013 TDC used for 3-bedroom

Impact

ECC/HANH's MTW flexibility has allowed for an extensive redevelopment approach that has utilized the alternative TDC initiative to support the design and development of quality, energy efficient housing of choice that meets market demand and local standards. This is bolstered by the critical flexibility provided by the initiative, including the ability to leverage non-MTW funds through applications for competitive funding rounds. Each of the properties identified above included LIHTC that in turn allowed for the leverage of private financing. Of the past 14 redevelopments, 8 of 14 required use of the local TDC. TDCs ranges from $198k to $380k per unit. Those that exceed HUD TDC limits exceeded by between $4700 and $78k. At no time did we exceed the HUD approved alternate TDC limits.

During FY19 the local TDCs were used as follows. ECC/HANH received all necessary funding commitments to proceed to the completion of Farnam Phase 2. Phase 2 will be bifurcated into a 4% LIHTC phase (45 total units, including 36 RAD units) and a 9% LIHTC Phase (66 total units, including 51 RAD units). ECC/HANH was successful in obtaining both 4% and 9% LIHTC through the Connecticut Department of Housing Competitive Housing Assistance for Multifamily Properties (CHAMP) funding round. ECC/HANH's 9% LIHTC application was also the highest scoring application under the CHAMP 9% LIHTC public housing set-aside. It is anticipated that both projects will begin construction during FY20. Ultimately, the TDC initiative allowed ECC/HANH to best structure these applications for very competitive state funding. The success of these applications demonstrates that this initiative provides the opportunities necessary to obtain redevelopment funding.

The ability to use TDCs that represent the local cost of construction provides for: increased housing quality, more marketable units, a reduction in maintenance cost, and enhanced housing choice and quality of life for residents. Without TDC schedule limits, ECC/HANH would not otherwise be able to redevelop quality sustainable affordable housing due to high construction costs in the area. Although the higher TDC limits enable the construction of high-quality housing, this flexibility does not require the expenditure of higher MTW assistance. As is demonstrated in the leveraged funds chart (see Initiative 1.12) the funds leveraged through MTW range from a ratio of 3:1 to as high as 18:1. ECC/HANH has accomplished this leverage through an ambitious and rigorous process to assure that all non-MTW resources are leveraged to the greatest extent possible.

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 was developed as of FY16 (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. CC/HANH anticipates changing the metrics to further detail the impact of this initiative. In the FY19 plan, ECC/HANH proposed to update the baseline for HC#2 to include the total number for units at sites developed. ECC/HANH also proposed to remove the CE #4 Increase in Resources Leveraged. This metric has since been removed.

In addition, the internal metrics #2 have been reevaluated in comparison with the rest of portfolio. The following internal metrics (#2 REAC and #3 Average Work Order) will be featured in the Appendix, as there are several other initiatives who report on the same data. This will minimize the number of repeated tables throughout the document. Internal metric #6 has also been moved to the appendix, and internal metrics #7 and #8 have been discontinued.

During FY20, thirty-six units at Farnam Courts closed. The final 52 units closed in December of 2020 (FY21). This initiative meets the statutory objectives of cost effectiveness and increasing housing choice.

Redevelopment Metrics				
Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for ECC/HANH's developments (those reflecting alternate TDCs)	10% increase. REAC scores would reach 88.	Refer to Appendix 8: ECC/HANH Development REAC Scores for specific data points.	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	Refer to Appendix 9: Work Orders, FY09 to FY19 for specific data points.	Yes

Challenges or Changes

There were no challenges or changes for FY20.

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. Recipients of PBV program assistance must be:

- a very low-income family.
- a family previously assisted under this title.
- a low-income family that meets eligibility criteria specified by the public housing agency.
- 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

- 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.

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

- No less than 40 percent of the project-based vouchers awarded in any year to be awarded to families with incomes at or below 30 percent of the Area Median Income (AMI), adjusted for family size.

- ECC/HANH will award up to 15 percent of the PBV's allocated for any mixed finance project to families with incomes between 50 and 80 percent of AMI for Brookside Phase 1 Rental.

- 45 percent of PBV may be allocated to families with income between 50 and 80 percent AMI for Brookside Phase 2 Rental mixed finance development.

This initiative includes the 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	20	45%	13	30%	11	25%	50
Brookside II	15	36%	19	45%	8	19%	51
Rockview	16	36%	20	45%	8	18%	47
Total	**51**	**39%**	**52**	**40%**	**27**	**21%**	**148**

Impact

Since its implementation in FY13, this initiative has been expected to both increase housing choice and cost effectiveness at the three developments listed above: Brookside I, Brookside II, and Rockview.

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	2019: 1,383 units 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

Internal Metrics

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.	2020: • 0% of new PBV households at Brookside Phase I families were at or below the 30% AMI. • 45% of all households are at or below 30% AMI. • 0% of new PBV households at Brookside Phase II were at or below 30% AMI. • 36% of all households are at or below 30% AMI. • 39% of families in applicable developments have incomes below 30% AMI (see above Income Eligibility table for more information) 2019: • 0% of new PBV households at Brookside Phase I families were at or below the 30% AMI. • 45% of all households are at or below 30% AMI. • 0% of new PBV households at Brookside Phase II were at or below 30% AMI. • 36% of all households are at or below 30% AMI. • 39% of families in applicable developments have incomes below 30% AMI (see above Income Eligibility table for more information)	Partial

			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	

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	2020: • 100% of new PBV households at Brookside Phase I families were between 50% & 80% AMI. • 25% of total households were between the 50% to 80% AMI. • 100% of new PBV households at Brookside Phase II were between 50% & 80% AMI. • 19% of total households were between the 50% & 80% AMI. • 21% of families in applicable developments have incomes between 50% & 80% AMI. 2019: • 100% of new PBV households at Brookside Phase I families were between 50% & 80% AMI. • 25% of total households were between the 50% to 80% AMI. • 100% of new PBV households at Brookside Phase II were between 50% & 80% AMI. • 19% of total households were between the 50% & 80% AMI. • 21% of families in applicable developments have incomes between 50% & 80% AMI. 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 2017: • 15% of families in Brookside Phase I have incomes above 50% AMI	Partial

			• 41% of families in Brookside Phase II have incomes above 50% AMI • 20% of families in applicable developments have incomes above 50% AMI 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 (see above Income Eligibility table for more information)	

Challenges or Changes

There were no challenges or changes for FY20

In the 2019 plan, ECC/HANH proposed to discontinue CE #4, Increasing leveraged funds is not a goal of this initiative. Rather, this initiative aims to decrease maintenance costs and increase durability of units and the quality of life of residents. This initiative meets the statutory objectives of cost effectiveness and increasing housing choice.

Initiative – 1.6 Deconcentration of Poverty (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. This authority is granted for the purposes of creating a successful program with stable landlords, high-quality properties, and mixed-income neighborhoods. This 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. To quality, a rental unit must meet one of the following criteria:

- wheelchair accessible
- large bedroom size (4 bedrooms or larger)
- located in a neighborhood with low concentrations of poverty
- located in new development projects that include significant public investment to promote neighborhood revitalization
- located in mixed-income housing that promotes 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% of Fair Market Rent 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.

Impact

The Deconcentration initiative expands housing choice for low-income families that would have difficulty accessing housing without the use of a housing voucher in "non-impacted areas." Non-impacted areas are also referred to as "neighborhoods of choice," characterized by a low concentration of poverty.

Currently 218 HCV participants have leased up in non-impacted neighborhoods in New Haven, representing five percent of the 4,796 TBV/PBV in New Haven.

In FY20, 71 families participated in mobility counseling services. A total of 21 families lease up utilizing mobility counseling services. Of these lease-ups, none were in a non-impacted neighborhood. ECC/HANH recognizes the continued challenge of helping families to lease in non-impacted areas and will address this in FY21. 13 HCV participants moved into areas of lower poverty for FY20.

ECC/HANH continues to share information and resources on choice mobility with participants in the Housing Choice Voucher program. During HCV briefings, families are advised of opportunities to move to non-impacted neighborhoods, including porting to another jurisdiction or looking for housing in areas in which they have shown an interest in living. During the HCV briefing, a handout is provided, and participants are referred to mobility counseling services, provided by contracted realtor, for assistance in their search for housing in non-impacted areas as well as to assist HCV participants in finding accessible units. Property owners with apartments in non-impacted areas are also encouraged to advertise their units in the ECC/HANH apartment listing. During FY20 a group of ECC/HANH staff met monthly to review the program, marketing efforts and procedures. As result, during FY21 the added items to this initiative will take effect, and the program will be closely monitored for the first 6 months to a year, by the committee in efforts to assure that the program continues to run as intended.

With an average household income of $17,591, families who live in non-impacted areas have a three percent higher income as compared to the entire ECC/HANH HCV-assisted population, at $17,030. Because families that reside in non-impacted neighborhoods have higher household incomes on average, 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 ($1,251) is one percent higher than average contract rents in areas outside of non-impacted neighborhoods ($1,233).

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	2020-13 2019: 18 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**	2020-0 2019: 0 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***	2020-0 2019: 0 2018: 0 2017: 2 2016: 2 2015: 1 2014: 2 2013: 0 2012: 0 2011: 0 2010: 1 2009: 2	No

** 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*

Challenges or Changes

No significant changes in FY20

Despite the availability of mobility counseling services, many families have not chosen to relocate to low poverty or non-impacted areas. Additionally, ECC/HANH was not tracking port out to other areas of high or very high opportunity. With new data, we will be able to track if families are moving to other areas of opportunity.

Some of the challenges that families face when considered a move to a non-impacted area include lack of access to transportation and child care options, or insufficient funds to use for application fees and security deposits. In response to these challenges, for FY21, ECC/HANH anticipates the following enhancements to the Deconcentration initiative, enabled through the MTW status:

- Mobility Counseling offered through the Glendower Group with a focus on educating and incentivizing families on rental options in non-impacted areas
- Application fee assistance (paid for up to 3 applications with an anticipated cost of $30 per application or $90 per family)
- Security deposit assistance (up to one month of contract rent or assistance with payment of past utility debts that would prevent a family from securing utilities in their own name, up to the voucher payment standard for family size)
- Incentive fee for new property owners participating in HCV (based on census tract and size of the unit)
- Incentive fee for property owners in the HAP contract length ((for PBV units-subject to availability, fees based on the number of years agreed to in the HAP Contract, with up to $2200 for five to nine years, and up to $3300 for 10 or more years)

A more detailed outline of updates to this initiative can be found in the FY20 plan.

In the 2019 Plan, ECC/HANH noted that HC#5 would be reviewed to determine continued use during FY19. Although no changes to the metrics have been made, ECC/HANH continues to review the metrics and plans to update them in the coming plan or reports. This initiative meets the statutory objective of increasing housing choice.

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

Approved in FY10 and implemented in FY11.

Housing Choice

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, Continuum of Care agencies (COC), shelters, regional entities, and transitional and permanent housing providers to identify chronically homeless individuals and families who could be served by the ECC/HANH voucher program. Additionally, 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.

ECC/HANH has entered a Memoranda of Understanding (MOU) with community organizations that provide housing and supportive services to homeless individuals and families. 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 beginning of FY20, ECC/HANH had 186 tenant-based vouchers allocated to serve individuals that meet one or more of the following criteria.

- chronically homeless individuals
- formerly incarcerated individuals
- homeless families

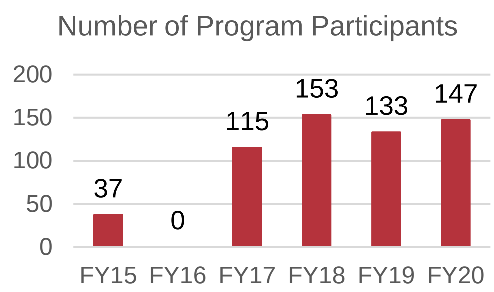
  families receiving services from Child Protective Services

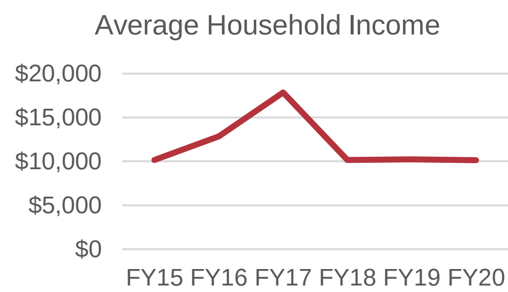
The chart below details ECC/HANH's use of housing vouchers to end homelessness in New Haven.

TBV Supportive Housing Efforts	Description	2019 Voucher Baseline	Planned Units to be Removed	Actual Units Removed	Planned Units to be Added	Actual Units Added	Actual Units at end of FY 2019	Actual Number of Vouchers Utilized	Percentage of Vouchers Utilized
Tenant Based DHMAS Supportive – Housing First	Supportive Housing	10	0	0	0	0	**10**	9	90%
DMHAS Mental Health Transformation Grant – FUSE	Supportive Housing	10	0	0	0	0	**10**	7	70%
Family Options – Homeless	Supportive Housing	15	0	0	0	0	**15**	9	60%
Permanent Enrichment	Supportive Housing	10	0	0	0	0	**10**	8	80%
Family Unification Supportive	DCF Family	20	0	0	0	0	**20**	14	70%
Homelessness/Imminent Danger of Homelessness	(Formerly Foreclosure PBV)	40	0	4	0	0	**40**	32	80%
Supportive Housing/Homelessness Prevention l	Supportive Housing/Homelessness Prevention	51	0	4	0	0	**51**	41	83%
Project Longevity	20 vouchers for city initiative targeting homeless	20	0	0	0	0	**20**	18	90%
Re-entry Fresh Start	10 vouchers for re-entry applicants through City	10	0	0	0	0	**10**	9	90%
Supportive Housing Efforts Subtotal		**186**	**0**	**0**	**0**	**0**	**186**	147	**79%**

Impact

This initiative expands housing services to one of the most vulnerable populations served by ECC/HANH. 147 homeless families are currently being housed ,27 are formerly incarcerated individuals, engaged with Project Longevity (18) and Fresh Start (9)Although the data does not show that we are making much progress in improving self-sufficiency, ECC/HANH is finding ways to connect each individual to self-sufficiency services with the Community and Economic Development (CED) Department The average income is still in the Extremely Low category listed at $10,136. showing a 33% increase in participation from FY19 to FY20





Although these families are receiving supportive services from the Agencies that referred them, ECC/HANH should be offering additional supportive families to these families to assist with their self-sufficiency. Services such as job skills training, financial literacy, educational goals. These families are a group that attention should be paid to. The initiative should be tweaked to include self-sufficiency to strengthen the success of this initiative. There are also vouchers allocate but not utilized and ECC/HANH will be considering the many requests from area Agencies for additional vouchers to assist more individuals and families. Out of the 186 vouchers allocated, 147 are utilized (79%) utilization.

ECC/HANH's initiative to engage area Agencies that provide supportive services to individuals and families who are near homelessness or chronologically homeless on a path to stability and self-sufficiency is making an important and impactful. Studies show that the one of the major obstacles to self-sufficiency is access to decent and affordable homes for families. As ECC/HANH continues to assist these individuals and families, our secondary focus will be assisting them in obtaining self-sufficiency so they can move on and voucher can be available for others who are in need.

There still is a need for a collaboration between ECC/HANH and the various agencies which work with the homeless population. The Greater New Haven Coordinated Access Network was awarded ten additional vouchers from the unallocated pool of vouchers for the homeless. This agency has submitted ten applicants for these vouchers. Eight of these new applicants leased up in the last quarter of 2020.

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	2020: $10,136 2019: $10,147 2018: $10,164 2017: $17,852 2016: $12,854 2015: $10,145 2014: $12,599	No
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	2020: 100% 2019: 100% 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	2020: 1 2019: 25 2018: 30 2017: 56 2016: 42 2015: 14 2014: 7 2013: 5 2012: 10 2011: 7	Yes

Challenges or Changes

No changes in FY20.

Although the program achieves the goal of providing stable housing to individuals and families experiencing homelessness, there continues to be a need for vouchers for the homeless population. In response, ECC/HANH is forming additional partnerships with homeless advocates.

Helping families to increase income is also proving to be a challenge. ECC/HANH is in the process of engaging the staff at partner organizations associated with this program and the individuals and families receiving vouchers in order to connect them to additional self-sufficiency activities geared toward helping work-able families increase household income. ECC/HANH is also looking how best to assist the Elderly/Disabled families participating in this program, as increasing income is not necessarily a relevant goal for families who are on fixed incomes. Rather, assisting families with living independently, accessing programs and resources, and remaining stably housed.

ECC/HANH does not anticipate any changes to this initiative or metrics in FY20 but will review the possibility of adding additional internal metrics in coming plans and reports to better tell the story of self-sufficiency for Elderly/Disabled families. This initiative meets the statutory objective of increasing housing choice.

Initiative 1.8 – Farnam Courts Transformation Plan

Approved in FY11 and implemented in FY12.

Housing Choice

Description and Status

As part of the transformation plan, ECC/HANH is proposing not only the redevelopment of the housing units at Farnam Court, but also the transformation of the surrounding community. The Farnam Court transformation is intended to build a community that supports the long-term economic sustainability of ECC/HANH residents and promotes economic development along the Grand Avenue and Mill River corridor. Ultimately, the project will reconnect the Farnam Court neighborhood with the Grand Ave corridor, the vital Downtown and Wooster Square neighborhood, and the Mill River neighborhood, an area with job opportunities.

The development's current design is energy inefficient, has substandard urban design standards, and has contributed to ongoing crime issues in the area. Farnam Court is surrounded by areas that are thriving or undergoing transformation. The redesign of this property can better link the development to its surroundings, helping to create access and opportunity for residents. Farnam Court has been approved for conversion of the ACC units under the Rental Assistance Demonstration Program award.

Through collaboration with other community partners, including the City of New Haven, the Economic Development Corporation, the Board of Education, the Authority anticipates many critical changes to the development. The Authority has conducted a community planning process regarding the redevelopment of this obsolete 240-unit housing development. Following this engagement, ECC/HANH plans to: redesign the infrastructure to create more traffic flow through the community, redesign the housing units to be more spacious, introduce market rate units, and remove social and economic barriers that individuals and families are facing by providing supportive services and creating accessing to opportunities. New opportunities may include improved access to jobs, high quality early learning programs, public assets, public transportation, and high-quality public schools and education programs.

Farnam Courts Transformation will replace 240 units of housing originally built in the 1940s and most recently improved in the 1980s. The redevelopment will occur in phases resulting in 228 replacement units and additional market rate units. The redevelopment includes new roads, streets, infrastructure, and utilities funded through a $8 million capital investment from the City of New Haven.

This initiative will involve multiple development sites and phases:

- <u>Farnam offsite – Fair Haven</u> consists of 57 units financed through 9% Low-Income Housing Tax Credits. The 57 units exist on two sites located in the Fair Haven neighborhood, an area undergoing significant reinvestment. The Chatham site includes 32 assisted units through the Rental Assistance Demonstration (RAD) program. The Eastview Terrace Phase II site includes 23 RAD assisted units and two Project Based Assisted units. This development is completed and fully occupied.
- <u>Farnam Court Phase I – onsite</u> will involve the demolition of 148 units. These will be replaced with two mid-rise 5 story buildings housing 94 units (86 PBV assisted and 8 market rate units) situated on 1.1 acres. These buildings will also house 7,400 square feet of commercial and community/program space. The community space will support a comprehensive economic self-sufficiency program. This project is financed through LIHTC 4% Bonds, a $4 million Connecticut CHAMP award, HUD MTW flexible funds, City of New Haven capital dollars, and private equity. This development is completed and fully occupied.
- <u>Farnam Court Phase II- on site</u> will include the demolition of the remaining 92 units and construction of 111 units (87 RAD assisted and 24 market rate units) and a 3,600 square foot community center and park.

Under ECC/HANH's MTW Agreement with HUD, ECC/HANH is authorized to develop its own Leased Housing Program through exceptions to the standard HCV program. ECC/HANH will apply local TDC design standards, PBV income tiering, and MTW Rent Standards that allow ECC/HANH to approve exception rents. Under no circumstances may ECC/HANH approve an MTW Rent Standard above 150% FMR 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.

The following actions have been completed to date:

- <u>Farnam Offsite Completed</u> – Fair Haven consists of 57 units financed through 9% Low Income Housing Tax Credits. The 57 units exists on two sites located in the Fair Haven neighborhood, an area undergoing significant re-investment. The Chatham site includes 32 assisted units (Rental Assistance Demonstration Program). The Eastview Terrace Phase II site includes 23 RAD assisted units and two Project Based Assisted units. This development is completed and fully occupied.

- Farnam Court Phase I Completed – The first on-site phase included the demolition of 148 units. These where be replaced with 2 mid-rise 5 story buildings housing 94 units --86 assisted and 8 market rate units situated on 1.1 acres. Additionally, these buildings house 7,400 square feet of commercial and community/program space. The community space will support 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. This development is completed and fully occupied.

During FY19, ECC/HANH received all necessary funding commitments to proceed to the completion of Phase 2. Phase 2 will be bifurcated into a 4% LIHTC phase (45 total units, including 36 RAD units) and a 9% LIHTC Phase (66 total units, including 51 RAD units). ECC/HANH was successful in obtaining both 4% and 9% LIHTC through the Connecticut Department of Housing Competitive Housing Assistance for Multifamily Properties (CHAMP) funding round. ECC/HANH's 9% LIHTC application was also the highest scoring application under the CHAMP 9% LIHTC public housing set-aside. It is anticipated that both projects will begin construction during FY20. The Phase 2 9% LIHTC phase will also include the construction of a community building and public park.

The impact of the completed project is expected to promote housing choice for low-income families by increasing occupancy, reducing density, creating a more marketable and sustainable housing development, reducing crime, and stimulating economic development of the surrounding neighborhood with new businesses and a renewed sense of community. All these factors are expected to improve the quality of life for current and future residents. Additionally, with a transformed place to call home, ECC/HANH anticipates an increase in participation in self-sufficiency programs, an increase that has been observed at other redevelopment efforts within the ECC/HANH portfolio.

This initiative will result in the replacement of an aging and economically disadvantaged housing development with a resident-oriented, mixed-income, and mixed-use community, achieving the initiative's goal to transform an obsolete and unsustainable housing complex. The vibrant mixed-income, mixed-use development will maintain affordable housing opportunities for residents and offer new amenities through the creation of a central park with a community building. Through the combination of additional initiatives including TDC and the replacement of public housing units with MTW block grant funds, the Farnam Courts Transformation initiative demonstrates how MTW flexibility provides synergistic opportunities to meet initiative goals.

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)	Yes, redevelopment efforts on target for completion

			87 RAD units pending financial closing at Farnam Courts Phase 2A and 2B	

Internal Metrics

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
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 2016: 1 major crimes	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.*

Challenges or Changes

No changes in FY20

All benchmarks were achieved, and no changes were made to this activity. ECC/HANH does anticipate changes to the metrics to remove REAC Scores and replace with the Number of Work Orders and Emergency Work Orders. This initiative meets the statutory objective of increasing housing choice. See appendix for Work order data.

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

Housing Choice

Approved in FY13 and implemented in FY14.

Description and Status

This initiative continues redevelopment efforts of underperforming public housing assets and increases housing choices for residents. The authority allows ECC/HANH to use up to 25% of 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 adoption 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 12%, equivalent to a total of 680 vouchers.[12]

Impact

During FY14, ECC/HANH project-based 14% of its budgeted voucher authority. During FY15, ECC/HANH closed on Ribicoff 9% and Ribicoff 4%. During FY16, ECC/HANH closed on Fair Haven and Farnam Phase I. During FY19, ECC/HANH closed on 70 units for RAD II (Waverly, Fulton Park, and Stanley Justice) and closed on 249 units during FY2020. ECC/HANH's total voucher authority at the end of FY20 is 5,706.

This initiative allows ECC/HANH to support its continued mission to increase housing choice and to address the redevelopment needs of certain projects. During FY19, ECC/HANH preserved an additional 70 units for households at or below 80% AMI under the RAD program 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	2019: 1,383 LIPH units 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	Yes

[12] *FY19 HANH divided the total number of Project Based Vouchers into the Total Voucher Authorization to come up with the percentage of Non-RAD PBV units (680/5,544).*

			2015: 7.5	
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 ECC/HANH percentage of PBV/HCV**	11% (FY13)	25%	2019: 12% 2018: 11% 2017: 11% 2016: 18% 2014: 14%	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.

** *ECC/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%

Challenges or Changes

No changes in FY20.

With the RAD portfolio award, ECC/HANH expects that percentage to increase to 32% of the portfolio during FY20 and FY21, however, the percentage of non-RAD PBV units will not exceed 25%. ECC/HANH does not anticipate any changes to the initiative or metrics and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing housing choice.

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

Approved in FY13 and implemented in FY14.

Housing Choice

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 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. With the absence of HOPE 6, Choice Neighborhoods, or other similar funding authority, MTW flexibility has proven an invaluable tool in the ongoing replacement of obsolete public housing units. MTW flexibility has allowed ECC/HANH to undertake the large-scale redevelopments identified below by providing capital funding as well as RAD PBV overhang funding. This infusion of MTW funds allows us to structure funding proposals that maximize non-MTW funds to the greatest extent possible. ECC/HANH is committed to maximizing all non-MTW funding sources for every development activity. ECC/HANH's three most recent redevelopment projects, Rockview

Phase 2, Farnam Phase 2, and Valley Street all include highly competitive 9% Low Income Housing Tax Credits made possible by the infusion of MTW funds.

The infusion of MTW funds through capital or PBV overhang is necessary due to the extraordinary costs related to these redevelopment activities. Redevelopment activities necessitate the demolition of all existing buildings, abatement of hazardous materials, soil remediation and often completely reconstructed infrastructure. In addition to new water, sewer, and storm water service, new roadways will need to be constructed. As traditional sources have decreased, MTW funding allows us to successfully compete for third party funds while also assuring that construction is completed using high-quality, sustainable, and energy efficient design. The following table illustrates how ECC/HANH has maximized the use of MTW funds over time. MTW leverage ranges from 3-1 to over 10-1. These 14 projects have a combined overall development cost of $482 million with an MTW infusion of $75.6MM, for a leveraged amount of $407 million.

Development Name	Year Converted	LIPH Units	PBV Units	Total # of Assisted Units	# of Market Rate Units	Total # of Units	Overall Development Costs	MTW Share	MTW Per Unit	MTW Leverage
Eastview Terrace Phase 1	2009	53	49	102	0	102	$43,110,362	$3,591,481	$35,210.60	12
Quinnipiac Terrace 3	2010	17	16	33	0	33	$15,013,613	$836,120	$25,336.97	18
William T. Rowe	2010	46	32	78	26	104	$40,710,905	$7,907,927	$76,037.76	5
Brookside Phase I	2011	50	50	100	0	100	$40,618,730	$6,625,828	$66,258.28	6
Brook. Phase II	2012	50	51	101	0	101	$29,798,133	$1,633,849	$16,176.72	18
Wilmot Crossing	2012	0	47	47	0	47	$18,806,305	$1,626,517	$34,606.74	12
Rockview Phase I	2013	30	47	77	0	77	$33,407,238	$5,791,932	$75,219.90	6
Ribicoff 9%	2014	0	44	44	11	55	$22,469,185	$4,075,502	$74,100.04	6
Ribicoff 4%	2014	0	51	51	0	51	$21,551,269	$10,101,565	$198,069.90	2
Farnam Courts-Fair Haven	2015	0	57	57	0	57	$29,814,177	$6,895,829	$120,979.46	4
Farnam Court Phase I onsite	2016	0	86	86	8	94	$42,410,000	$13,511,025	$143,734.31	3
Rockview Phase 2**	2019	0	62	62	16	78	$34,047,566	$2,635,483	$33,788.24	13
Farnam Courts-Phase 2*	2020	0	88	88	23	111	$53,309,246	$3,720,000	$33,513.51	14
Westville Manor*	TBD	0	87	87	22	109	$57,661,000	$6,742,000	$61,853.21	9
Total		**360**	**856**	**1216**	**45**	**1261**	**$482,727,729**	**$75,695,058**		

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. We've continued this process with Rockview Phase 2, Farnam Phase 2, and the proposed Westville Manor initiative.

ECC/HANH uses 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.

Development Name	PH Units[13]	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**
Farnam Courts - Phase 2 onsite*	**0**	**88**	**88**	**23**	**111**
Rockview Phase 2**	**0**	**62**	**62**	**16**	**78**
Westville Manor*	**0**	**87**	**87**	**22**	**109**
Total	360	856	1216	45	1261

[13] Public Housing Units at Eastview Terrace has since converted to RAD.

During FY13, ECC/HANH issued bonds for the Redevelopment of Ribicoff Cottages and Ribicoff Cottages Extension, and Farnam Courts phase 1 redevelopments to augment Low Income Housing Tax Credits. 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, closed in Rockview 2 in FY 19, and plans to close on Farnam Phase II during FY19, and Westville Manor during FY 20-21.

Several actions related to the replacement of public housing units occurred this fiscal year. ECC/HANH successfully obtained all necessary funding for Farnam Phase 2 onsite (111 units/86 RAD) through competitive funding rounds sponsored by the Connecticut Housing Finance Agency and the State Department of Housing. All funds are in place to close and complete Farnam Courts Phase 2 and it is anticipated that Farnam Courts Phase 2 will begin construction in early 2020. ECC/HANH has also obtained City of New Haven approval to undertake the transformation of Westville Manor (see initiative 1.17) as well as HUD approval for the use of Rockview Phase 2, which closed in FY19, as an off-site location for the first Phase of the Westville Manor redevelopment. ECC/HANH's plan is to apply for LIHTC equity and other funding for the first phase of Westville Manor during CY 2020.

Impact

The replacement of public housing units under this initiative will have the impact of promoting 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. This initiative will result in the replace of an aging and economically disadvantaged housing development with a resident oriented mixed income and mixed-use community. Though the use of MTW funding plays a vital role in the repositioning of unsustainable LIPH developments, ECC/HANH has created a process to maximize the leverage of MTW funds. This leverage ranges from 3-1 to over 10-1, demonstrating the maximization of non-MTW funding sources. ECC/HANH accomplished this through an ambitious and rigorous process to assure that all non MTW resources are leveraged to the greatest extent possible by competing for and receiving competitive funding through the 9% LIHTC, 4% LIHTC, State of Connecticut CHAMP program, and other funding.

The goal of this initiative is to transform obsolete and unsustainable housing developments with vibrant new developments while maintaining affordable housing opportunities for our residents. The use of MTW block funds have produced over 1,200 quality affordable housing units. The ability to reposition the aging LIPH stock utilizing MTW Block funds allows for cost effectiveness by maximizing the leveraging of non-MTW funding. 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.

Challenges or Changes

No changes in FY20

The challenges to completing this initiative are two-fold. First, the reduction of capital funding opportunities at both the Federal and State level has increased the difficulty in obtain the leveraged funds necessary to complete what are either substantial rehabilitation or full-scale redevelopment activities. To maximize the leverage of MTW funds, the 9% Low Income Housing Tax Credit (LIHTC) has become a critical source of funds but is also a very competitive funding source. In Connecticut, in most years only approximately 30% of 9% applications are awarded. For developments requiring less than substantial rehabilitation, non-competitive 4% LIHTC funds are used.

Our second main challenge is assuring that substantial rehabilitations and demolition/rebuilds are done in a manner that minimizes impacts on our residents. For most developments, residents will need to relocate either temporarily or, in the case of demolition/redevelopment, for greater than 1 year. Though still guaranteed RAD reoccupancy rights, the New Haven housing market is very "tight" especially for multi-bedroom units. The occupancy rights of our LIPH units is also very high. These factors require that we plan relocation activities very early in the process and stagger actual developments. ECC/HANH has a dedicated relocation unit to assist in this process.

Initiative 1.15-1.17 – RAD Finance Development for Rockview Phase II Rental and Westville Manor Transformation Plan

Approved in FY14 and implemented in FY17.

Housing Choice

Description and Status

ECC/HANH has strategically redeveloped the West Rock neighborhood at four low-income public housing sites. To date, redevelopment at Brookside, Rockview, Ribicoff Cottages and Wilmot Crossing has all been completed, transforming obsolete public housing and commercial sites into vibrant mixed-income communities. Westville Manor, a 150-unit LIPH development is the only community not yet redeveloped (see Initiative 1.17). The redevelopment effort has brought 300 units of affordable and market rate rental housing, new homeownership units, and upgraded community space and commercial space into the West Rock community. ECC/HANH has also worked successfully with the City of New Haven and the Town of Hamden to open a long-closed road, creating an access way into the community from the Town of Hamden.

Impact

West Rock Community: The West Rock community, which originally included Rockview Apartments, Brookside Manor, and Ribicoff Cottages, was developed as affordable housing in the 1950s and 1960s in what at that time was an outlying area with little access to public service or job opportunities. Westville Manor was constructed in the Westrock neighborhood in the 1980s. ECC/HANH's goal has been to redevelop these aged and poor performing assets with a viable, sustainable, and connected community known as the Westrock Redevelopment Plan. To date, Rockview Apartments, Brookside Manor, and Ribicoff Cottages have all been demolished and reconstructed through a series of development projects funded through mixed finance vehicles. In addition to these three redevelopments, ECC/HANH also developed Wilmot Crossing on a gateway location to the Westrock neighborhood. Wilmot Crossing includes senior and disabled housing, a community store, and a full-service medical clinic. These activities have transformed obsolete public housing 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. To assure connectivity, ECC/HANH worked successfully with the City of New Haven and the Town of Hamden to open a long-closed road creating an access way into the community from the Town of Hamden, providing access to retail and employment opportunities.

Westville Manor Transformation Plan: Westville Manor is a 150-unit low-income public housing development, and the only ECC/HANH property in the West Rock neighborhood that has not yet been redeveloped. Westville Manor was targeted for redevelopment for several reasons: the development is challenged for access, egress and security due to poor design, and has a lack of defensible space as it is surrounded by the densely forested West Rock Ridge State Park. The development is situated in steep terrain with poor drainage leading to water infiltration issues. Due to these design flaws Westville Manor has become increasingly obsolete.

The Westville Manor transformation plan will include the demolition of all units and the replacement units either onsite or at Rockview Phase 2 (Initiative 1.15), within walking distance of Westville Manor. Rockview Phase 2, which has been approved by HUD as an offsite component of Westville Manor, is currently under construction with a completion in the summer of 2020 (described above). Westville Manor will contain 62 HUD approved replacement units, leaving a balance of 81 RAD replacement units to be constructed on the current site of Westville Manor. The redeveloped property will tie into the West Rock State park trail system, allowing residents to take full advantage of the location's natural setting.

It is the intent of ECC/HANH to fully redevelop Westville Manor development in the West Rock neighborhood under a RAD/mixed finance model. ECC/HANH has prioritized the redevelopment of the West Rock neighborhood through a series of investments and redevelopments that have completely replaced the obsolete public housing developments located in this neighborhood. The redevelopment of Westville Manor will necessitate the phased demolition of all existing buildings, abatement of hazardous materials, the construction of 109 units including 87 townhouse style units, and completely reconstructed infrastructure. In addition to new water, sewer, and storm water service to alleviate groundwater and runoff issues, a series of three new roadways will be constructed which will be conveyed to the City of New Haven upon completion of the development. The long-term sustainability achieved through high construction standards and passive house design will likely require that the TDC initiative be triggered and that the MTW flexibility be used to provide capital costs and to supplement operating costs through a "RAD PBV overhang" to allow for the maximization of private financing. ECC/HANH will make every effort to maximize the leverage of non-MTW resources through the 9% LIHTC, state funding programs, and private financing.

To initiate the Westville Manor redevelopment plan, ECC/HANH contracted with a Master Planner entity to lead and design the planning process. A series of community meetings and a design charrette were conducted in August and September of 2018 to obtain community and resident input. Residents, several community-based organizations and private supporters of Westville Manor helped shape the framework of the redevelopment vision. A major participant group were current Westville Manor residents. Residents played a key role in multiple charrette committees and were an invaluable resource in the design and layout of the overall development as well as unit. The process included break –out sessions and drop-ins where residents voiced their opinions on several aspects of the vision. The three- day design charrette was an intensive and productive workshop with effective community participation and real time feedback resulting in a consensus plan.

In addition to supporting the provision of high quality affordable rental housing to the residents of the Westville Manor community, input from the community has focused on providing comprehensive, high quality supportive services programming for residents, promoting long-term economic self-sufficiency and providing residents with access to training, educational opportunities and employment.

The on-site units will be replaced through a bifurcated process to assure that resident displacement will be minimized, and that unit demolition will occur in phased manner upon receipt of funding. The on-site redevelopment plans include the incorporation of 20% market rate units to assure that the replacement development is not only sustainable but also a neighborhood of choice. It is the intention of ECC/HANH to seek 9% LIHTC funding in the fall of 2020 for the first 50-unit phase and in 2021 for the second 59-unit phase.

During this fiscal year ECC/HANH received the approval from both the City of New Haven City Plan Commission and the Board of Alders for the Westville Manor Planned Development District (PDD). These approvals allow ECC/HANH to proceed with the completion of architectural plans and other required development documents. The ECC/HANH goal is to apply in the fall of 2020 for competitive 9% Low Income Tax Credits through the Connecticut Housing Finance Agency.   HUD has an approved a CHAP for this development. The project architect and construction manager at risk have been procured and the pre-construction process is proceeding as planned.

The intent of the redevelopment process was to assure that current residents were fully engaged in the planning process and that their input would be obtained at every step of the way through-out this community engagement process.   Historically, on a national level, the input of current and potential residents was often undervalued. ECC/HANH's experience with residents and resident groups has demonstrated that resident input is often the best source for design input. Resident's initial inputs led to the formulation of guiding principles. Based on these principles, five main themes were identified and discussed: Safety & Security; a Community Center, Supportive Service/ jobs; Recreation. The following are a list of main points discussed amongst several:

- Safety through community vigilance
- Address back yard security
- Need front yards & better streetlights
- Improve access & connectivity
- Nature walks, bus shelter & benches
- Community service/ mixed use building:
- Create opportunities for youth
- Celebrate neighborhood identity
- Avoid stacking of family units

Development of Rockview Phase 2: As an off-site component of Westville Manor, Rockview Phase 2 is a critical component of ECC/HANH's long-term redevelopment of the West Rock neighborhood as the first phase in the Westville Manor redevelopment. Rockview Phase 2 is a 78-unit townhouse development located on a portion of the site of the former Rockview Apartments. ECC/HANH is proposing to construct 62 RAD unit sand 16 non-income restricted units. Rockview Phase 2 will cross-cut and coordinate with several other initiatives, including TDC, the development of replacement public housing units, and the aforementioned Westville Manor. The development goals of Rockview Phase 2 are threefold: 1) develop 62 RAD units within a mixed-income development of 78 units, 2) complete a critical piece of the redevelopment of the West Rock neighborhood, and 3) to serve as the initial off-site phase of Westville Manor, allowing for the future redevelopment of Westville Manor.

MTW flexibility is required to complete both Rockview Phase 2 and the Westville Manor on-site redevelopment. These developments will trigger the requirement for TDC flexibility. Both are being constructed per ECC/HANH's design standards. These design standards require the inclusion of more costly, yet sustainable, construction standards including but not limited to cementitious siding, quality flooring, and energy efficient HVAC and design component. These townhouse units are being constructed to meet full HERS compliance. In addition to sustainable design standards, the project includes the construction of new infrastructure including, water, sanitary sewer, storm sewer, and the construction of two new streets which will be conveyed to the City of New Haven upon completion. MTW flexibility through the provision of capital funds and RAD PBV overhang is required to assure that the funding application would be competitive under competitive 9% LIHTC competition. For Rockview Phase 2, these assistance vehicles allowed ECC/HANH to maximize the leverage of non-MTW funding sources, including a HUD 221(d) loan and State of Connecticut capital funding. The same financial structure is anticipated for Westville Manor. The financial closing for Rockview Phase 2 occurred on June 20, 2019 and is under construction with all units to be delivered and occupied by the summer of 2020. Project construction is on schedule and within budget. Funding was obtained from multiple funding sources including 9% LIHTCs and the award of $5.6MM of State of Connecticut soft funds. The development will be financed through the HUD 221(d)(4) loan programs.

The successful completion of Rockview Phase 2 will result in the creation of 62 RAD units that will serve as off-site replacement housing for Westville Manor. Rockview Phase 2 will also include 16 units of non-income restricted housing. This non-restricted housing will encourage an economically diverse community. HUD has approved using the 62 RAD units as an off-site component of Westville Manor (see initiative 1.17), furthering the ECC/HANH initiative of replacing public housing units with MTW block grant funds. The development of Rockview Phase 2 will include the creation of two public roads to be conveyed to the City of New Haven upon completion.

The replacement of public housing units under this initiative will have the impact of promoting housing choice and improving the quality of life for low-income families by reducing density and creating a sustainable mixed-income 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.

The impact of the completed project is expected to promote housing choice for low-income families. As an off-site component of Westville Manor, it is the first step in the replacement of a poor-performing asset while improving housing choice options and reducing density. These actions will improve the quality of housing and will make the development more marketable, improving the lease-up rate and decreasing turnover. ECC/HANH has also used the MTW capital contribution of $2.6MM to leverage an additional $31.4 MM in non-MTW private and public financing. 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 the Rockview Phase 2 site is currently vacant land, there are no current displacement impacts on ECC/HANH residents.

The goal of is to transform an obsolete housing complex into a vibrant mixed-income housing choice development that would both maintain affordable housing opportunities for our residents while creating a vibrant new neighborhood that will include a public park and the construction of a community centric low-rise 20 unit building that will include community meeting space, management offices, and various social service offices. 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 and increasing connectivity to commercial and job centers through expanded bus service being added in conjunction with the redevelopment. 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.

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)	150 units	143 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

** Per FY19 Plan, HC#3 will no longer be reported on under this initiative beginning FY19.*

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
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Turnover cost per unit for West Rock	N/A	N/A	N/A	N/A

Challenges or Changes

In accordance with the FY19 plan. ECC/HANH updated metrics by removing HC#2 Units of Housing Preserved, HC#3 Decrease in Wait List Time, and Internal metric #10 Turnover cost. This initiative meets the statutory objective of increasing housing choice.

Initiative 2.1 – Family Self-Sufficiency (FSS) Program
Approved and implemented in FY07.

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:

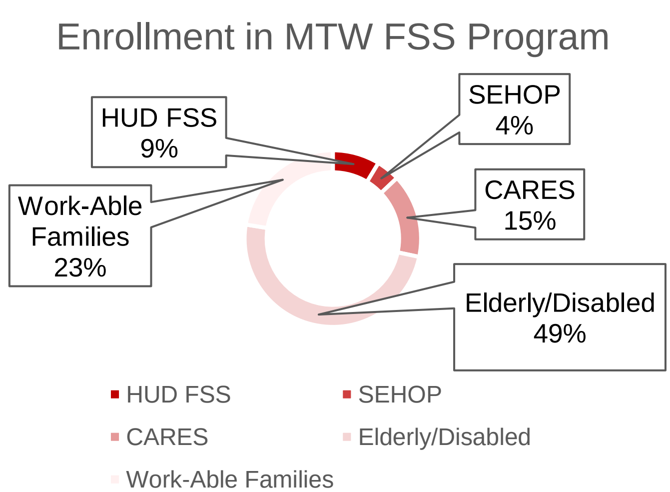
- remedial education
- literacy classes
- GED preparation
- vocational and job skills/employability
- financial management

Since its implementation in FY07, ECC/HANH has continued to add new services and programs for participants. For example, 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 with employment opportunities in New Haven, such as healthcare or automobile repair. This program 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
- job skills and life skills classes prior to applying for jobs

The MTW FSS program serves over 1,150 families. This includes:

- 570 Elderly/Disabled households
- 260 identified work-able families enrolled in MTW funded slots
- 178 families enrolled in the CARES Program
- 100 families enrolled in the HUD FSS grant-funded slots
- 60 Section Eight Homeownership Program (SEHOP) vouchers



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	150	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	**1157**			

Impact

This initiative is expected to increase the self-sufficiency of residents through employment, specialized training, higher education, and increased earnings. Currently, every FSS participant can attend workshops and seminars offered by the CED Family Self Sufficiency and Resident Owned Business programs. ECC/HANH also coordinates programs through the Connecticut Association Human Services, CONNCAT Training School, and HUD Homebuyer seminars, among other resources.

In FY20, ECC/HANH continued to work with the Planning Coordinating Committee (PCC), made up of community partners, to provide training and resources to assist FSS participants in achieving self-sufficiency goals. Participating residents receive assistance in securing gainful employment as well as onsite job training through partnerships with local employers.

Additionally, through the Connect Home Initiative, 100 tablets have been purchased for use in the FSS program to help bridge the digital divide for residents who are seeking employment. The tablets will be used for both job search assistance and skills development. Participants will be able to utilize the tablets at home and during onsite sessions with coordinators.

In addition to the training and resources made available to residents, CED staff, including FSS staff, have also undergone training to be able to offer more information and expertise to program participants. For example, all staff have received a “Your Money, Your Goals” financial literacy training, which is also offered to all participants. A partnership with the City of New Haven Financial Empowerment Center has also just been secured to bring credit counseling training to staff, as well as onsite credit counseling and training to participants in the program. In addition, in FY19, CED staff, including Managers and Supervisors, FSS and Resident Service Coordinators, and the Recreational Therapist, received training in one-on-one budgeting through a grant from the Consumer Financial Protection Bureau as well as a self-sufficiency service coordination group facilitation training through Nan McKay, to assist in working directly with residents. Staff will now be able to provide workshops and 1:1 budget counseling to residents onsite at developments.

FSS will continue to offer programming beneficial to all residents, including a focus on empowerment, childcare, financial literacy, and mental health. In FY20, ECC/HANH will continue to promote class offerings to better serve residents’ needs and will continue to partner with other agencies that are a part of the Program Coordinating Committee

(PCC). 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 earnings will increase and residents will continue to meet self-sufficiency goals.

Training and resources in FY20 included:

- FSS offered many onsite programs, including computer literacy classes, financial literacy classes, that are offered in rotation at various Learning Labs throughout the portfolio. Through these efforts 115 residents have participated at ECC/HANH Learning Labs.
- 24 residents participated in an on-site basic computer program and received a desktop computer through a local community partner
- 58 households completed their tax returns utilizing on site VITA tax services provided at Learning Labs (services stopped before the end of the tax season due to COVID-19)
- Financial Literacy Workshops Provided Onsite:

Topic	**Registered**	**Completed**	**Percentage**:
How to Spend During the Holidays	65	65	100%
Preparing for Tax Season with VITA Tax Services	54	54	100%
FSS Program Review	54	54	100%
Anticipated Tax Return and Savings	43	43	100%

Additionally, in FY20, CED launched Digital Inclusion Plan at an event with over 100 residents in attendance. Through the Connect Home Initiative, 100 tablets have been purchased for use in the FSS program to help bridge the digital divide for residents who are seeking employment. The tablets will be used for both job search assistance and skills development. Participants will be able to utilize the tablets at home and during onsite sessions with coordinators. Partnerships with the City of New Haven Financial Empowerment Center, Computers for Adaptive Learning and United Way to provide digital services to encourage financial literacy, budgeting, savings match, resume writing and job search skills.

Those being served are receiving intensive supportive services, such as case management, on site programming access to an escrow account. 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. In FY20, the FSS Program assisted three residents with achieving homeownership, while others have taken advantage of the program offerings in several ways.

One homeowner was a full-time employee at a local medical center and a full time college student while in FSS. She left NYC and came to CT to give her children a better life and she never imagined herself being a homeowner. She is the first in her family to graduate from High School and attend College. She worked hard this year with the services provided by FSS to increase credit score & managed to save money for down payment. She is the first in her family to own a home.

FSS will continue to offer programming beneficial to all residents, including a focus on empowerment, childcare, financial literacy, and mental health. In FY20, ECC/HANH will continue to promote class offerings to better serve residents' needs and will continue to partner with other agencies that are a part of the Program Coordinating Committee (PCC). 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 earnings will increase and residents will continue to meet self-sufficiency goals.

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	2020: $33,633 2019: $21,815 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	<u>2014</u> - 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	2020: - Employed FT: 68 - Employed PT: 15 - Enrolled in Education: 107 - Enrolled in Job Training: 9 - Unemployed: 591 2019: - Employed FT: 78 - Employed PT: 13 - Enrolled in Education: 165 - Enrolled in Job Training: 8 - Unemployed: 591 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	Partial

SS #3: Increase in Positive Outcomes in Employment Status				
			- Employed PT: 13 - Enrolled in education: 69 - Enrolled in job training: 15 - Unemployed: 8 - Other (Elderly/Disabled): 6 - Self-employed: 1 2015: - Employed FT: 30 - Employed PT: N/A - Enrolled in education: 170 - Enrolled in job training: N/A - Unemployed: 7 - Other: N/A	

SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of FSS households that have taken vocational and computer classes (excluding Specialized Training)	155 (2013)	200	2020: 107 2019: 184 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. In FY19 this average includes Work-able, FSS, & CARES Families.*
**** 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.*

At baseline ECC/HANH's FSS program was serving approximately 450 families and has grown to over 1,100. At baseline 25% of the families were employed and 25% were unemployed. As the program has grown, we have specifically targeted unemployed families such that this year data is presented for almost 900 families. Due to this targeting, our metric for employment status shows an increase in unemployed families this year.

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	2020: Not available 2019: 2 participants 2018: 0 participants 2017: 0 participants 2016: 6 participants 6 graduates at 7th grade level 2015: 6 participants 0 graduates at 7th grade	No
Computer course graduates for basic and intermediate levels	2014: Basic: 18 Intermediate: 5	10 intermediate course graduates annually	2020:0 2019: 88 2018: 1 participant 2017: 20 participants received Microsoft certifications 2016: Basic: 9 Intermediate: 1 2015: Basic: 6 Intermediate: 1	Yes
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	2020:0 2019: 5 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:	Yes

FSS Classes Metrics				
			- 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	
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	2020:0 2019: 14 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	Yes

Challenges or Changes

No changes for FY20

A key challenge for the FSS program is around promoting literacy for residents. One challenge has been in securing community partnerships to offer onsite programming for Adult Literacy and GED courses, as it has been difficult to meet the minimum number of participants required. Additionally, a survey administered by CED to residents revealed that many are uncomfortable admitting needs and taking onsite programs for literacy and GED, as it makes them feel vulnerable in the community. To better connect and serve participants, ECC/HANH is currently working with an organization known as Literacy Volunteers as well as Adult Education in New Haven to create a referral chain that will provide residents with confidentiality when connecting with and participating in literacy or GED programs. Participant surveys have also indicated a high need and interest in providing onsite English as a Second Language (ESOL) courses.

Additionally, Prior to FY19, the metrics for MTW FSS were not tracked for CARES, SEHOP and Elderly/Disabled participants. In FY20, the metrics are inclusive of all the programs that MTW FSS program serves, including up to: 150 families enrolled in the HUD FSS grant-funded slots, 60 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. These numbers indicate the number of slots available to service residents. The average earnings (wages) of households enrolled in FSS in FY20 was $33,633. While there is a significant difference in average earning between the FY18 earnings of $33,431, the current data is reflective of only HUD FSS.
Internal Metrics for FY20 were not available for this initiative.

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

Self-Sufficiency

Approved in FY12 and implemented in FY13.

Description and Status

Implemented in 2013, 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 and Rockview 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 who are 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 I 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. There are two levels of engagement in the program: Full CARES and Transition CARES. 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 the intensive supportive services for 24 months during the 72-month rental period, residents also 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.

The funds in the REEF (accessible at or after 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)
- costs to start a small business (a one-time payment not to exceed $2,500 after all other options have been exhausted)
- purchase of a computer
- enrollment 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 are addressed, the need for such intensive support will wane. This policy and procedural change have resulted in modifications to the MTW Plan, ACOP and Administrative Plan.

Impact

The CARES program continues to provide case management, resources, and tools to support participants in reaching self-sufficiency. At the end of FY20, 115 participants were enrolled in the CARES program. Based on the total number of units at both Brookside II & Rockview, program can hold up to 177 participants at any given time, however, the number can be higher if families who transfer from Brookside II or Rockview to Brookside I decide to continue to participate. Currently there are 5 participants at Brookside phase I who transferred to units from Brookside phase II and Rockview and opted to continue to participate in CARES. Additionally, our total number of participants include families who participated at any time throughout the year who either became exempt or moved out. The total count for FY 2020 included 130 participants of which 115 remained at the end of the FY. The total includes all families who participated in CARES throughout the year including those who graduated, moved out or became exempt. There are currently 58 units that have residents who are exempt from the program.

The table below outlines the breakdown of families at these sites during FY20.

CARES Participation End of FY20		
Program	Participants	Notes
Full CARES	68	4 out of 68 are BSI
Transition CARES	47	
Total at end of FY20	**115**	**111 BSII/ROCKVIEW**
Exemption	58	
Vacancy	9	

In FY20, the CARES Coordinator continued to focus on reinforcing the principles of the program and improving communications with participants, including more streamlined email promotions for workshops and other events. SHIFT TO EMAIL AND VIRTUAL The CARES program continues to provide case management, resources, and tools to support participants in reaching self-sufficiency.

During FY20, the average income of all CARES participants was $25,296. Comparatively, in Brookside Phase I LIPH units, which is not under the CARES program, residents have an average earned income of $19,837. This represents an 99.87% difference when comparing average earned incomes between CARES and a Non-CARES groups.

In FY20, the CARES program included an opportunity for families to request a rent adjustment during COVID19 and any similar pandemic or emergency affecting a significant number of families in the community. Families who experience a loss of income because of a natural disaster, local, state or national emergency such as COVID19 or the like, may have the opportunity to submit a request for interim rent change. The family must be able to provide documentation that proves that the loss of income is related to this a specific situation listed under this category.

In order to prevent the reprocessing of files when families go back to work during a time like this, the CARES coordinator drafted a letter which advises the families of decrease to their rent for 4 months, as a result of loss or decrease in income.

At the end of the 4 months, the rent will be adjusted back to what it was before the decrease. Staff would process 2 actions, the decrease, and a second action (effective on the 1st day of the 4th month) which would be an increase back to the amount prior to the decrease. This way, families will not need to report the increase and staff can give 30-day notice of the potential increase change at the same time they are giving the decrease notice.

The interim allowed for families to pay as little as the 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.
If a family is unable to pay the minimum rent because of a financial hardship the family may be eligible for a temporary waiver from paying Minimum Rent. A family may be exempt from Minimum Rent for 120 days when the family experiences a hardship because of COVID19 and other similar pandemic or national, state or local emergencies that affect a large number of families in the community. There is no requirement to repay this rent during this type of circumstance, and no referral to FSS or community service will be required.

Temporary Waiver interims for CARES (COVID19) Year 3 and Over
27 total interims were processed due to loss of income/decrease
22 out of 27 were 3+ years in the CARES program and 5 were under year 3 in the CARES program
8 did have income changes but did not want the temporary interim

COIVD Waiver Interims Processed - Current Employment Status
18 returned to work and are full time
6 reported less hours at wok
3 remain unemployed due to COVID

In response to COVID, CARES participants may request REEF funds for emergency services and needs associated with the current pandemic and other similar emergencies affecting families in the community. Families may request access to their escrow savings separate from the already embedded request for escrow outlined in CARES. This request will not count toward the number of requests allowed, per family.

In addition to the current list of allowable uses, requests can include items such as, but no limited to:

- Food insecurities
- Home necessities
- Rent
- Related Medical Expenses
- Utility payments
- Transportation related expenses

Requests may be approved at the discretion of the housing authority only after all resources, such as access to foodbanks, diaper banks, and other community resources have been exhausted. All requests will need to be reviewed by the CARES committee under an expedited version of the current escrow request approval process and must be reviewed and signed by the Director of CED or designee.

In FY20, the approximate amount of funds in each participant's REEF account is $10,701. The average amount requested by CARES participants to cover costs is $3,000, which suggests that residents utilize an average 28.03% of the REEF account of the REEF account if they tap into it prior to graduation. Requests to cover costs are submitted and reviewed by a CARES committee with representatives from ECC/HANH and local agency partners.

Prior to COVID, two CARES participants requested used of the REEF. Both residents made the request prior to COVID. Following the COVID outbreak, there were no additional requests from CARES participants to access the REEF account. After COVID, zero requests were requested for REEF funds.

In FY 20, access to the REEF account were requested for the following reasons:

Purchase of a vehicle (1)	$3,000
Down payment on a home (0)	$0
Purchase of a Computer (0)	$0
Enroll in Higher Education (0)	$0
Start a small business (1)	$0
A hardship (1)	$3,00
Other	$0
Denied requests (0)	$0
Total :2	$6,000

Below is a table highlighting the historical requests from CARES residents to utilize their individual REEF accounts to cover the following costs:

Request to Cover Cost	Total Amount Requested	Total Amount Approved	Request to Cover Cost
Purchase of a vehicle (16)	$49,500.00	$49,500.00	Purchase of a vehicle (17)
Down payment on a home (1)	$10,448.11	$10,448.11	Down payment on a home (1)
Purchase of a Computer (1)	$500.00	$349.00	Purchase of a Computer (1)
Enrollment in Higher Education	$14,449.00	$14,449.00	Enrollment in Higher Education (6)
Start a small business (1)	$1,000.00	$1,000.00	Start a small business (1)
A hardship (4)	$13,066.00	$12,491.47	A hardship (4)
Other (7)	$13,100.00	$11,184.51	Other (7)
Denied requests (3)	$8,000.00	$0.00	Denied requests (3)
Total Requests (38)	**$104,063.11**	**$93,422.09**	**Total Requests (40)**

In response to limitations to on site programming due to COVID, the department shifted its program delivery model to virtual and worked on building a strong email list. As a result, the CARES staff was able to conduct outreach to engage all residents by continuing communication with flyers, case management, weekly email chain with updates. This enabled our residents to effectively gain and maintain access to resources that can assist participants in pursuing opportunities in achieving self-sufficiency program requirements.

Virtual Program Offerings	Registered	Completed	Percentage
Adult Classes	7	3	42%
College-4 yr.	19	1	5%
Neighborhood Housing Services – 8 Hour Homebuyer Seminar	21	21	100%
Healthy Start Webinars (4-part series Mental Wellness/Parenting and Community resources)	10	10	100%
Financial Empowerment Center workshops	25	25	100%
United Way ALICE Saves Program	16	10	62%
Resident Owned Business Cohort	10	**Still in session**	**TBD**

In addition, the Community and Economic Development Department and the CARES Coordinator worked to provide basic needs assistance to CARES Families. This included wellness communication and delivery of masks, diapers, food, technology, and hand sanitizer. Additionally, we partnered with New Haven Public Schools, CT Food Bank and Common Ground High School and the New Haven Ecology Project to provide food resources.
Participants in the CARES program received 75 boxes as well as monthly food bank deliveries. These boxes consisted of outstanding and nutritious food for our community. This assisted families who were impacted by job loss, health risks and other challenges emphasized by the Covid-19 crisis. Several families also received cash assistance from local organizations, which was coordinated by the staff.

COVID Referral Outreach

March	2
April	28
May	12
June	17
July	75
August	3
September	3

Total number of basic needs met by providing masks, diapers, technology, food, etc.: 140

There is also a noted decrease in the number of families receiving TANF with 6.15 % of Brookside residents (4 Transition and 0 Full) and 0% of Rockview residents currently in receipt of temporary cash assistance. Of the 5 residents currently receiving TANF, 3 residents are working part-time.

Currently every participant in the CARES program is receiving on-going support and assistance through Family Self Sufficiency programs, Resident Owned Business training, Connecticut Association Human Services support, CONNCAT Training School and external Homeownership programs which includes HUD Homebuyer seminars as well as other resources in hopes of reaching self-sufficiency.

CARES is proving successful as we are seeing residents graduate with significant escrow savings, consistent and full time, well-paying employment. In FY20, many of the CARES residents are graduating the program early with several entering homeownership. There were five residents who graduated early from the program. Each resident purchased a home during FY19 and successfully graduated before the 72-month CARES limit. The two participants who graduated early and did not pursue homeownership all had full time employment and were able to pay market rents.

CARES Early Graduates + Disbursements from REEF		
	Costs covered from REEF	Amount Disbursed from REEF
Participant 1	$0.00	$10,723.86
Participant 2	$1,400.00	$10,448.11
Participant 3	$0.00	$14,685.28

CARES Early Graduates + Disbursements from REEF		
Participant 4	$0.00	$20,299.68
Participant 5	$0.00	$8,184.70
Participant 6	$0.00	$12,884.82
Participant 7	$0.00	$10,820.90
Participant 8	$0.00	$6,942.14
Participant 9	$3,000	$5,184
Participant 10	$0.00	$8,184
Participant 11	$0.00	$14,059
Participant 12	$0.00	$15,613
Participant 13	$0.00	$17,382
Total Participant: 13		**Total Disbursed: $155,411.90**

One participant purchased, who purchased a home outside of New Haven had a goal to become a homeowner before the end of 2020. She worked improving credit score by utilizing the resources given to her under the CARES program. She attended CAHS workshops & Credit Repair workshops. She also attended the 8hr Homebuyer seminar with Neighborhood housing services and successfully completed the requirements. The Coordinator provided guidance to help her achieve her goals. She was able to save $8,000, get a second job & improve Credit Score from 520 to 670, which enabled her to achieve homeownership.

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)	2020: BSII Transition: $17,586 BS II Full: $36,734 Rockview I Transition: $12,453 Rockview I Full: $36,412 2019: BSII Transition: $17,994.37 BS II Full: $43,018.02 Rockview I Transition: $16,622.25 Rockview I Full: $40,489.26 2018: Brookside Phase II Transition: $16,121.21 Full: $39,525.60 Rockview Phase I Transition: $19,709.13 Full: $33,252.64 2017:	N/A

			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	

SS #2: Increase in Household Savings				
Unit of Measurement	**Baseline**	**Benchmark****	**Outcome**	**Benchmark Achieved?**
Average amount of savings/escrow of participants affected by this policy in dollars (REEF accounts)	Zero	$8,000 per participant	2020: Brookside: $10,483 Rockview: $10,920 2019: Brookside: $10,064.60 Rockview: $10,989.00 2018: Brookside: $10,314.31 Rockview: $10,831.51 2017: Brookside: $10,443.62 Rockview: $10,825.59 2016: Brookside: $8,000 Rockview: $3,000	Yes

			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	2020- 108 participants total (may have attended more than one education job/training below) 19 in 4-year colleges/trade schools 7 in adult education 21 in homebuyer education course 10 in Healthy Start series 25 in Financial Empowerment Center 16 in ALICE Saves Initiative 10 in ROB entrepreneurship training 2019- 66 participants total (may have attended more than one education job/training below) 48 in Financial Literacy Classes 19 in 4-year colleges/trade schools 5 in adult education 10 in computer class 3 OSHA Training 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	Yes

			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	

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	2020 Total: Brookside Transition:4 Brookside Full: 0 Rockview Full: 0 Rockview Transition: 0 2019 Total: Brookside Transition:4 Brookside Full: 2 Rockview Full: 0 Rockview Transition: 0 2018 Total: 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	2020: 130 2019: 142 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	2020: 13 2019: 8 2018: 0	Yes

** 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	2020:68 2019:69 2018:75 2017: 64 2016:56 2015:83 2014:48 2013: 24	No
Number of Transition CARES participants	Zero	25% Reduction in Transition CARES	2020: 47 2019: 51 2018: 73 2017: 63 2016:82 2015: 92	Yes

			2014:68 2013:38	
Compliant with program requirements				
Number of participants compliant with the program's requirements	Zero	60% of new participants will remain compliant	2020: 129 (97%) 2019: 133 (94%) 2018: 69 (46%) 2017: 127 (100%) 2016:64(46%) 2015:158(90%) 2014:80(98%) 2013:62 (83%)	Yes

** 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

There are no significant changes to the CARES initiative.

Challenges related to the CARES program in FY20 are described below:

Program Compliance: Although the number of new participants who are complaint with program requirements (90%) has exceeded the benchmark of 60% of participants, this nonetheless represents a program challenge. Program staff are working toward ensuring 100% program compliance.

Decrease in CARES enrollment: The total enrollment in CARES decreased from 120 in 2019 to 115 in 20. This is explained due to participants who have graduated.

Teacher-in-Residence

Approved in FY15 and implemented in FY16.

Self-Sufficiency

Description and Status

The Teacher-in-Residence program is part of an ECC/HANH youth initiative known as 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 program opportunities that support post-secondary education

Launched in FY16, as part of ECC Believes, ECC/HANH sought 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 serve both ECC/HANH youth and their families. First, the initiative focuses on necessary academic assistance. Second, having the Teacher-in-Residence onsite also aims to help bridge an historical divide between educators and our families, working to build community and shift traditional relationships between teachers and parents. In turn, the program creates 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 two properties: McConaughy Terrace and Valley Townhouses. The teacher is currently housed at the McConaughy Terrace development.

The Educational assistance provided by each Teacher is defined as follows:

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

Impact

During FY20, the Teacher-in-Residence program operated at McConaughy Terrace. Children from the neighboring Valley Townhouses were also invited to attend the afterschool program, allowing the program to reach a larger number of ECC/HANH youth across developments. The Teacher-in-Residence program targets school-aged youth between the ages of 6 through 13.

In FY19, to circumvent challenges in securing data on students' academic outcomes from the school system, the Teacher-in-Residence began to incorporate the Math and Reading IXL program into the curriculum. The teacher was able to secure this data from students participating in the program without securing a release of information from the New Haven Public Schools, while still accessing data on students' progress that is aligned with school assessment measures in reading and math. This allowed the teacher to assess and track individual academic growth in reading and writing, as well as highlight challenging areas in both subjects.

Due to COVID, New Haven Public School closed in March and remained unopened throughout the remainder of FY20. In response, the afterschool program also shifted from an in person model to a virtual model as well as a program that assisted with proving families with basic needs, including food, diapers and masks, which the teacher assisted in distributing to families as she offered academic tutoring services and provided student engagement.

The Teacher in Residence created an engaging, fun, and supportive spring and summer experiences for the children at both McConaughy and Valley Townhouses. Although onsite programming has always been the model the pandemic created a unique opportunity to incorporate virtual programming. New Haven Public School teachers were not required to meet live with their students but instead posted a week's worth of assignments to be completed. Using Zoom, Google

Meet, and FaceTime, I was able to work with my small group of students to complete these assignments using their school Chromebook. Most sessions were scheduled 1:1 as this made the most sense given the mechanics of Google Meet.

In FY20, the Teacher In Residence received 30 tablets as part of the agency's Digital Inclusion Plan and each participating child in the program received a tablet to utilize the same learning apps at home as well when the Afterschool Program is not in session. After the COVID-19 pandemic impacted the delivery of onsite programs, the Teacher in Residence utilized the access to existing digital tools provided under the program to continue to be able to service students remotely and provide support to families who were experiencing struggles with adjusting a remote learning environment. The Teacher in Residence was available remotely for afterschool support daily during previously on-site scheduled program time. She also offered Office Hours to assist parents via phone, video, and text. Toward the summer, she began to physically walk the neighborhood once per week while engaging social distance to outreach to families in the area who may be outside.

During the summer, the Teacher in Residence focused on check in calls with families, provided 1:1 tutoring, hand delivered weekly activity boxes and conducted a summer reading challenge. Students were also utilizing academic apps on the tablets through an incentive program she offered.

The summer program included:
- Delivery of printed activity packets (ex: "Art in a Box")
- Digital technology support (assisting parents with accessing PowerSchool, etc.)
- Group Google classroom sessions, and
- One-on-one mentorship video interactions with students

Additionally, families were continuously surveyed to ask about use of the ECC/HANH tablet as well as basic needs assessment. In response, 100% of the families with youth in the program are reporting that tablets provided by the agency are being utilized to complete school work through Google Chrome as New Haven Public schools only had about 5,000 devices at the beginning of the pandemic to provide to over 13,000 students it serves during the COVID-19 pandemic. Additionally, 50% of parents reported they are uncomfortable with their children participating in any youth programming during COVID, including virtual, hybrid and in-person.

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	2020: 16 2019: 32 (20%) 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	2020: 10 2019: 16 2018: 6 2017: 10	No
Minimum of 15 children enrolled over the course of the year	20	5% Annual increase	2020: 10 2019: 32 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)	202: Cannot report due to COVID 2019: 90% 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)	2020: Cannot report due to COVID 2019: 75% 2018: No data collected during FY18. 2017: No data collected during FY17.	No

Challenges or Changes:

Challenges or changes related to the Teacher-in-Residence program in FY20 are described below:

Of the 274-youth living at McConaughey Terrace (243 youth) and Valley Townhouses (31 youth) under the age of 18, 156 are considered school-aged and eligible to participate in afterschool programming. It has been a challenge to have 65% of the youth in the development participate.

Securing academic outcomes proved to be an overall challenge for the afterschool program. Students enrolled students do 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 school attendance and reading and writing levels.   In FY20, there were also continued challenges with securing report cards due to COVID. End of year report cards were Pass or Fail and did not include math and reading levels.

At the start of the 2020-2021 school year, New Haven Public School buildings remain closed and all learning is remote. Until the NHPS schools reopen, all Teacher in Residence TIR programming will continue to be conducted remotely and outdoors due to lingering health concerns from the COVID-19 pandemic. Should recommendations for in-person contact change moving forward, we will consider modifying the program approach.

Initiative 3.1 – Rent Simplification

Approved in FY07 and implemented in FY08.

Cost Effective

Description and Status

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

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

i. **Multi-year recertification cycles**. 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 every three years. MTW families that do not meet the definition of elderly or disabled definition will be considered work-able families.

- 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)
    - **Rationale**: Very little change in income takes place with elderly/disabled families on fixed income on an annual basis. Given this consistency, there is little financial incentive for ECC/HANH to verify the income of elderly/disabled families annually. Work-able families will also 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 resident 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 and are instead expected to 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. Regardless of the reduction, 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. Additionally, 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 a $0 rent payment. To qualify, individuals must meet with the ECC/HANH Hardship Committee to determine the nature and length of the hardship. 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 neither elderly nor 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 1: No family will have an increase in TTP
- 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 FY20 there were 1,248 HCV recertifications scheduled. This is a 65% 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 1,522 interim recerts completed for HCV in FY19.

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 recertification 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.

Data for this initiative was not provided in FY20 and will be made available in the next update to this report or the FY21 report.

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)	2020: $189,624 2019: $184,101 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	Yes, in 2008 there was a LIPH Director and HCV Director; The LIPH Director position was eliminated. HCV director position (salary + benefits) in 2008

			2009: $136,990 2008: $133,000	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	2019: $11,964 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

*Annual HCV Director Salary from previous year multiplied by 3% increase.

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	2019: 4,671[14] 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	Yes
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	2019: 10% of files (HCV) 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)	No

** 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	2019: 18 approved/18 received 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

[14] Total number of annual staff time for HCV includes all HCV certs under Rent Simplification. Number of units where rent simplification is not utilized were backed out of the total annual cert count.

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	2019: 246 (HCV/LIPH);246 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	2019: 1,522 (HCV) 194(LIPH) 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

There are no significant changes in FY20

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. Metrics were not provided for FY20, however, will be provided in the next report submission.

Initiative 3.5 – HCV Rent Simplification/Cost Stabilization Measures

Approved and implemented in FY08. Updated 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

ECC/HANH saw cost savings in biennial/triennial rent increases. FY20 saw a 40% increase in rent increases from FY19, during which 98 rent increases were approved and processed. This represents an 86% decrease from 729 rent increases in FY13, the year prior to implementation.

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	2020: $275,379 2019: $275,379 2018: $275,379 2017: $275,379 2016: $275,379 2015: $275,379	Yes

CE #2: Staff Time Savings				
Total HANH internal staff inspection scheduling time (annual hours) **	904 hours (2014)	367 hours	2020: 1,039 2019: 1,352 hours 2018: 674 hours 2017: 670 hours 2015: 778 hours	No Total scheduled inspections FY20 4,155

- ** ECC/HANH's current (2014) inspection contract with the City of New Haven costs $259,000. This number includes 860 inspections for fail items that are not health and safety related. These inspections cost $61,000 to process. The proposed policy will allow self-certification for these issues.*
- *** # of HCV program inspections under current MTW inspection policy is 2,484. # annual HQS inspections expected to be further reduced to 1,467 due to proposed MTW elderly/disabled population change and proposed biennial/triennial inspection protocol; Staff spend 15 minutes scheduling "annual" HQS inspections. FY 2015 inspections = 3,111; 3,616 in FY 2014. Note that the outcomes include the initial and special inspections.*

The baseline cost of the inspection contract was $259,000 for a total portfolio of 3,338 vouchers. During FY20, ECC/HANH spent $275,379 for a total portfolio of 4,591 vouchers. This is a reduction from $77 per voucher to $60 per voucher and represents cost savings.

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	2020: $136,428 2019: $115,140 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	2020: 98 hours 2019: 70 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	2020: 82 2019: 208 2018: 277 2017: 274 2016: 338 2015: 157	No

**Self-certifications inspections were implemented mid-year 2017.*

Challenges and Changes

There are no significant changes in FY20.
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.

Fulton Park Modernization

Approved in FY11.

Housing Choice

Description

This initiative was approved in FY11, placed on hold in FY12, and reactivated in FY16. The Fulton Park development was included in the RAD conversion for FY16. ECC/HANH completed a RPCA and submitted a RAD application for the rehabilitation of Fulton Park on October 9, 2015. The Authority received RAD approval in spring of 2016 and is in the process of converting. The Fulton Park project was completed and occupied during FY20.

Challenges and Changes

There are no significant changes in FY20.
ECC/HANH does not anticipate any changes to the initiative or metrics and does not require different authorizations from what was initially proposed. This initiative meets the statutory objective of increasing cost effectiveness and increasing housing choice.

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.

The ECC Board of Commissioners, on January 17, 2017, adopted a resolution authorizing the creation of 360 Management Group, a property management instrumentality entity. The purpose of this instrumentality is to:

1) Act as a third-party property management agent for former LIPH units being converted to RAD-HCV units, PBV-HCV units, LIHTC and market rate units and.
2) Support the preservation of affordable housing within the City of New Haven and within other municipalities or jurisdictions that have adopted a similar mission or have similar needs.

360 Management Group Company received its 501 (c) (3) status in March 2018 and it assumed the property operations and compliance management of 312 units.

Subsequently, 360 Management assumed an additional 144 units with the conversion of RAD Group I in May 2018 and 70 units with the conversion of RAD Group II in April 2019. Currently, 360 Management manages compliance and property management activities for 526 units.

360 assumed management of RAD Group III effective February 1, 2020 bringing the total units managed to 739. However, the property did not convert until March 1, 2020.

RAD IV was slated to close in the 4th quarter of 2020; it is now delayed until the 1st quarter of 2021.

Property	**Unit**
East View Terrace I	102
Fairhaven -EVT II	25
Fairhaven -Chatham	32
TwinBrook (Ribi 4)	51
TwinBrook (Ribi 9)	55
Wilmont	47
Prescott Bush	56
C.B. Motley	45
Katherine Harvey	17
New Hall Gardens	26
Stanley Justice	7
Fulton Park	12
Waverly Gardens	51
McQueeney	149
Celentano	64
Total	**739**

Outcomes

RAD Group I - Converted May 15, 2018							
Prescott Bush, CB Motley, Katherine Harvey, Newhall Gardens							
Unit of Measurement	**Fiscal Year 2018 Baseline (Pre-RAD)**	**Benchmark**	**1st Qtr. 10/1/2019 to 12/31/2019 YTD Outcome (Post RAD)**	**2nd Qtr. 1/1/2020 to 3/31/2020 YTD Outcome (Post RAD)**	**3rd Qtr. 4/1/2020 to 6/30/2020 YTD Outcome (Post RAD)**	**4th Qtr. 7/1/2020 to 9/30/2020 YTD Outcome (Post RAD)**	**Benchmark Achieved**
Savings in property management dollar because of 360 picking up this function	$627,480	NA	$39,758.80	$45,984.78	$92,752	$137,103	
Total Operating Costs	**$1,286,696**	**10% (Percent Difference)**	**$301,363**	**$291,764**	**$569,669**	$803,391	18%

RAD Group II - Converted April 1, 2019							
Fulton, Stanley, Waverly							
Unit of Measurement	**Fiscal Year 2018 Baseline (Pre-RAD)**	**Benchmark** NA **10%**	**1st Qtr. 10/1/2019 to 12/31/2019 YTD Outcome (Post RAD)**	**2nd Qtr. 1/1/2020 to 3/31/2020 YTD Outcome (Post RAD)**	**3rd Qtr. 4/1/2020 to 6/30/2020 YTD Outcome (Post RAD)**	**4th Qtr. 7/1/2020 to 9/30/2020 YTD Outcome (Post RAD)**	**Benchmark Achieved**
Savings in property management dollar because of 360 picking up this function	$251,078		$30,357	$37,270	$77,409	$116,395	
Total Operating Costs	**$1,124,435**		**$165,363**	**$199,489**	**$416,647**	**$644,291**	**2%**

RAD Group III - Anticipated Conversion Late Fall							
McQueeney (Residential), Celentano							
		Benchmark	**1st Qtr.**	**2nd Qtr.**	**3rd Qtr.**	**4th Qtr.**	

Unit of Measurement	**Annualized FY 2019 Baseline (Pre-RAD)**	NA 10%	**10/1/2019 to 12/31/2019 YTD Outcome (Post RAD)**	**1/1/2020 to 3/31/2020 YTD Outcome (Post RAD)**	**4/1/2020 to 6/30/2020 YTD Outcome (Post RAD)**	**7/1/2020 to 9/30/2020 YTD Outcome (Post RAD)**	**Benchmark Achieved**
Savings in property management dollar because of 360 picking up this function	$383,026	10%	TBD	TBD	$118,110	$235,367	
Total Operating Costs	$3,074,395	10%	TBD	TBD	$481,638	$824,572	*30% (of YTD Budget)
RAD Group IV - Anticipated Conversion Early 2021							
Fairmont Heights, Ruoppolo Manor							
Unit of Measurement	**Annualized FY 2019 Baseline (Pre-RAD)**	**Benchmark** NA 10%	**1st Qtr. 10/1/2019 to 12/31/2019 YTD Outcome (Post RAD)**	**2nd Qtr. 1/1/2020 to 3/31/2020 YTD Outcome (Post RAD)**	**3rd Qtr. 4/1/2020 to 6/30/2020 YTD Outcome (Post RAD)**	**4th Qtr. 7/1/2020 to 9/30/2020 YTD Outcome (Post RAD)**	**Benchmark Achieved**
Savings in property management dollar because of 360 picking up this function	$396,073		TBD	TBD	TBD	TBD	
Total Operating Costs	$2,249,026		TBD	TBD	TBD	TBD	

Challenges and Changes

RAD I

FY 2020 ended with **$137,103** in personnel costs savings for ECC. Savings in YTD Total Operating Costs (TOC) was **$803,391; 18%** less than YTD Projected Budget. The Debt Service Ratio (DSR) was **1.92**; the required DSR is 1.27.

RAD II

FY 2020 ended with **$116,395** in personnel costs savings for ECC. Savings in YTD Total Operating Costs (TOC) was **$644,291, 2%** of less than YTD Projected Budget. The Debt Service Ratio (DSR) was not calculated at this time.

RAD III

RAD III did not convert until March 1, 2020. FY 2020 ended with **$235,367** in personnel costs savings for ECC. Savings in YTD Total Operating Costs (TOC) was **$824,572, 30%** of less than YTD Projected Budget totaling $1,170,817. Note that this reflects financial data for 9 months. The Debt Service Ratio (DSR) was not calculated at this time.

RAD IV
RAD IV has not converted. Conversion is slated for Spring 2021.

The Rental Assistance Demonstration (RAD) conversion process and COVID has presented many challenges this fiscal year such as:

1) anticipating and coordinating the transition from LIPH maintenance to 360 Management Group maintenance based on changing closing dates.
2) introducing 360 Management staff to residents who may not understand the changes in personnel and procedures despite frequent written and oral notifications.
3) the need to communicate virtually, via phone, or email during COVID with residents that have limited technology.
4) providing ongoing maintenance services during construction while residents are still in the building because the extra effort required to maintain common areas with fewer staff than under LIPH.
5) additional maintenance issues caused by construction activities e.g., leaks, power outages, and increased traffic in the building.
6) keeping maintenance staff safe from COVID exposure while performing routine and emergency work orders.
7) obtaining initial certification documents from residents required for Low Income Housing Tax Credits (LIHTC) and Project Based Vouchers (PBV). Residents are often reluctant to provide documents because they feel they have already provided them in the past. Or residents feel that they are filling out documents or providing the same information multiple times for both LIHTC and PBV, even though 360 and HCV have coordinated this effort. This is exasperated when closings are delayed. The Compliance Team is then required to update certifying documents that must be current within 120 days of closing for the LIHTC and 60 days for PBV.
8) coordinating move ins with Relocation and CED, while keeping staff and residents safe.
9) managing resident morale because of closing community spaces and limiting social contact.
10) incurring additional, unanticipated expenses such as temporary workers needed to properly clean and sanitize the buildings, and the purchase of cleaning supplies and personal protective equipment due to COVID.
11) selecting applicants from the waitlist, obtaining certifying documents and the delays in the approval process due to COVID.

<u>The Formation of a Resident Services Instrumentality</u>

ECC/HANH is committed to creating resident services programming which gives 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. Currently these services are coordinated by ECC/HANH's Community and Economic Development division that provides educational and workforce training, job placement, after-school youth and teen programs, mentoring, youth employment – all to link community resources to the families to achieve health and wellness, and financial literacy. In addition, ECC/HANH strives to connect Elderly/Disabled residents to resources and supportive services, in the areas of health and wellness, financial literacy, education and socialization to ensure residents remain independently housed, and achieve maximum quality of life through the provision of a variety of supportive care services. Resident services are also integral to improving the performance of ECC/HANH's public housing and affordable housing properties by reducing turnover, evictions, and preserving vibrant and well-maintained communities.

In accordance with Strategic Plan 2016-18, ECC/HANH MTW 2020 goal is to establish a nonprofit 501(c)3 Resident Services instrumentality. The purpose of the instrumentality is to create a social services affiliate organization dedicated to supporting and serving low-income residents of New Haven and surrounding communities, particularly those living in Elm City Communities' affordable housing communities. This organization will provide services to residents directly and will coordinate activities with other community-based partners.

A primary purpose of establishing a Resident Services instrumentality is to pursue revenue-generating opportunities that may not be available to a public housing authority. Using federal MTW funds, ECC/HANH currently supports a wide range of services for residents. However, in light of changes or the expansion of ECC/HANH 's MTW funded initiatives, continued funding for resident services will be limited. The Strategic plan anticipates that the Resident Services instrumentality will ultimately secure funding through non-MTW funds to support at least 50% of residents' services currently funded MTW sources.

The MTW 2020 proposed Resident Services instrumentality activities include: 1) identifying seed money or a loan commitment to support the initial activities to create a legal entity structure and to apply for 501 (c) 03 status; 2) develop a plan to structure the social services non-profit for maximum flexibility including marketing, staffing, salaries, and size so that it is fully funded by professional service fees and other non-MTW funds; 3) collaborate with Property Management to develop a business model to sell professional services in compliance, property management and resident service; and 4) engage a grant writer to assist in grant writing and the development of a comprehensive fundraising plan.

Outcomes

Objectives MTW 2020	**Time Frame**
Identify Seed Money/Loan Commitment	January, 2020
Create legal entity for Resident Services	April, 2020
Apply for 501 (c) 03 status	June, 2020
Structure the social services non-profit for maximum flexibility including marketing, staffing, salaries, and size so that it is fully funded by professional service fees and other non-MTW funds.	July, 2020
Collaborate with Property Management to develop business model to sell professional services	September, 2020
Engage a grant writer to assist in grant writing and the development of a fundraising plan.	December, 2020

Challenges and Changes

Changes

The creation of a legal entity has been postponed. However, CED has engaged a grant writer and has successfully been awarded funding through a ROSS and FSS grant.

Additionally, discussions have begun to structure the social services non-profit for maximum flexibility including marketing, staffing, salaries, and size so that it is fully funded by professional service fees and other non-MTW funds within in 5 years.

The SVP for 360 Management Group, the SVP for Operations and the Director of CED are collaborating on developing a business model to justify a business imperative to establish a resident services instrumentality.

Outcomes

HUD-Required Metrics

Initiative 3.7 Non-Traditional Supportive Housing with Time Limited Support for Families Transitioning from Homelessness

Self-Sufficiency

Housing Choice

Approved in FY19.

Description

ECC/HANH proposes to co-develop non-traditional housing supports for units of affordable housing for families transitioning from homelessness. This support is targeted toward families seeking economic self-sufficiency following shelter and transitional housing offered through a community provider. The first project developed under this proposed initiative would be a 19-unit development owned by Christian Community Action (CCA). Program participants would be identified from shelters owned and managed by CCA and from other family shelter providers in the greater New Haven area. Families will receive case management support to achieve work goals that support independent living in 24 to 36 months, with a maximum period of housing subsidy support for 36 months. This activity will be a 10-year PILOT program and at the conclusion of the pilot period, the Authority will determine if it will make this Initiative a permanent activity.

Program Participants would be identified from shelters owned and managed by CCA and from other family shelter providers in the greater New Haven area. Families will receive case management support to achieve work goals that support independent living in 24 to 36 months. Once families graduate from the program, they will receive an additional year of support and mentorship. These services will be provided by CCA's ARISE Center. The ARISE (Accessing Resources for Independence, Skill-Building and Employment) Center serves families that are residing within the CCA Hillside Family Shelter (HFS) and Stepping Stone Transitional Housing Program (SSTHP), as well as serving families for up to one year after they have moved from a CCA housing program and into permanent housing. The purposes of the ARISE Center services are to increase employability and promote family health, wellness, and stability through the work of the ARISE Employment Services and Child and Family Services.

ECC/HANH proposes to provide non-traditional housing support modeled on the housing choice voucher program with subsidy paid at the 110% payment standard. Program income generated from the use of housing choice vouchers will be used to support necessary improvements to the building and to offset a portion of the administrative expenses associated with the program delivery model.

All Program Participants will agree to a maximum period of housing subsidy support of 36 months. At the end of the program period, unless otherwise authorized, it is the expectation that families will move into non-subsidized permanent housing, identify subsidized housing options inside or outside of the City of New Haven, or pursue other housing options for their families. Program participants can be placed on the ECC/HANH PBV waitlist, and are eligible to occupy one of the agency's project-based units while they are enrolled in the program or after their matriculation from the program. Participation in the program does not guarantee any housing assistance beyond the 36-month program period.

This activity will be a 10-year PILOT program and at the conclusion of the pilot period, the Authority will determine if it will make this Initiative a permanent activity. The 10-year pilot program is based on the following assumptions. (a) 1-

year acquisition, renovations, and initial lease up period for program participants. (b) Completion of three thirty-six-month program cycles for participants, which will be approximately 50 individuals and families. Our goal during this period is for 70% of our families to transition out of the program with higher incomes and into non-subsidized housing options. Participants who either do not meet the program requirements and are voluntarily or involuntarily released from the program, or who fail to identify housing options for themselves when the program will be completed, will have to seek outside support to address their unmet housing needs. All program participants will continue to have access to ARISE Center staff once they leave the program to support their efforts to become or remain self-sufficient.

In the event that program model does not meet its intended results, ECC/HANH, working in concert with CCA, can either choose to make significant changes to the program model, or transition the development into more traditional subsidized housing development for families in New Haven, that would be subject to the normal requirements of ECC/HANH.

Selection Process, Eligibility and Criteria Families will be selected for participation of CCA's Moving to Work Program based on submission of completed application, income guidelines and willingness to fully participated in the Program.

Families that are homeless or at risk of homelessness, where the heads of household make a commitment to participate fully in the Program must submit a pre-application. All completed pre-applications will be time and date stamped and added to a waitlist maintained by CCA Workforce Housing Program. As openings becomes available families will be scheduled for a pre-screening interview. The Pre- Screening staff (the director of housing services and family coaches) will conduct a needs assessment focusing on the following areas: income, employment, childcare, housing and health, description of the Program goals and opportunities for the family to move to greater independence. The family will complete a full application to the Program. Along with the "full application" families will be required to submit the following documentation: proof of homelessness (letter from shelter provider), proof of income from all income sources, photo identification, birth certificate, social security card, health insurance card for all household members and immunization record (all the children).

To be eligible, household income cannot exceed the income limit of the New Haven-Meriden Area Median Income of Very Low (50%) Income Limit (see income guideline below), and the family desire to move closer to independence by articulating their willingness to fully participate in the workforce housing program for a successful exit to permanent housing.

Income Criteria: Total Household income cannot exceed the income limit for each household size:								
New Haven-Meriden Area Median Income - Very Low (50%) Income Limit								
Household size	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**
Income Limit:	**32,100**	**36,700**	**41,300**	**45,850**	**49,550**	**53,200**	**56,900**	**60,550**

Impact

The Authority has been working with the CCA, a community provider, on a timeline for rehabilitation and financing. Financed is scheduled to be secured and closed during FY21.

Outcomes

HUD-Required Metrics

SS#1: Increase household income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Family income	As families are enrolled baseline household income will be determined. At baseline, family income will be below levels required for unassisted housing	33% of families will experience an increase in family income	N/A	N/A

SS#3: Increase positive outcomes in employment status				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Enrollment in part- and full-time employment	At baseline, all families will be engaged in workforce training or educational program, part time employment or full-time employment	The number of families enrolled in PT and FT employment will increase	N/A	N/A

SS#8: Households transitioned to self sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Transition to access housing without assistance	At baseline, no families will meet economic self-sufficiency measures as indicated by ability to lease unassisted in the market	About 33% of families are anticipated to reach self-sufficiency goals in year one	N/A	N/A

HC#1: Additional units of housing made available				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Housing units	At baseline, 0 units of term limited nontraditional housing are available.	By year one, 18 new units of term limited nontraditional housing units will be available	N/A	N/A

ON-HOLD ACTIVITIES

Initiative 1.16 – Crawford Manor Transformation Plan

Approved in FY13, implemented in FY16, and placed on hold in FY17.

Housing Choice

Description and Status

As one of the older, more blighted developments in the ECC/HANH portfolio, Crawford Manor is an ideal focus for a neighborhood transformation plan. As such, ECC/HANH applied for a Choice Neighborhoods Initiative (CNI) Planning Grant, which would have allowed for a comprehensive approach to neighborhood transformation. If awarded, CNI 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 the transformation of the surrounding community to promote the self-sufficiency of ECC/HANH residents and economic development along the nearby 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% FMR 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. ECC/HANH continues to investigate opportunities to redevelop this property. Designed by famed architect Paul Rudolph, Crawford Manor is listed on the National Register of Historic Places. ECC/HANH has initiated discussions with the State Historic Preservation and Historic Tax Credit Office regarding potential state and federal historic tax credits for this property to supplement LIHTC and private financing. This initiative continues to be on hold as of FY20.

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

Establishment of Incentive Grant Program for ECC/HANH Residents Participating in Agency's Family Self-Sufficiency Program – "REACH"

Approved and placed on hold in FY19 to prepare for implementation. No changes for FY20

Description

ECC/HANH proposes to phase out and replace the Earned Income Exclusion program with the REACH Grant Program. Managed by FSS Case Managers, the REACH Grant will provide cash assistance to residents seeking to achieve defined self-sufficiency goals. Residents who are already enrolled in the HUD FSS Program or ECC/HANH CARES Program will not be eligible. ECC/HANH residents that have elected to participate in the agency's non-HUD FSS Program will be able to apply for and receive up to $500 per year for up to five years to support progress toward goals established as part of an Individual Self Sufficiency Plan.

The REACH Grant Program seeks to reduce barriers and facilitate short term "wins" for residents as they move toward self-sufficiency. REACH grant funds will not roll over from year to year, as the program is intended to encourage goal setting and achievement within each year of participation. This is a departure from the structure of other ECC/HANH self-sufficiency programs, such as HUD FSS or CARES, where participants can become eligible to build or grow dollars in escrow accounts, which can be used for automobile purchases, down payments for homeownership, or educational expenses. Instead, the REACH Grant aims to support our residents in different ways. The grant is designed to be an accelerator that enables the first or next step in a resident's pursuit of their goals, without a great deal of bureaucracy, but with full transparency. We anticipate that REACH Grant Funds will be used by residents in the following ways:

- books for school or educational courses
- application or enrollment fees
- uniforms
- testing requirements
- tools and equipment for work
- technology
- small emergencies

- short term transportation needs

In establishing the REACH Grant program, ECC/HANH is attempting to determine if there is a direct correlation between access to financial incentives and goal achievement for participants in the FSS Program. ECC/HANH aims to see not only how these funds are impacting the lives of our participants, but also to illustrate how small incentives can result in reducing subsidies. Grant awards must be made in the context of the self-sufficiency goals established by the participant and will be tracked using a new case management system. This will allow FSS Case Managers to track the impact of the REACH grant on participants' progress toward self-sufficiency goals.

This initiative seeks to meet the HUD goal of giving 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. By providing support to head of households, the grant is designed to help households overcome the barriers that often prevent individuals from achieving a defined self-sufficiency goal. ECC/HANH envisions the REACH grant program as the "But for Stopper," helping households to eliminate obstacles that stop their progress. The program model is designed to give individuals the resources they need to move forward independently, without creating a reliance on financial support for their future success.

Impact

This program was scheduled to be launched in FY20, however we continued to move through the planning stage. The program is scheduled to launch October of FY21. Metrics will be provided in the FY21 report and forward. As mentioned above, the REACH program will replace the IEE program. Under the terms of the IEE Program, that agency assumed the costs of the discounted rent for all program participants, regardless of whether they met the objectives of the initiative. With a more targeted approach to financial incentives, the REACH program is expected to result in agency cost savings through reduced costs per resident. ECC/HANH also expects that tracking the impact of the REACH grant will be more feasible than the IEE Program it is replacing.

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. 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. 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. MTW authorization no longer required.	FY13
Initiative 3.3 – Revised HQS Inspection Protocol	Approved and implemented in FY11. Replaced with Initiative 3.5.	FY15

Initiative 3.4 – Mandatory Direct Deposit for Housing Choice Voucher Landlords	Approved and implemented in FY10. 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 1.5—HCV PREFERENCE AND SET-ASIDE FOR VICTIMS OF FORECLOSURES	Approved in FY09. Implemented in FY10. Closed out in FY19.	FY19

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 ECC/HANH's developments (those not reflecting local or increased TDCs)	10% increase; REAC scores would reach 88	Refer to Appendix 8: ECC/HANH Development REAC Scores for specific data points.	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, ECC/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, ECC/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.*

Cost Effective

Initiative 1.3 – Fungibility of MTW Funds

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.

Cost Effective

Initiative 3.2. – UPCS Inspections

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 ECC/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, reinspection, initials, and specials: Benchmark based on 3,036 inspections including HQS, reinspection, initials, and specials; Baseline FY13: 4,372 including HQS, reinspection, 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 participate 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, reducing the number of paper checks processed monthly which has in turn reduced the cost of administrating the HCV program. This initiative was also expected to minimize landlord complaints of non-payment of HAP payments.

Outcomes

HUD-Required Metrics

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

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

Internal Metrics

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

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

LIPH Income Targeting: Marketing Initiatives for Higher Income Eligible Families

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

Cost Effective

This initiative was first approved in FY08. In FY09, the implementation of 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, however, this initiative was placed on hold in FY12 and no actions were taken to reactivate the initiative. In FY16, ECC/HANH closed out the initiative.

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

Approved in FY09 and implemented in FY10 and closed out at the beginning of FY19.

This initiative was intended to prevent the displacement of families due to foreclosure. ECC/HANH was able to assist families with the foreclosure vouchers at a time when homes were being foreclosed at high rates. Following implementation in FY10, the demand for HCV vouchers for victims of foreclosure decreased during FY17 and FY18. In addition, many participants either ported out to another jurisdiction or left the HCV program, further reducing the need for the number of set-aside vouchers. At the end of FY18 there were 18 families leased and in the 1st quarter of 2018, there were 17 families leased.

Now that the market has stabilized and there are fewer foreclosures, the demand for HCV foreclosure vouchers has decreased, and the initiative's wait list is now closed. ECC/HANH is in the process of phasing out this initiative and. The remaining vouchers will be moved back to the MTW TBV voucher pool as participants leave the program. As of FY20 the number of vouchers has been reduced to 15.

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

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)	15 TBVs available for foreclosure protection	2020: 15 leased 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.

V. SOURCES AND USES OF FUNDS

(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, FY2020		
LINE ITEM #	**DESCRIPTION**	**TOTAL**
290	Total Assets and Deferred Outflow of Resources	$36,377,767
600	Total Liabilities, Deferred Inflows of Resources and Equity - Net Assets/Position	$36,377,767
70000	Total Revenue	$100,938,729
96900	Total Operating Expenses	$25,158,775
97000	Excess of Operating Revenue over Operating Expenses	$76,779,954
10000	Excess (Deficiency) of Total Revenue Over (Under) Total Expenses	$(3,297,353)

Line 10000 includes $7,114,318 of depreciation expense. Excluding depreciation expense Line 10000 would show an excess of revenues over expenses of $3,816,453.
Primary gain on disposal of assets (related to RAD II) of $6M, higher tenant revenue of $700K due to timing of RAD conversions, higher than plan other income $130K
Primarily due to severance which was not paid during 2019 due to timing of RAD conversions.

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.

In FY19, ECC/HANH changed the LAMP to charge each program a management fee to COCC, equivalent to 10% of program revenues or expenses. This was approved as part of our 2019 MTW plan and was implemented accordingly. No other changes have been made.

MTW ACTIVITIES THAT USE ONLY MTW SINGLE FUND FLEXIBILITY

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 help assure the long-term viability of the portfolio, ECC/HANH is using the PNA to develop 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 those 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%, which will allow for the conversion of ACC units to PBV units. This will provide the cash flow necessary to enable ECC/HANH to borrow private funds to rehabilitate aging developments in the portfolio. ECC/HANH also seeks to waive the requirement of one-year tenancy to allow participants greater flexibility.

Mobility is offered by allowing tenants the option to vacate the development during rehabilitation and to choose between returning upon the completion of the rehabilitation or to accept 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) 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 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. 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 aid 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:

- Ribicoff 9% closed during FY15
- Ribicoff 4% closed during FY15
- Fair Haven and Farnam Phase I closed during FY16
- Closed on Farnam Phase IIa during FY20. Phase IIb is scheduled to closed in December of 2020.

Impact

This initiative helps to increase the supply of affordable housing in areas that: promote de-concentration of poverty, offer accessibility to employment, schools, shopping, and transportation, and are undergoing other significant investments. 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 FY20 249 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	2019: 1383 LIPH units 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.	Refer to Appendix 12: Number of Major Crimes.	Yes

Challenges or Changes

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

Vacancy Reduction

Implemented in FY08.

Description of Activity

ECC/HANH currently uses the funding flexibility to reduce vacancy by performing more unit turnover. To reduce vacancy, ECC/HANH has set a standard time period for unit turns by bedroom size. Typically, a 0- or 1-bedroom unit turn should occur within a 5-week period. A larger 3 to 5-bedroom unit may take several weeks longer, particularly if hazardous materials such as asbestos or lead have been found in the unit. MTW funding allows ECC/HANH to bulk, abate hazardous materials, renovate the unit, and manage all administrative functions supporting vacancy reduction.

Impact

ECC/HANH plans to continue to improve from the baseline FY08 vacancy rate of 10%. Efforts will continue during FY20.

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	2019: 1,383 units 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

Internal Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for ECC/HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88.	Refer to Appendix 8: ECC/HANH Development REAC Scores for specific data points.	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	Refer to Appendix 9: Work Orders, FY09 to FY19 for specific data points.	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%	Refer to Appendix 11: LIPH Occupancy for specific data points.	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)

Approved in FY10.

Description

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.

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 between $150 and $200 million.

This project includes the redevelopment of:

- Brookside Phase I and II (Rental)
- Brookside (Homeownership)
- 122 Wilmot
- Rockview Terrace Phase I and II (Rental)
    - Phase I: Completed and leased up in FY14.
    - Phase II: Offsite component of Westville Manor redevelopment. Awarded a 9% LIHTC allocation in FY19, construction was partially completed during 2020 and finalized in December of 2020 (FY2021).
- Rockview (Homeownership)
- Ribicoff 4% and 9%:
    - 4%: Completed in FY14.
    - 9%: Completed in FY15.

During FY14, the Rockview Rental Phase I was completed and leased up. Ribicoff was completed in two phases in 2015 and 2016. Rockview Phase 2 was awarded a 9% LIHTC allocation and will begin construction in the FY19. Rockview Phase 2 is the offsite component of the redevelopment of Westville Manor.

ECC/HANH has partnered with Michaels Development Company, a nationally known affordable housing developer with a large portfolio, to redevelop the Brookside and Rockview 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 both 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. The 122 Wilmot Road development is a part of ECC/HANH's West Rock Redevelopment efforts. 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 build wealth in the West Rock community.

During FY13, Glendower began a new initiative to provide working capital to cooperative corporations through the purchase of shares, which may also entail lending. 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 development 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

ECC/HANH has 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 offsite component of the Westville Manor redevelopment. ECC/HANH received a 9% LIHTC allocation and closed on Rockview Phase II as of July 2019. This redevelopment effort was partially completed in FY20 and fully completed and occupied in December of 2020 (FY21)

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	2020: 1,383 units 2019: 1,634 units 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

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, ECC/HANH expects that 20 first- time homebuyers will be	FY19: Homeownership units built: 0 Purchased: 0 FY18: Homeownership units built: 0 Purchased: 0	Yes

		homeowners. The program has been in place for 2 years. By the end of FY13, ECC/HANH expected that 12 units would be built.	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	

Internal Metrics

Redevelopment Metrics				
Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for ECC/HANH's developments (those reflecting alternate TDCs)	10% increase. REAC scores would reach 88.	Refer to Appendix 8: ECC/HANH Development REAC Scores for specific data points.	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	Refer to Appendix 9: Work Orders, FY09 to FY19 for specific data points.	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	2017: Ribicoff 4%: $159.52 Ribicoff 9%: $183.81 Wilmot: $143.41	Yes

		$858.33 per unit.		

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%	Refer to Appendix 11: LIPH Occupancy for specific data points.	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.*

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

Implemented in FY11, ECC/HANH continues to strengthen the 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. ECC/HANH support includes the following:

- assistance in the outreach, recruitment, and potential contractor's capacity assessment.
- a computerized database for Section 3, MBE, WBE and other small businesses to access for potential contract opportunities.
- computer access for Resident-Owned Businesses ("ROBs") to obtain information on construction contract advertisements and communicate with other owners regarding potential contracting opportunities.
- one-on-one consultation with ROB's business consultant once a week.
- quarterly training workshops to explain ownership and the 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, 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 an 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

The ROB program has increased the economic well-being of residents who have successfully started and sustained their own businesses. For FY20, the average income of ROB households is $24,403 compared to $26,751 in FY19, a decrease of 8.7 percent.

During FY20, the Resident Owned Business (ROB) program served 36 participants, all of whom received individual assessments and entrepreneurship consultation and/or ongoing training. To date, the ROB program has launched 29 businesses. The businesses range in interests and include a cleaning services, livery service and relocation service. Of the 29 residents who have launched a business through the ROB program, three were in operations prior to COVID and one remains active in operation at the end of FY20.

Business Operating in FY20	Household Earned income
Transportation Service	**2020: $61,176 2019: $74,547 2018: $38,241 2017: $16, 914**
Professional Cleaning Service	**2020: $3,304 2019: $13,024 2018: $0 2017: $0**
Relocation Service	**2020: $46,410 2019: $61,176**

Existing Resident Owned Businesses are also offered ongoing consultation, assistance and training. Following the shutdowns due to COVID, the consultant contacted each of the ROB's to assess business operation and offer support. During that time, the Relocation Business was inactive because the relocation project she was contracted to work on was put on hold. The Transportation Service business was impacted due to the travel restrictions as most of his business was from corporate travel to and from airports. The Professional Cleaning Service business was also inactive as many businesses stopped on site operation and residences were not allowing cleaning professionals into their homes.

The Transportation Service business and Professional Cleaning Services business has worked extensively with the Community and Economic Development Department and the ROB consultant to receive guidance, training and support.

In addition to working with the consultant to consider a number of loan options, including SBA, PPP and an ECC/HANH Loan, Mr. Randall also received a deferment on his current outstanding loan with ECC/HANH. In addition, he continues to work with the team to receive financial literacy support and counseling to him through loss of income from ROB. He has not been interested in pursuing any of the SBA Grants offered through the Government and State of CT and is looking forward to business travel to begin again to that he can continue business operations.

At the time of the COVID lock down, the Professional Cleaning Service business lost all of her clients and she also suffered some health issues. The resident did file for unemployment during her time of recovery. Once the unemployment benefits ran out, she pursed an SBA grant and LISC funds. At the end of FY20, she began working with the consultant to utilize those funds to restructure and shift her current residential and commercial cleaning business model to respond to current market.

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*	2020: $24,403 2019: $26,751 2018: $25,000 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	2020: 36 2019: 76 2018: 53 2017: 36 2016: 11 2015: 3 2014: 5 2013: 5	Yes
Number of households receiving training**	7 (2012)	10	2020: 31 2019: 29 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	2020: 36 2019: 3 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	2020: $0 2019: $0 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	2020: $5,222 2019: $8,000 2018: TBD 2017: $16,400 2016: 6,700 2015: $7,382 2014: $10,541 2013: $29,959	Yes
Number of Loans				
Number of loans outstanding	5 (2012)	2	2020: 1 2019: 1 2018: 1 2017: 1 2016: 1 2015: 1 2014: 1 2013: 2	No
Amount Under Contract with ECC/HANH				
Amount under contract with HANH ($ revenue)	$2,250,000 (2012)	$2,925,000	2020: $0 2019: $0 2018: $0 2017: $0 2016: $0 2015: $0 2014: $0 2013: $7,800,000	No

Challenges and Changes

In FY20, 36 residents received entrepreneurship training and consultation assistance. There were two separate training cohorts that were conducted and offered weekly training to residents and existing business. Due to COVID, one of the cohorts was postponed and eventually shifted to a virtual training model during the fall.

Outreach for the program targeted work-able families who are actively seeking employment and was also promoted to those residents who experienced COVID related income loss. Classes meet weekly for 2 hour sessions that include but is not limited to: defining entrepreneurship, respecting your role as a resident vs. a business owner, what is section 3 of the HUD act of 1968, business idea development including cost and market analysis, estimated cash needed to start a business, sample business plan, structuring the business, incorporating your business, legal forms of businesses, employer identification numbers and state withholding, licenses, taxes, business insurance, selecting the right professional (legal & accountant), operating the business, company policies and procedures/handbook, employment laws, developing clients and marketing to prospective clients, business accounting and principles, business skills assessment, business terms, etc.). Participants and existing business are also offered also receive ongoing 1:1 counseling. At the end of the training, all participants will receive a certificate. At the completion of the course, there will be extensive follow-up and technical support as participants move toward business creation.

As the training continues, the priority is to develop businesses that can contract with ECC/HANH for the work the agency procures. In an effort to assist resident owned business with the capacity and ability to procure both public and private competitive contract awards, training includes content in line with the Section 3 of the HUD Act of 1968. Residents explore ways to grow professionally, enhance their employability, and learn how to start a new business.

Additionally, opportunities will be presented for existing businesses to present their business offerings to agency stakeholders in various departments as they seek to procure both public and private competitive contract awards.

Initiative 4.2F. SEHOP CAPITAL IMPROVEMENT PROGRAM

SEHOP CAPITAL IMPROVEMENT PROGRAM

Implemented in FY10

Description of Activity

Implemented in FY10, this program supports SEHOP 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. This program supports new homeowners with necessary capital improvements costing $500.00 or more that arise after being in the home for a minimum of three years. On a monthly basis, from the time of a SEHOP homeowner purchase, 1% of the purchase price of the home is deposited into the account to be available for capital improvements. Homeowners can access the funds after owning the home for three years.

Only those SEHOP homeowners with a current contract will have access to the program until the contract expires, or program participation ends.

Following an evaluation of the program in FY18, it was recommended that the SEHOP program be removed as an MTW Initiative, with 27 eligible homeowners grandfathered into the benefit at that time. In reviewing this initiative, ECC/HANH has determined that the need for this service is low. ECC/HANH is closing and phasing out this initiative as the program is underutilized and is not directly related to the achievement of any resident self-sufficiency goal or outcome.

Since the review, three homeowners had the SEHOP contract expire and 24 remain eligible in FY20. A total of 24 households are receiving the allowance and three households received a disbursement in FY20 for capital improvements.

In FY20, the capital improvement allowance account balance was $208,020 and reflects disbursements to homeowners who utilized the benefit to cover structural repairs and emergency flooding in their homes. Of the 24 homeowners who are currently eligible for the benefit, three capital improvement disbursements were made in FY20.

FY2020 SEHOP Capital Improvement

Number of Households	Amount Disbursed	Capital Improvement Balance
3	$0	$208,020.96

One SEHOP homeowner utilized the program to cover structural repairs to her home by contracting a specialized company in basement waterproofing. The homeowner utilized $8,339 to cover the work for installation/burying pipes; and, also the installation of gravel drywell with bubbler pot around the basement. The work had to be done as homeowner's basement kept flooding every time it rained resulting in significant damage to her home belongings. She was able to utilize the benefit to hire a waterproofing company to current the problem and she has not encountered any additional flooding in her basement.

Overall SEHOP Capital Improvement

Number of Households	Total Amount Disbursed Since Program Started to Date	Times Utilized
9	$61,587.73	6 households utilized once 2 households twice 1 household utilized three times

Since the inception of the program, 9 households received disbursement for various capital improvements such as plumbing, foundation, tree removal, demolition and deck replacement with the total cost of improvements at $61,587.73.

Challenges and Changes

Several SEHOP homeowners stated that due to COVID restrictions, they were uncomfortable having contractors in their home to perform any potential capital improvements to their homes.

Overall, participants are purchasing homes with a slightly higher value than the median across the city of New Haven. Participants' homes have a median home price of $171,186, while the median home value in the city of New Haven is estimated to be $170,000. 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.

HC #6: Increase in Homeownership Opportunities				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households that receive the capital improvement allowance to	0 (2009)	TBD	FY20: 3 FY19: 3	

make capital improvements to their homes				

Prison Community Reentry

Implemented in FY10.

Description

ECC/HANH serves individuals who have reentered society following incarceration by offering mentoring, training, and housing. ECC/HANH Reentry program candidates are referred by the City of New Haven. ECC/HANH interviews candidates immediately upon receipt of the 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. While working on completion of identified goals, 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, which means they no longer receive mentoring/training, but remain housed. 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 (LIPH) units, as well as housing choice vouchers (HCV), for individuals returning to the community following incarceration. 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. ECC/HANH expects participants to engage in community supportive services and job skills training. As with other LIPH residents, reentry participants are expected to remain lease compliant (i.e. pay rent on time) and not be a nuisance to other residents. The program's maximum capacity is now 16 housing units.

- **Rationale:** The reentry population is a particularly vulnerable 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

During FY 2020, there were no new admissions in the LIPH segment and there was 1 new admission in the HCV segment. The residents met goals of employment and other identified goals. By the end of the fiscal year there were no LIPH slots utilized and 27 of the 30 Re-Entry Housing Choice Vouchers were utilized.

The LIPH families attend individual meetings led by a case manager each month beginning the 2nd month of their tenancy. During the first meeting an action plan is agreed upon based on the input from the family. The following monthly meetings allow ECC to track the progress of the family in obtaining their goals; or the barriers that prevent their success.

Residents and participants are referred to partners for supportive services, recidivism prevention, job skills and other job preparation services to aid in successful transitions to self-sufficiency.
During FY20, ECC/HANH formed a committee to review the initiative to determine how else we could provide self-sufficiency services in the community. The committee also updated way new participants come into the program. Starting in FY21, ECC/HANH moved away from allotting a set number of units and vouchers for this program. In addition, we are now working with new family members who were recently released from prison and were added to current households. This is going to expand the pool of participants. ECC/HANH has also reviewed the self-sufficiency services for this group and has organized a prescribed set of services that all participants must access in addition to already provided and accessible services.

SS #3: Increase in Positive Outcomes in Employment Status*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of families with employment income as of 9/30/2020	0 (2010)	50% would be employed	2020: 5/27 (19%) 2019: 3/33 (10%) 2018: 4/38 (11%) 2017: 2/3 (66%) 2016: 1/15 (.06%) 2015: 0/5 (0%) 2014: 1/2 (50%) 2013: 0/2 (0%)	No
Percentage of individuals remained employed for more than six months	0 (2010)	50% will be employed for more than six months	2020: 5/27 (19%) 2019: 8/33 (24%) 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 individuals referred for services**	0 (2010)	All individuals will be enrolled in Family Support Service or FSS Program	2020:0/27 (0%) 2019: 0/33 (0%) 2018: 38/38 (100%) 2017: 0/3 (0%) 2016: 0/15 (0%) 2015: 5/5 (100%) 2014: 2/2 (100%) 2013: 2/2 (100%)	No

SS #5: Households Assisted by Services that Increase Self Sufficiency (continued)				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of individuals compliant with plan	0 (2010)	50% will be compliant with Service Plan***	2020: 27/27 (100%) 2019: 32/33 (96%) 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******				
Participant program graduation during fiscal year (LIPH segment)	0 (2010)	50% will Graduate the program	2020: 0/27 (0%) 2019: 3/33 (10%) 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 comp*Resident Services for Elderly/Disabled**

4.4F Resident Services for Elderly/Disabled

As of 2003, ECC/HANH implemented its Resident Services for Elderly/Disabled initiative in one of the buildings. The initiative was then extended to three additional sites in 2007. As of FY19, resident services have been expanded to all Elderly/Disabled Developments.

Description

The initiative began with the goal of supporting the quality of life for residents who are elderly, at age 62 and older, or living with a disability, and ensuring that residents are able to live independently and maintain self-sufficiency. The initiative strives for this goal through:

- connecting elderly and disabled residents with the support needed to ensure a sense of community and companionship,
- decreasing isolation for those living alone,

- helping residents to access public benefits and supplemental income,
- making connections to medical and behavioral health services, and
- providing general support with access to basic needs, such as food, transportation, or housekeeping

The Resident Services program supports the quality of life of the residents, to live independently and to maintain self-sufficiency. The case management services 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. To carry out Elderly/Disabled programming, the Resident Services Coordinators (RSCs) take on a number of responsibilities to ensure a high quality of life for Elderly/Disabled residents. To begin, RSCs conduct needs assessment on each resident. Depending on their individual needs, residents are placed in a "high, medium or low" category of case management. Once a needs assessment is conducted, RSCs then develop an Individual Service Plan. On average, intensive case management is provided to an approximate 40 residents on a monthly basis. In addition, the RSCs also provide educational programming tailored to the resident, such as financial literacy to learn to manage a budget.

Impact

The Resident Services program for Elderly/Disabled is staffed by Resident Services Coordinators, and a CED staff who holds a master's in social work (MSW), In FY2020 , the Elderly/Disabled Resident program had a total of 608 cumulative residents access services throughout the year. This is a -5% decrease in total participants from FY19 which was 640 residents. This difference can be attributed to the Rental Assistance Demonstration (RAD) and the agencies decision to give Section 8 vouchers to the residents who were on the waitlist for Reasonable Accommodations.

Outreach efforts for the Elderly/Disabled program have continued to grow over the past several years. These efforts have increased through conducting ongoing needs assessments, and coordinating group meetings, such as the Tenant Resident Councils and Resident Advisory board. In FY19 the outreach efforts totaled 592. In FY2020 which is 3,080 represents an increase of 479% from last year. The increase in families serviced and outreach efforts can be attributed to many program features, including the addition of the Recreational Therapist, the increase of programming offered onsite, the care coordination and case management of the Resident Service Coordinators, interventions through the staff with an MSW and the collaboration with an Elderly. Due to COVID the CED staff have taken over the food bank which is a volunteer run program and distributed food to every household within the Elderly Developments. The CED department developed a COVID assessment, the RSC's were calling the residents daily to find out their needs during this difficult time. Lastly, in the 4th quarter the Resident Services Coordinators focused on processing rent rebates for all the Elderly/Disabled residents, they processed 585 rebates in total.
A detailed chart explains the increase in the total outreach efforts.

As part of the Elderly/Disabled programming, participants can connect with the recreational therapist. The recreational therapist offers services to improve cognitive functions, promote overall physical health, increase socialization, and decrease the risk of isolation. The programs that are offered are geared toward strengthening an individual's five domains of health: physical, emotional, spiritual, social and cognitive health. The recreational therapist offers an array of programming such as: yoga, knitting, word games, walking groups, and coffee socials. This is particularly important for the 30% of residents who require intensive supportive services. The recreational therapist provides programming and one-on-one services to an average of 120 to 140 residents on a weekly basis. Upon working with the recreational therapist, residents have shown an increase in reconnecting with support services in the community and increased socialization within the development and community, as well as improved quality of life.

During FY19 and FY20 RSCs facilitated a number of relocation efforts in support of ongoing RAD conversions. Supportive services are coordinated before, during and after the relocation has taken place. The RSCs have also assisted with eviction prevention efforts by providing 1:1 budgeting and coordinating services based on a household's need.

As a result of this initiative, ECC/HANH continues to provide services that are beneficial to the residents, and that have shown an increase in participation.

HUD-Required Metrics

SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals enrolled	102 (2012)	100	2020: 608 2019: 640 2018: 569 2017: 98 2016: 96 2015: 92 2014: 98 2013: 105	Yes -5%
Average number of outreach efforts conducted per month	62 (2013)	85	2020: 3,080 2019: 532 2018: 512 2017: 455 2016: 361 2015: 227 2014: 126	Yes 479%
Average number of group meetings held per month	128 (2013)	85	2020: 266 2019: 176 2018: 198 2017: 159 2016: 170 2015: 151 2014: 118	Yes 51%

** ECC/HANH defines self-sufficiency in the context of the Elderly/Disabled program as an individual's ability to live*

Quarter 4 Outreach Efforts

Referrals	64
Rent Rebate	589
Relocation assessments	100
Food Bank	800
CED assessments/goals and barriers	140
Produce boxes by common Ground and Farmers Market Coupons	500
CSFP	381
COVID-19 Outreach calls	600
Total	**3.080**

Internal Metrics

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?

Number of individuals compliant with Action Plan*	83 (2013)	80	2020: 589 2019: 625 2018: 551 2017: 98 2016: 91 2015: 80 2014: 95	Yes -3%
Non-compliant with Action Plan				
Number of individuals non-compliant with Action Plan	22 (2013)	< 25	2020:19 2019: 15 2018: 18 2017: 0 2016: 5 2015: 12 2014: 3	Yes 27%

**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

While employment is valued and encouraged, this initiative is not intended to assist individuals in this population to become employed. As mentioned in the 2019 plan, metric #3 Increase in Positive Outcomes in Employment Status was no longer be reported. These changes are incorporated in the FY2020 plan.

Changes and Challenges for 2020:

The Recreational Therapist ended her work with ECC/HANH in June. The Department made a decision not to rehire for the same position, as the agency is closed due to COVID and the community rooms are also closed.

There was a decrease in the group meetings in the third and fourth quarter because of the lack of the recreational therapist and the community rooms being closed due to COVID.

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

Approved and implemented in FY17.

Description

ECC/HANH has initiated the planning and formation of new affiliate-instrumentality entities to support the Agency's short- 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 developments (ECC/HANH properties and others)

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.

The goal of this initiative is to reduce costs and achieve greater cost effectiveness while increasing family self-sufficiency and housing choice.

The ECC Board of Commissioners, on January 17, 20117, adopted a resolution authorizing the creation of 360 Management Group, a property management instrumentality entity. The purpose of this instrumentality is to:

3) Act as a third-party property management agent for former LIPH units being converted to RAD-HCV units, PBV-HCV units, LIHTC and market rate units and;
4) Support the preservation of affordable housing within the City of New Haven and within other municipalities or jurisdictions that have adopted a similar mission or have similar needs.

Impact Analysis

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6) Support the preservation of affordable housing within the City of New Haven and within other municipalities or jurisdictions that have adopted a similar mission or have similar needs.

360 Management Group Company received its 501 (c) (3) status in March 2018 and it assumed the property operations and compliance management of 312 units.

Subsequently, 360 Management assumed an additional 144 units with the conversion of RAD Group I in May 2018 and 70 units with the conversion of RAD Group II in April 2019. Currently, 360 Management manages compliance and property management activities for 526 units.

360 assumed management of RAD Group III effective February 1, 2020 bringing the total units managed to 739. However, the property did not convert until March 1, 2020.

RAD IV was slated to close in the 4th quarter of 2020; it is now delayed until the 1st quarter of 2021.

Property	**Unit**
East View Terrace I	102
Fairhaven -EVT II	25
Fairhaven -Chatham	32

TwinBrook (Ribi 4)	51
TwinBrook (Ribi 9)	55
Wilmont	47
Prescott Bush	56
C.B. Motley	45
Katherine Harvey	17
New Hall Gardens	26
Stanley Justice	7
Fulton Park	12
Waverly Gardens	51
McQueeney	149
Celentano	64
Total	**739**

Outcomes

RAD Group I - Converted May 15, 2018							
Prescott Bush, CB Motley, Katherine Harvey, Newhall Gardens							
Unit of Measurement	**Fiscal Year 2018 Baseline (Pre-RAD)**	**Benchmark**	**1st Qtr. 10/1/2019 to 12/31/2019 YTD Outcome (Post RAD)**	**2nd Qtr. 1/1/2020 to 3/31/2020 YTD Outcome (Post RAD)**	**3rd Qtr. 4/1/2020 to 6/30/2020 YTD Outcome (Post RAD)**	**4th Qtr. 7/1/2020 to 9/30/2020 YTD Outcome (Post RAD)**	**Benchmark Achieved**
Savings in property management dollar as a result of 360 picking up this function	$627,480	NA	$39,758.80	$45,984.78	$92,752	$137,103	
Total Operating Costs	**$1,286,696**	**10% (Percent Difference)**	**$301,363**	**$291,764**	**$569,669**	$803,391	18%

RAD Group II - Converted April 1, 2019							
Fulton, Stanley, Waverly							
Unit of Measurement	**Fiscal Year 2018 Baseline (Pre-RAD)**	**Benchmark** NA **10%**	**1st Qtr. 10/1/2019 to 12/31/2019 YTD Outcome (Post RAD)**	**2nd Qtr. 1/1/2020 to 3/31/2020 YTD Outcome (Post RAD)**	**3rd Qtr. 4/1/2020 to 6/30/2020 YTD Outcome**	**4th Qtr. 7/1/2020 to 9/30/2020 YTD Outcome**	**Benchmark Achieved**

					(Post RAD)	(Post RAD)	
Savings in property management dollar as a result of 360 picking up this function	$251,078		$30,357	$37,270	$77,409	$116,395	
Total Operating Costs	**$1,124,435**		**$165,363**	**$199,489**	**$416,647**	**$644,291**	**2%**
RAD Group III - Anticipated Conversion Late Fall							
McQueeney (Residential), Celentano							
Unit of Measurement	**Annualized FY 2019 Baseline (Pre-RAD)**	**Benchmark** NA 10%	**1st Qtr. 10/1/2019 to 12/31/2019 YTD Outcome (Post RAD)**	**2nd Qtr. 1/1/2020 to 3/31/2020 YTD Outcome (Post RAD)**	**3rd Qtr. 4/1/2020 to 6/30/2020 YTD Outcome (Post RAD)**	**4th Qtr. 7/1/2020 to 9/30/2020 YTD Outcome (Post RAD)**	**Benchmark Achieved**
Savings in property management dollar as a result of 360 picking up this function	$383,026	10%	TBD	TBD	$118,110	$235,367	
Total Operating Costs	$3,074,395	10%	TBD	TBD	$481,638	$824,572	*30% (of YTD Budget)
RAD Group IV - Anticipated Conversion Early 2021							
Fairmont Heights, Ruoppolo Manor							
Unit of Measurement	**Annualized FY 2019 Baseline (Pre-RAD)**	**Benchmark** NA 10%	**1st Qtr. 10/1/2019 to 12/31/2019 YTD Outcome (Post RAD)**	**2nd Qtr. 1/1/2020 to 3/31/2020 YTD Outcome (Post RAD)**	**3rd Qtr. 4/1/2020 to 6/30/2020 YTD Outcome**	**4th Qtr. 7/1/2020 to 9/30/2020 YTD Outcome**	**Benchmark Achieved**

					(Post RAD)	(Post RAD)	
Savings in property management dollar as a result of 360 picking up this function	$396,073		TBD	TBD	TBD	TBD	
Total Operating Costs	$2,249,026		TBD	TBD	TBD	TBD	

Challenges and Changes

RAD I

FY 2020 ended with **$137,103** in personnel costs savings for ECC. Savings in YTD Total Operating Costs (TOC) was **$803,391; 18%** less than YTD Projected Budget. The Debt Service Ratio (DSR) was **1.92**; the required DSR is 1.27.

RAD II

FY 2020 ended with **$116,395** in personnel costs savings for ECC. Savings in YTD Total Operating Costs (TOC) was **$644,291, 2%** of less than YTD Projected Budget. The Debt Service Ratio (DSR) was not calculated at this time.

RAD III

RAD III did not convert until March 1, 2020. FY 2020 ended with **$235,367** in personnel costs savings for ECC. Savings in YTD Total Operating Costs (TOC) was **$824,572, 30%** of less than YTD Projected Budget totaling $1,170,817. Note that this reflects financial data for 9 months. The Debt Service Ratio (DSR) was not calculated at this time.

RAD IV

RAD IV has not converted. Conversion is slated for Spring 2021.

The Rental Assistance Demonstration (RAD) conversion process and COVID has presented many challenges this fiscal year such as:

12) anticipating and coordinating the transition from LIPH maintenance to 360 Management Group maintenance based on changing closing dates.
13) introducing 360 Management staff to residents who may not understand the changes in personnel and procedures despite frequent written and oral notifications.
14) the need to communicate virtually, via phone, or email during COVID with residents that have limited technology.
15) providing ongoing maintenance services during construction while residents are still in the building because the extra effort required to maintain common areas with fewer staff than under LIPH.
16) additional maintenance issues caused by construction activities e.g., leaks, power outages, and increased traffic in the building.
17) keeping maintenance staff safe from COVID exposure while performing routine and emergency work orders.
18) obtaining initial certification documents from residents required for Low Income Housing Tax Credits (LIHTC) and Project Based Vouchers (PBV). Residents are often reluctant to provide documents because they feel they have already provided them in the past. Or residents feel that they are filling out documents or providing the same

information multiple times for both LIHTC and PBV, even though 360 and HCV have coordinated this effort. This is exasperated when closings are delayed. The Compliance Team is then required to update certifying documents that must be current within 120 days of closing for the LIHTC and 60 days for PBV.

19) coordinating move ins with Relocation and CED, while keeping staff and residents safe.
20) managing resident morale because of closing community spaces and limiting social contact.
21) incurring additional, unanticipated expenses such as temporary workers needed to properly clean and sanitize the buildings, and the purchase of cleaning supplies and personal protective equipment due to COVID.
22) selecting applicants from the waitlist, obtaining certifying documents and the delays in the approval process due to COVID.

The Formation of a Resident Services Instrumentality

ECC/HANH is committed to creating resident services programming which gives 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. Currently these services are coordinated by ECC/HANH's Community and Economic Development division that provides educational and workforce training, job placement, after-school youth and teen programs, mentoring, youth employment – all to link community resources to the families to achieve health and wellness, and financial literacy. In addition, ECC/HANH strives to connect Elderly/Disabled residents to resources and supportive services, in the areas of health and wellness, financial literacy, education and socialization to ensure residents remain independently housed, and achieve maximum quality of life through the provision of a variety of supportive care services. Resident services are also integral to improving the performance of ECC/HANH's public housing and affordable housing properties by reducing turnover, evictions, and preserving vibrant and well-maintained communities.

In accordance with Strategic Plan 2016-18, ECC/HANH MTW 2020 goal is to establish a nonprofit 501(c)3 Resident Services instrumentality. The purpose of the instrumentality is to create a social services affiliate organization dedicated to supporting and serving low-income residents of New Haven and surrounding communities, particularly those living in Elm City Communities' affordable housing communities. This organization will provide services to residents directly and will coordinate activities with other community-based partners.

A primary purpose of establishing a Resident Services instrumentality is to pursue revenue-generating opportunities that may not be available to a public housing authority. Using federal MTW funds, ECC/HANH currently supports a wide range of services for residents. However, in light of changes or the expansion of ECC/HANH's MTW funded initiatives, continued funding for resident services will be limited. The Strategic plan anticipates that the Resident Services instrumentality will ultimately secure funding through non-MTW funds to support at least 50% of residents' services currently funded MTW sources.

The MTW 2020 proposed Resident Services instrumentality activities include: 1) identifying seed money or a loan commitment to support the initial activities to create a legal entity structure and to apply for 501 (c) 03 status; 2) develop a plan to structure the social services non-profit for maximum flexibility including marketing, staffing, salaries, and size so that it is fully funded by professional service fees and other non-MTW funds; 3) collaborate with Property Management to develop a business model to sell professional services in compliance, property management and resident service; and 4) engage a grant writer to assist in grant writing and the development of a comprehensive fundraising plan.

Outcomes

Objectives MTW 2020	Time Frame
Identify Seed Money/Loan Commitment	January, 2020
Create legal entity for Resident Services	April, 2020
Apply for 501 (c) 03 status	June, 2020
Structure the social services non-profit for maximum flexibility including marketing, staffing, salaries, and size so that it is fully funded by professional service fees and other non-MTW funds.	July, 2020
Collaborate with Property Management to develop business model to sell professional services	September, 2020
Engage a grant writer to assist in grant writing and the development of a fundraising plan.	December, 2020

Challenges and Changes

The creation of a legal entity has been postponed. However, CED has engaged a grant writer and has successfully been awarded funding through a ROSS and FSS grant.

Additionally, discussions have begun to structure the social services non-profit for maximum flexibility including marketing, staffing, salaries, and size so that it is fully funded by professional service fees and other non-MTW funds within in 5 years.

The SVP for 360 Management Group, the SVP for Operations and the Director of CED are collaborating on developing a business model to justify a business imperative to establish a resident services instrumentality.

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	ECC/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%	ECC/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 previously coordinated with ECC/HANH's data collection software provider for optimal data collection. In the final year of the contract, Enterprise will complete several case studies of ECC/HANH programs to document program design, identify lessons learned, and prepare the agency for future evaluation.

C. HOTMA Reporting requirements

HOTMA 120%							
	FY19	FY20	FY21	FY22	FY23	FY24	FY25
Number of Families residing in Public Housing Administered by the agency who had incomes exceeding the applicable Income limitation (120% AMI)	3	3					
Number of Families on the LIPH waitlist as of the end of the FY	4461	4461					

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

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

In FY19, 91.6% 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 FY18												
	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 %

	FY19	FY20	FY21	FY22	FY23	FY24	FY25	FY26	FY27	FY28	FY29	FY30
Total number of newly admitted families assisted	347	609										
Number of families with incomes below 50% AMI	318	580										
Percentage of families with incomes below 50% AMI	91.6 %	95.2%										

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 FY19, ECC/HANH served 24% more families than at baseline.

Families Served in FY2018 Compared to Baseline		
Baseline number of families to be served (total number of families)		4827
Total number of families to be served this fiscal year	HCV: 4770	5658
	LIPH: 888	
Numerical difference above baseline		1179
Percentage difference above baseline		17.21%

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%

ECC/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**	FY19	FY20				
Families Served through MTW Public Housing	1,774	1,589	1,441	888				
Families Served through MTW Vouchers	4,315	4,591	4,565	4,770				

Other Families Served through MTW	0	0	0	0				
NUMERATOR – Total Families Served	**6,089**	**6,180**	**6006**					
Number of Families (Public Housing)	1,774	1,898	1,441	888				
Incremental Increase to Baseline	0	0	0	0				
Incremental Decrease to Baseline	196	124	529	1028				
Number of Families (Vouchers)	4,315	4,591	4,565	4770				
Incremental Increase to Baseline	1,458	0	1,708	2801				
Incremental Decrease to Baseline	0	276	0	0				
TOTAL FAMILIES SERVED	**6,089**	**6,180**	**6,006**	**5,658**				
% TOTAL	**126%**	**128%**	**124%**	**117%**				

Incremental Increases/Decreases to Baseline			
Reason for Change	**Program**	**Year of Change**	**Change Amount**
Voucher Baseline - ECC/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 ECC/HANH signed their MTW Agreement. Best number available.	HCV	FY01	2,857
Public Housing Baseline - ECC/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 ECC/HANH signed their MTW Agreement. Best number found.	PH	FY01	1,970
Public Housing - 154 actual unit demo/dispo in 2002. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY02	-154
Public Housing - 36 HOPE VI public housing units added in 2002. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY02	36
Vouchers - 77 Enhanced Vouchers became part of MTW program on 8/1/02.	HCV	FY02	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	FY04	-277
Vouchers - Housing Conversion for Ethan Gardens (28 in 01/05). Housing Conversion for Eastview Terrace (30 in 05/05).	HCV	FY05	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	FY05	-143
Vouchers - Housing Conversion for Canterbury Gardens (34 in 12/05).	HCV	FY06	34
Public Housing - 58 HOPE VI public housing units added in 2006. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY06	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	FY07	-153
Public Housing - 28 HOPE VI public housing units added in 2007. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY07	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	FY08	-90
Public Housing - 28 HOPE VI public housing units added in 2008. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY08	28
Public Housing - 53 new units brought online at Eastview Terrace.	PH	FY09	53

Incremental Increases/Decreases to Baseline			
Public Housing - 295 actual units demo/dispo in 2009. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY09	-295
Vouchers - Housing Conversion for 77-79 Orchard Street Apartments (6 in 08/10).	HCV	FY10	6
Vouchers - William T. Rowe Apartments (9 in 7/11).	HCV	FY11	9
Public Housing - ADJUSTMENT - Demo/dispo report for FY2010 was updated to show one actual unit demolished.	PH	FY11	-1
Public Housing - 50 new units brought online at Brookside Phase I.	PH	FY12	50
Public Housing - 34 new units brought online at The Wilmont Crossing at West Rock and 50 new units at Brookside Phase II.	PH	FY13	84
Public Housing - Pulled from Demo/Dispo Report on PIC data page, pulled on 5.2.17	PH	FY14	-193
Public Housing - 30 units brought online at Rockview Phase 1 Rental (11/30/13 Actual DOFA Date)	PH	FY14	30
Public Housing - Pulled from Demo/Dispo Report on PIC data page, pulled on 5.2.17	PH	FY15	-120
Vouchers - 95 PH units converted to RAD PBV (44 units at Ribicoff Cottages 9%, 51 units at Ribicoff Cottages 4%).	HCV	FY15	95
Public Housing - Pulled from Demo/Dispo Report on PIC data page, pulled on 5.2.17	PH	FY16	-55
Vouchers - Termination opt Out (198 units in 4/16, 15 units in 6/16, 53 units in 8/16)	HCV	FY16	266
Vouchers - 55 units converted to RAD PBV at Farnam - Fair Haven 9%	HCV	FY16	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	FY17	367
Public Housing - Pulled from Demo/Dispo Report on PIC data page, pulled on 8.31.18	PH	FY17	-582
Vouchers	HCV	FY18	276
Public Housing	PH	FY18	124
Vouchers	HCV	FY19	148
Public Housing	PH	FY19	-26
Vouchers RAD Conversions	HCV	FY20	2,801
Public Housing removal of LIPH transferring units to RAD	PH	FY20	-1082

Data Source for Number of Families Served				
2001 - Vouchers - Pulled from page 184 of ECC/HANH's FY 2002 Annual MTW Report.	FY01	2,857	Baseline 4827 total Families Served	
September 2001 - Public Housing - Pulled from last page of ECC/HANH's FY 2002 Annual MTW Report.	FY01	1,970		
FY 2002 - Vouchers - Pulled from ECC/HANH FY09 Annual MTW Report (page 22).	FY02	2,889	101.12%	
FY 2002 - Public Housing - Pulled from ECC/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

FY 2003 - Public Housing - Pulled from ECC/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 ECC/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 ECC/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 ECC/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 ECC/HANH FY09 Annual MTW Report (page 22).	FY07	1,531	77.72%	0.960638077

FY08 - Vouchers - Pulled from September 2008 VMS Report that includes 3,030 MTW.	FY08	3,030	106.06%	
FY08 - Public Housing - Pulled from ECC/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 ECC/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 ECC/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%	1.115599751

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%	

Data Source for Number of Families Served (continued)

2001 - Vouchers - Pulled from page 184 of ECC/HANH's FY 2002 Annual MTW Report.	FY01	2,857	Baseline 4827 total Families Served	
September 2001 - Public Housing - Pulled from last page of ECC/HANH's FY 2002 Annual MTW Report.	FY01	1,970		
FY 2002 - Vouchers - Pulled from ECC/HANH FY09 Annual MTW Report (page 22).	FY02	2,889	101.12%	
FY 2002 - Public Housing - Pulled from ECC/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

FY 2003 - Public Housing - Pulled from ECC/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 ECC/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%	1.05531386

FY 2005 - Public Housing - Pulled from ECC/HANH FY09 Annual MTW Report (page 22).	FY05	1,640	83.25%	
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 ECC/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 ECC/HANH FY09 Annual MTW Report (page 22).	FY07	1,531	77.72%	0.960638077

FY08 - Vouchers - Pulled from September 2008 VMS Report that includes 3,030 MTW.	FY08	3,030	106.06%	
FY08 - Public Housing - Pulled from ECC/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 ECC/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 ECC/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
FY12 - Vouchers - Pulled from ECC/HANH's FY12 Annual MTW Plan. (Page 8)	FY12	5,119	179.17%	
FY12 - Public Housing - Pulled ECC/HANH's FY12 Annual MTW Plan. (Page 8)	FY12	2,094	106.29%	1.49430288
FY13 - Vouchers - Pulled from ECC/HANH's FY13 Annual MTW Plan. (Page 8)	FY13	3,025	105.88%	
FY13 - Public Housing - Pulled ECC/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%	1.261446033

FY17 - Vouchers- Pulled from Elite dated September 30, 2017.	FY17	4,315	151.03%	
FY18 - Public Housing- Pulled from Elite dated September 30, 2018.	FY18	1,589	76.17%	
FY18 - Vouchers- Pulled from Elite dated September 30, 2018.	FY18	4,591	158.91%	1.280298322
FY19 - Public Housing- Pulled from Elite dated September 30, 2019.	FY19	1,441	73.14%	1.2442
FY18 - Vouchers- Pulled from Elite dated September 30, 2020.	FY20	4,470	66.95%	
FY19 - Public Housing- Pulled from Elite dated September 30, 2020.	FY20	888	121.84%	1.35

Baseline for the Mix of Family Sizes to Be Served

Since baseline, ECC/HANH's portfolio has had several changes as a result of redevelopment efforts prior to RAD and more recently as a result of ongoing RAD conversion efforts. As can be seen, depending on the agency's development projects each year, the number of families served per member size can either increase or decrease. During FY20 ECC/HANH saw a 15% increase in the total number of households served.

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	2448	1374	1061	613	314	196	6006
Ratio of families served by family size	41%	23%	18%	10%	5%	3%	100%
Percentage Difference	9%	-1%	-2%	-3%	-1%	-2%	0

VII. APPENDICES

Appendix 1: Documentation of Public Hearing and Public Comment Period

Elm City Communities, The Housing Authority of New Haven
PUBLIC HEARING: MOVING TO WORK 2020 ANNUAL REPORT

Monday, November 02, 2020 @ 10:00 A.M.
360 Orange Street, New Haven, CT 06511

Those present included:

Leasley Negrón, ECC
Maza Rey, ECC
Latoya McCrea, ECC
Catherine Hawthorne, ECC
Catherine Branch, ECC
Edward LaChance

Leasley Negrón called the public hearing to order at 4:05 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 Monday, November 25, 2019 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 was made available for review starting Friday, October 25, 2019 on the Authority's website at www.elmcitycommunities.org and at the front desk in the main lobby area at 360 Orange Street.
>
> The public was invited to provide written comments addressed to ECC/HANH MTW 2019 Report, Attn: Maza Rey, P.O. Box 1912, New Haven, CT 06509-1912. Any individuals requiring a reasonable accommodation to participate in the hearing were asked to 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.

Board Resolution

To: Board of Commissioners

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

Date: December 15, 2020

RE: Approval of Moving to Work (MTW) Annual Report for FY 2020

ACTION: Recommend that the Board of Commissioners adopt Resolution Number 12-114/20-R

TIMING: Immediate.

DISCUSSION: ECC/HANH is requesting authorization to submit the FY2020 Moving to Work Report to the U.S Department of Housing and Urban Development (HUD).

The Report was made available for Public Review and Comment for a period of 30 days, starting on November 1, 2020, and a public hearing was held on December 1, 2020 at ECC/HANH. No public comments were received. Attached is a copy of ECC/HANH's MTW FY20 annual report.

This resolution requests the Board's authorization to submit to the U.S. Department of Housing and Urban Development (HUD) the MTW Annual Report for FY20 with all required and related certifications and documents.

STAFF: Leasley Negron, Director of Moving to Work Initiatives

Resolution Number 12-114/20-R

APPROVING THE SUBMISSION OF ECC/HANH'S MTW REPORT FOR FY 2020

Whereas, ECC/HANH is requesting authorization to submit the FY2020 Moving to Work Report to the U.S Department of Housing and Urban Development (HUD); and

Whereas, The MTW report lists progress and challenges in achieving the objectives established in the Annual Moving to Work Plan and is a combination of stories, hard work and commitment of the services provided by staff throughout the agency and the many successes of the residents and families who have participated in these programs; and

Whereas, The Report was made available for Public Review and Comment for a period of 30 days, starting on November 1st 2020 and a public hearing was held on December 1, 2020 at ECC/HANH. No public comments were received. Attached is a copy of ECC/HANH's MTW FY20 annual report; and

Whereas, this resolution requests the Board's approval to submit to the U.S. Department of Housing and Urban Development (HUD) the MTW Annual Report for FY20, and all required and related certifications, documents and HUD forms.

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 2020, 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 15, 2020.

Karen DuBois-Walton, Ph. D.
Secretary/President

KDW
Date

REVIEWED:
MCCARTER & ENGLISH LLP
GENERAL COUNSEL

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

Certificate of Compliance

OMB Control Number: 2557-0216
Expiration Date: 01/31/2021

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/Report for the MTW PHA Plan Year beginning (October 1, 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.

Housing Authority of New Haven
MTW PHA NAME

CT004
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
NAME OF AUTHORIZED OFFICIAL

Board Chairman
TITLE

SIGNATURE

12/30/2020
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 2: Alternative TDC and HCC Limits

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

HUD HCC 2013							
	0	**1**	**2**	**3**	**4**	**5**	**6**
Detached	$ 96,195	$ 122,916	$ 144,239	$ 170,801	$ 200,549	$ 219,593	$ 237,542
Row House	$ 78,165	$ 102,750	$ 121,542	$ 148,120	$ 176,091	$ 194,147	$ 211,074
Walk Up	$ 71,663	$ 97,219	$ 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%

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

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

ECC/HANH TDC 2013							
	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 ECC/HANH 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%

RECENT CHANGE COMPARISON HUD TO ECC/HANH 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, ECC/HANH is permitted to design and implement its own Local Asset Based Management Program so long as the ECC/HANH and HUD agree that the principles and understanding outlined in the Amendment are adhered to.

- ECC/HANH developed a program wherein Excess Operating Reserves are funded from the General Fund Account and will be used to cover deficits through a journal voucher once per year to ensure that the transfer of funds from the General Fund to a project to cover any operating deficits are reflected on the income and expense statement of the project.
- ECC/HANH uses project-based accounting and project-based budgeting for direct costs incurred by each property.
- ECC/HANH considers its cost allocation plan for the entire operation of the Agency, rather than a strict focus on only the MTW program. This cost allocation plan addresses the larger ECC/HANH operation as well as the specific information required related to the MTW Program.
- All associated activities funded under the MTW Single Fund authority are deemed as a single cost objective. The MTW Program cost objective includes the Asset Management Projects in the public housing program, housing choice vouchers – both project-based and tenant-based vouchers, development activities funded from MTW, resident services, case management services, capital fund program, and any other activity that is permitted under the Amended and Restated MTW Agreement.
- ECC/HANH's proposed cost allocation system is more comprehensive than HUD's Asset Management System, which is a fee-for-service approach specific to the asset management projects in the public housing program. In consideration of ECC/HANH's other programs such as business activities, ECC/HANH's proposed LAMP addresses much broader than public housing properties and includes the entire ECC/HANH operation.
- ECC/HANH will use a simple fee system of charging up to 10% of the project/program funds to cover the costs of the Central Office Cost Center (COCC). ECC/HANH views the up to 10% fee as reasonable when compared to the fees earned for administering other programs or non-profit affiliates.

Proceeds from the energy performance contracts and other non-federal sources to support project operations are not reflected in the operating statements for each project. The COCC operates on the allowable fees as described above. ECC/HANH systematically reviews information regarding the financial, physical and management performance of each project and identifies non-performing assets. All non-performing assets will have a management plan that includes a set of measurable goals to address. During FY 2009, ECC/HANH conducted an updated Physical Needs Assessment for each project. The work was completed in FY2010 and was fully reported in the FY10 report. Finally, ECC/HANH has implemented a Risk Management Program in accordance with §990.270.

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 ECC/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 ECC/HANH was also able to earn nearly $5 million in developer fees.

- ECC/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. ECC/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.

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.

The self-sufficiency programs saw increased participation in 2020, including FSS, Teacher in Residence, Resident Owned Business, and Elderly/Disabled Supportive Services. ECC/HANH continues to focus efforts on increasing participation.

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%, 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 RS Means 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 continues to work with the team at Enterprise to evaluate programs, and metrics and to administer case studies.

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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 RS Means 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

HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

MOVING TO WORK SUFFICIENCY PROGRAM

RENT SIMPLIFICATION PROCEDURES FOR THE PUBLIC HOUSING PROGRAM

Public Housing Program Rent Simplification

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

Rent Simplification: Equity & Efficiency

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

Everyone Should Contribute

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

Fiscal Equity for ECC/HANH

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

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

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

Earned Income Disallowance (EID)
This benefit is embedded into the Rent Simplification rule so the provision of EID, of regulation, and annual tracking is eliminated for LIPH Participants. Families will not lose out on the benefit; however, ECC/HANH will help streamline staff responsibility by eliminating the requirement. The Federal Earned Income Disregard (EID) will continue to be implemented in the LIPH program for families who are required to report increase in wages or new job under the LIPH Rent Simplification Rules. The maximum amount of time a family can be enrolled in the Federal EID is 24 months with a start/stop clock of 48 months. At the beginning of the 12 months of 50% EID, an interim will not be conducted; the family will remain at the 100% until the scheduled bi/tri annual certification comes up. In many cases the 48-month window will not be used as most families will receive the Rent Simplification benefit throughout the life of the EID; for the most part eliminating the need to stop or re-start the EID clock.

When individuals are up for bi/tri certs, anyone who would have benefited from the EID will have the months checked off in Elite for tracking purposes, however, a reduction from 100 to 50 does not occur, therefore, a family will generally benefit from a minimum of 48 months of discounted wage increases at 100% EID.

Families on Bi-annual updates who would have an income increase at year two; benefiting from a full 2 years at 100% discounted Income, & Families on Tri-annual Updates who would have an income Increase at year three, benefiting from a full 3rd year of 100% discounted income.

It is still required that at time of Bi-annual or Tri annual cert: The specialist enters EID dates in Elite, dating back to the Start of when benefit would have started, as well as end date.

ECC/HANH staff will still utilize worksheet as needed to determine if a person qualified, in order to check off boxes in Elite for PIC submission purposes, however, annual tracking and tracking at time of interim change would be eliminated in efforts to streamline the interim and certification process, relieving staff of the additional burden and allowing families to benefit from the full extent of Rent Simplification as written. Tracking in Elite will only occur at time of bi/tri certifications.

Other Exclusions
All adoption assistance payments will be excluded from income calculations under Section 5.609(c) (8) (x11) as the $480 dependent deduction is eliminated. All income earned by full-time college students will no longer be included in the determination since there will no longer be the $480 dependent deduction to offset income.
Annualized Income Calculation
Prospective and past income may be used to calculate resident rents, especially for families with irregular or sporadic employment histories. For families with income of up to and including $5,000.00 we will accept a self-certification. For families earning more than $5,000.00 of wages and salaries we want pay stubs covering the most recent four weeks of employment or a W-2 or 1099 within 180 days of the effective date of recertification. We must complete EIV or other UIV as required by HUD.
Annual Reexaminations
Reexaminations are currently conducted every year for non-elderly households and every two year for elderly and disabled households. ECC/HANH spends on average three hours per annual reexamination. ECC/HANH 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 their increased earnings between annual reexaminations. CSSR requirements will be reviewed at time of bi-tri certification for families and individuals who are not exempt and required to complete the

required 96 hours per year. Household members exempt from having to meet the CSSR will be required to certify exemption at time of bi-tri certification. This change relieves staff of the additional burden of annual tracking and allowing families to benefit from the full extent of Rent Simplification as written. Tracking in Elite will only occur at time of bi/tri certifications

Effective FY15 (October 2014), ECC/HANH updated its definitions of elderly/disabled and work-able families. Under the policy change, an elderly/disabled family will be defined as one in which all adult members (excluding live-in attendants) are elderly and/or disabled. A work-able family will be one that doesn't meet the new elderly/disabled definition. Work-able households under the new definition will have reexaminations every two years (biennial schedule) and elderly/disabled households will have annual reexaminations every three years (triennial schedule).

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

Deductions for Exceptional Expenses

Excess resources are dedicated to verifying deductions for childcare, medical and disability allowances. Third party verifications of these amounts are difficult to accomplish and the agency more often than not relies upon second- and first-party verifications of these deductions. Obtaining verification data also places an undue burden on the resident. 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 (with more than two (2) dependents). It also includes families with high medical expenses, disability assistance expenses, or childcare expenses.

The amount of expense is set in $2,000.00 tiers. This allows ECC/HANH 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.

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

Changes in Family Composition

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

Mandatory Interim Reexaminations Policy

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

Change in family composition that affects the voucher size or bedroom size.

The addition of a family member 18 years of age or older

Change in family composition that causes the family to move from one income tier to another with a higher rent schedule.

Addition of a live-in aid
Income increase following an interim rent reduction

If ECC/HANH grants an exceptional deduction for any family and there is a subsequent change then the family must report that change to ECC/HANH.

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

Decrease in family income that is expected to last 90 days or more if it will result in a change in the family's income tier (exclude seasonal workers; see below)

Increase in Exceptional Expenses of at least $2,000.00

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

Households receiving a requested interim rent reduction must report any subsequent income increase to ECC/HANH 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.

Rent Simplification Interims:
Rent Simplification in both LIPH and HCV will include a request to adjust rent during COVID19 and any similar pandemic or national, state, or local emergencies that affect many families in the community. In order to prevent staff having to reprocess files when families go back to work during a time like this, ECC/HANH will create a letter which advises the families of decrease to their rent for 3 months, as a result of loss or decrease in income. At the end of the 3 months, the rent will be adjusted back to what it was before the decrease. Staff would process 2 actions, the decrease, and a second action (effective on the 1st day of the 4th month) which would be an increase back to previous amount. This way, families will not need to report the increase and staff can give 30-day notice of the potential increase change at the same time they are giving the decrease notice.

If families are not yet back to work or the change is permanent, they must report the change to ECC/HANH as soon as they are aware so that the second interim may be cancelled or adjusted. This change does not cancel or supersede the current interim change rule where families are not required to report a new income or increase in income if the previous decrease was associated with an annual certification. In other words, 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.

Seasonal workers who are employed for a period of time less than 12 months annually will have their rent calculated over a 12-month period using the 9 or 10 months of income earned. During the months the worker is not actively

working, the family will not be able to request a rent reduction as the rent has already been adjusted over a 12-month period.
Permanent loss of income (i.e., death of an income earner) results in a permanent, rather than interim, rent reduction. This decrease in rent does not count as an interim reexamination. Under this circumstance, the family is not required to report a subsequent increase in income until the next scheduled certification.
Verification of Annual Income from Wages and Salaries and Assets
To reduce the administrative burden associated with the verification of income ECC/HANH has amended 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 and residents to move away from verifying every dollar earned and deducted. (See Exhibit A)

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

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

Families with annual income below $2,500.00 will pay a minimum rent of $50.00. In no event shall any family pay less than 25 percent of its Annual Income for TTP.
All residents at a rent of $50.00, except for the elderly and persons with disabilities, are referred to the Family Self Sufficiency (FSS) Program for job or benefit counseling. Families may still choose the existing Flat Rent option for public housing. The Flat Rent option certification form will only be signed at time of bi-tri certification; however, families will have the opportunity to switch to the Flat rent once a year. Annual notice will go out to families, but signature will not be required except for at time of scheduled bi/tri certification. This change is in line with efforts to streamline the certification process; relieving staff of the additional burden and allowing families to benefit from the full extent of Rent Simplification as written.
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, apart from elderly persons and persons with disabilities, will be referred to the Family Self Sufficiency Program in order to assist the family in moving towards self-sufficiency.
ECC/HANH will notify all families of their right to request a hardship exemption from the minimum rent requirements.
Residents will be notified of their right to request a hardship exemption through the Application for Exemption from Minimum Rent, a copy of which will be provided to tenants at lease-up and at each recertification appointment and mailed to residents at each interim recertification. The policy and procedures for requesting such hardship exemption will also be included in tenant rent change notifications, the form lease agreement and all form documents related to the exemption process.
Criteria for Hardship Exemption from Minimum Rent Requirement

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

When a family has lost eligibility or is awaiting eligibility determination from a Federal, State or local assistance program.
When the family would be evicted because it is unable to pay the minimum rent.
When the income of the family has decreased because of changed circumstances, including loss of employment.
When a death in the family has occurred; or
Other circumstances determined by ECC/HANH 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'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 the Authority 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.

5. 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 who is in good standing.

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

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

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 has received an Application for Exemption from Minimum Rent,

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

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

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

that, 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 in excess of 90 days without enrolling in the program.

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

If the Committee determines that ***the hardship is of a temporary nature (the hardship is expected to last less than 90 days)***, at the end of the 90-day period, the resident's rent will be reinstated to the minimum rent retroactively to the initial date of suspension. The resident will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH 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 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 will provide each resident one opportunity to reschedule the meeting. If the resident fails to attend the scheduled meetings, ECC/HANH may deny the long-term exemption from the minimum rent requirement. The letter scheduling the meeting shall inform 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'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 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 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 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 for the minimum rent that was suspended and is now owing to ECC/HANH.

If the hardship exemption is determined to be long-term:

that a long-term hardship exemption was granted.

whether the long-term exemption is permanent or subject to periodic review and, if subject to periodic review, when such review will take place.

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 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.

Minimum Rent Hardship during COVID19 and any similar pandemic or national, state, or local emergencies that affect many families in the community:

The three month hardship time-frame will be increased to four months during COVID19 and any similar pandemic or national, state or local emergencies that affect a large number of families in the community.

Additionally, families who fall under the hardship repayment requirement will not be required to repay hardship.

Referrals to FSS are not required because of this type of decrease.

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.

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'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 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 sets a rent based on the past year's W-2 or other information available for income verification. Households are advised that this is a potential fraud issue and that they have the right to grieve through the normal process to explain the reasons more fully for the pattern of income loss. ECC/HANH will set the rent after the Conference Panel review.

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

Rent Simplification Implementation - Public Housing

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

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

Initially in fiscal year 2008, all families will be re-examined during the first year.

In the second year of the program (2009), two thirds of the elderly/disabled families will be re-examined and one half of the non-elderly/non-disabled families.

In the third year of the program (2010), one third on the elderly/disabled families will be re-examined and one-half of the remaining non-elderly/non-disabled families.

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

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

Rent Tier						
Income Range						
$0	$2,499	$50		$36,500	$37,499	$867
$2,500	$3,499	$59		$37,500	$38,499	$891
$3,500	$4,499	$83		$38,500	$39,499	$914
$4,500	$5,499	$107		$39,500	$40,499	$938
$5,500	$6,499	$131		$40,500	$41,499	$962
$6,500	$7,499	$154		$41,500	$42,499	$986
$7,500	$8,499	$178		$42,500	$43,499	$1,009
$8,500	$9,499	$202		$43,500	$44,499	$1,033
$9,500	$10,499	$226		$44,500	$45,499	$1,057
$10,500	$11,499	$249		$45,500	$46,499	$1,081
$11,500	$12,499	$273		$46,500	$47,499	$1,104
$12,500	$13,499	$297		$47,500	$48,499	$1,128
$13,500	$14,499	$321		$48,500	$49,449	$1,152
$14,500	$15,499	$344		$49,500	Above	$1,176
$15,500	$16,499	$368				
$16,500	$17,499	$392				
$17,500	$18,499	$416				
$18,500	$19,499	$439				
$19,500	$20,499	$463				

$20,500	$21,499	$487				
$21,500	$22,499	$511				
$22,500	$23,499	$534				
$23,500	$24,499	$558				
$24,500	$25,499	$582				
$25,500	$26,499	$606				
$26,500	$27,499	$629				
$27,500	$28,499	$653				
$28,500	$29,499	$677				
$29,500	$30,499	$701				
$30,500	$31,499	$724				
$31,500	$32,499	$748				
$32,500	$33,499	$772				
$33,500	$34,499	$796				
$34,500	$35,499	$819				
$35,500	$36,499	$843				

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 in order to assist the family in moving towards self-sufficiency.
ECC/HANH will notify all families of their right to request a hardship exemption from the minimum rent 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 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'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 the Authority 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 an ECC/HANH employee or the resident family.

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

4. Hardship Review Committee

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

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

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

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

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 has received an Application for Exemption from Minimum Rent,

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

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

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

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

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

If the Committee determines that ***the hardship is of a temporary nature (the hardship is expected to last less than 90 days)***, at the end of the 90-day period, the resident’s rent will be reinstated to the minimum rent retroactively to the initial date of suspension. The resident will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH 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 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 will provide each resident one opportunity to reschedule the meeting. If the resident fails to attend the scheduled meetings, ECC/HANH may deny the long-term exemption from the minimum rent requirement. The letter scheduling the meeting shall inform residents that persons with disabilities are entitled to reasonable accommodation with regard to this requirement.

Except for Elderly or Disabled families, no tenant shall be exempt from the minimum rent requirement for more than 90 days during a one year period unless at least one member of the family who is 18 years of age or older enrolls and actively participates in ECC/HANH'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 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 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 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 for the minimum rent that was suspended and is now owing to ECC/HANH.

If the hardship exemption is determined to be long-term:

that a long-term hardship exemption was granted;

whether the long-term exemption is permanent or subject to periodic review and, if subject to periodic review, when such review will take place;

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 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.
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'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 until the grievance process is completed.

7. Termination of Long-Term Exemptions

ECC/HANH 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 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 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'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 until the grievance process is completed.

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

PUBLIC HOUSING RENT SIMPLIFICATION SUMMARY
EXCEPTIONS TO LIPH REGULATIONS

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

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
			program, whether or not the member is enrolled in the FSS program
Business Income for Resident Owned Businesses	24 CFR Part 5.609(b)(2)	The net income from the operation of a business or profession is included in determining annual income.	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	The Federal EID benefit is embedded into the Rent Simplification rule so the provision of EID by definition of regulation, and annual tracking is eliminated for LIPH Participants. Families will not lose out on the benefit, however, ECC/HANH will help streamline staff responsibility by eliminating the requirement. The Federal Earned Income Disregard (EID) will continue to be implemented in the LIPH program for families who are required to report increase in wages or new job under the LIPH Rent Simplification Rules. The maximum amount of time a family can be enrolled in the Federal EID is 24 months with a start/stop clock of 48 months. At the beginning of the 12 months of 50% EID, an interim will not be conducted; the family will remain at the 100% until the scheduled bi/tri annual certification comes up. Families who do already receive the benefit of no increase in rent with higher wages under the Rent

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
			Simplification rule will be tracked in Elite under EID at time of Bi-Tri annual certifications.
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 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 had none	Families with verifiable deductions in excess of $2,000 will be allowed to request that these additional expenses be used in determining TTP. These verifiable deductions must exceed $2,000 and shall be the sum of (1) Mandatory Deductions determined in accordance with Section 5.611 (2), plus non-reimbursed utility expenses (except telephone and cable)

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
Total Tenant Payment	24 CFR 5.628	(a) Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (1) 30 percent of the family's monthly adjusted income; (2) 10 percent of the family's monthly income; (3) If the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (4) The minimum rent, as determined in accordance with Sec. 5.630.	The Total Tenant Payment (TTP) will be based upon (1) income-tiered TTP structure or the minimum TTP $50 for a family with income of up to $2,500 annually.
Hardship Provision for Exceptional Expenses	24 CFR 5.611(2))	A PHA may adopt additional deductions from annual income. The PHA must establish a written policy for such deductions.	A family may be exempt from minimum rent as follows; 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.

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
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's Family Self Sufficiency Program. The minimum rent requirement may be waived more than once during a twelve month period if at least one adult member of the household enrolls in the Family Self Sufficiency Program (the "FSS Program"). Elderly and disabled families are not required to enroll in the FSS Program.
Utility Allowances and Reimbursements	24 CFR 5.632(a) and (b)	Tenant Paid Utilities to be deducted from TTP to determine tenant rent.	No. Change. ECC/HANH will pay all utilities except for electricity at Westville Manor, Fairmont Heights, McConaughey 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 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	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

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

HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

MOVING TO WORK SUFFICIENCY PROGRAM

RENT SIMPLIFICATION PROCEDURES FOR THE SECTION 8 MTW VOUCHER PROGRAM

Housing Choice Voucher Program Rent Simplification

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

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

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's burden of administering these housing programs.

Everyone Should Contribute

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

Fiscal Equity for ECC/HANH

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.

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

Asset Exclusion
Asset exclusion is raised to $50,000.00. Increasing the asset exclusion amount allows residents to accumulate more assets before they are calculated as income. Families will self-certify that they do not have assets in excess of $50,000.00.
Earned Income Disallowance
The Earned Income Disallowance (EID) under Sec. 5.617 for all HCV participants EID is eliminated.
Other Exclusions
All adoption assistance payments will be excluded from income calculations under Section 5.609(c) (8) (v) as the $480 dependent deduction is eliminated. All income earned by full-time college students will no longer be included in the determination since there will no longer be the $480 dependent deduction to offset income.
Annualized Income Calculation
Prospective and past income may be used to calculate resident rents, especially for families with irregular or sporadic employment histories. For families with income of up to and including $5,000.00 we will accept a self-certification. For families earning more than $5,000.00 of wages and salaries we want pay stubs covering the most recent four weeks of employment or a W-2 or 1099 within 180 days of the effective date of recertification. We must complete EIV or other UIV as required by HUD.
Annual Reexaminations
Reexaminations are currently conducted every year for non-elderly households and every two year for elderly and disabled households. ECC/HANH spends on average three hours per annual reexamination. Under Rent Simplification, annual reexaminations will occur every two years for non-elderly households and every three years for elderly and disabled households. These changes will allow families who experience increases in income to retain all of their increased earnings between annual reexaminations. During the first year all families will be recertified. This process will be phased in over a three-year period.

Effective FY15 (October 2014), ECC/HANH updated its definitions of elderly/disabled and work-able families. Under the policy change, an elderly/disabled family will be defined as one in which all adult members (excluding live-in attendants) are elderly and/or disabled. A work-able family will be one that doesn't meet the new elderly/disabled definition. Work-able households under the new definition will have reexaminations every two years (biennial schedule) and elderly/disabled households will have annual reexaminations every three years (triennial schedule).
ECC/HANH believes this new definition more closely matches the spirit of a "work-able" family since all work-able families would have at least one work-able adult. Under the prior definition, an elderly/disabled family only needed a head, co-head, or spouse to be elderly or disabled which led to some families with work-able adults being categories as elderly/disabled. This change will also give ECC/HANH the ability to better track earnings and employment for work-able families; and the better population division will give ECC/HANH the flexibility to implement work-able specific rent policy changes in the future if it so chooses.
Deductions for Exceptional Expenses
Excess resources are dedicated to verifying deductions for child care, medical and disability allowances. Third party verifications of these amounts are difficult to accomplish and the agency more often than not relies upon second and first party verifications of these deductions. Obtaining verification data also places an undue burden on the resident. To simplify this process, ECC/HANH will eliminate standard deductions for these amounts for elderly, disabled and non-elderly households.

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

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

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

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

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

Changes in Family Composition

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

Mandatory Interim Reexaminations Policy

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

Change in family composition that affects the voucher size or bedroom size.

The addition of a family member 18 years of age or older

Change in family composition that causes the family to move from one income tier to another with a higher rent schedule.

Addition of a live-in aid

Income increase following an interim rent reduction

If ECC/HANH grants an exceptional deduction for any family and there is a subsequent change then the family must report that change to ECC/HANH.

Optional Interim Reexaminations Policy

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

Decrease in family income that is expected to last 90 days or more if it will result in a change in the family's income tier (exclude seasonal workers; see below)

Increase in Exceptional Expenses of at least $2,000.00

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

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

Seasonal workers who are employed for a period of time less than 12 months annually will have their rent calculated over a 12-month period using the 9 or 10 months of income earned. During the months the worker is

not actively working, the family will not be able to request a rent reduction as the rent has already been adjusted over a 12-month period.
Permanent loss of income (i.e., death of an income earner) results in a permanent, rather than interim, rent reduction. This decrease in rent does not count as an interim reexamination. Under this circumstance, the family is not required to report a subsequent increase in income until the next scheduled certification.
Verification of Annual Income from Wages and Salaries and Assets
To reduce the administrative burden associated with the verification of income ECC/HANH has amended 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 and residents to move away from verifying every last dollar earned and deducted. (See Exhibit A)

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

Rent will be set at 28.50 percent of income for income tiers of $1000.00 starting at $2,500.00. The rent will be calculated at the lower end of each tier. For example, for the $2,500.00 to $3,499.00 tier, the rent will be calculated at 28.50 percent of $2,500.00. Families with incomes below $2,500.00 will be charged the minimum rent. Families will be permitted to apply for a hardship if verifiable proof is provided that their total expenses exceed $2,000.00
Minimum 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.
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. At the end of the 90 days, the family will undergo an interim increase.

A long term hardship exemption exists when at least one of the above criteria is expected to last for more than 90 days. At the end of the long term hardship, an interim is conducted to adjust the family's income.

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. At the end of the hardship, an interim will be conducted to bring family up to speed on current household income.
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 an ECC/HANH employee if the family experiences any one of the Criteria for Minimum Rent Exemption.

When a participant submits an application or an ECC/HANH employee submits an application on behalf of a participant. ECC/HANH will suspend the minimum rent requirement commencing on the first of the month following the date of the application for a period of 90 days and adjust the HAP payment accordingly.

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

The Hardship Review Committee shall send a letter to all participant families who have applied for Hardship Exemption from Minimum Rent stating:

that ECC/HANH has received an Application for Exemption from Minimum Rent,

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

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

the date for a meeting with the participant to discuss the hardship exemption request, giving the participant family at least ten days advance notice of such meeting and informing the participant that he or she may have one opportunity to reschedule the meeting; and that, with the exception of elderly and disabled families, the participant family has been referred to the FSS program and will not be able to receive a hardship exemption in excess of 90 days without enrolling in the program.

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

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

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

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

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

If the hardship is determined to be nonexistent, the participant will be responsible for paying rent to ECC/HANH for any rent that was suspended while tenant's Application for Exemption from Minimum Rent was pending. The minimum rent shall be re-instated retroactively to the initial date of the suspension. Participant will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH for any back rent that is due and owing to ECC/HANH.
Upon completion of the review process, the Hardship Review Committee shall render a written recommendation to the Executive Director, who shall then adopt or reject the recommendation and shall issue a written decision that states as follows:
If the hardship exemption is determined to be short term:
, that a short-term hardship exemption was granted;

the effective dates of the exemption;

the basis for the decision to grant a short-term exemption, including that a long-term exemption was denied and the reason that such long-term exemption was denied; and

that the participant has a right to enter into a reasonable repayment agreement with ECC/HANH for the minimum rent that was suspended and is now owing to ECC/HANH.

If the hardship exemption is determined to be long term:

that a long-term hardship exemption was granted;

whether the long-term exemption is permanent or subject to periodic review and, if subject to periodic review, when such review will take place; and

that all non-elderly, non-disabled participants are required to comply with FSS requirements as a condition of the receipt of a long term exemption; and

that the participant must notify ECC/HANH within 10 days if the hardship ceases to exist because the participant has obtained a source of income sufficient to pay (at least) the minimum rent.

If the hardship is determined to be non-existent:

that a hardship exemption was denied;

the reason for such determination; and

the terms and condition on which the participant family must pay back the minimum rent that was suspended and is now owing to ECC/HANH.

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

Mixed Families

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

Fraud Prevention

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

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

Rent Simplification Implementation – Housing Choice

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

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

Initially in fiscal year 2008, all families will be re-examined during the first year.

In the second year of the program (2009), two thirds of the elderly/disabled families will be re-examined and one half of the non-elderly/non-disabled families.

In the third year of the program (2010), one third on the elderly/disabled families will be re-examined and one-half of the remaining non-elderly/non-disabled families.

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

SEMAP WAIVERS

The SEMAP verification methods and ratings are set forth under 24 CFR Part 983. As a result of the Rent Simplification Plan many of these indicators will either no longer be relevant or the Authority and/or HUD will be unable to measure ECC/HANH's performance; therefore, ECC/HANH will request a waiver of the following SEMAP indicators beginning October 1, 2007.

Sec. 985.3(c). **Determination of Adjusted Income**.
Beginning October 1, 2007, Total Tenant Payment will be based Annual Income by income tiers. Additional, ECC/HANH will no longer include assets of less than $50,000in the determination of Annual Income. There will no longer be any Mandatory Deductions; therefore, a waiver of this Section is required.

Section 985.3(j) **Annual reexaminations**.
This indicator shows whether the PHA completes a reexamination for each participating family at least every 12 months (24 CFR 5.617). A waiver of this indicator is required since ECC/HANH will no longer reexamine every family each year.

Section 985.3(m) **Annual HQS Inspections**.
This indicator shows whether the PHA inspects each unit under contract at least annually. (24 CFR 982.405(a). ECC/HANH will no longer inspect every unit every year, but will instead inspect units according to the families' biennial or triennial recertification schedule.
Section 985.507(m) **Rent to Owner: Reasonable Rent**

Section 985.3(n) **Lease-Up**.
This indicator shows whether the PHA enters HAP contracts for the number of units reserved under ACC for at least one year. Due to the funding fungibility under MTW, Section 8 funds are used according to the priorities set forth in the MTW Annual Plan.
Alternative Inspection Schedule
ECC/HANH will no longer inspect each unit every year, but will instead inspect units according to the families' biennial or triennial recertification schedule, unless:
The participant or landlord requests a special inspection due to violations noticed by either party.

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

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

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

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

All families who apply for such hardship exemption, with the exception of elderly persons and persons with disabilities, will be referred to the Family Self Sufficiency Program in order to assist the family in moving towards self-sufficiency.
ECC/HANH will notify all families of their right to request a hardship exemption from the minimum rent requirement and in accordance with the provisions set forth herein. Participants will be notified of their right to request a hardship exemption through the Application for Exemption from Minimum Rent, a copy of which will be provided to participants at lease-up and at each recertification appointment and mailed to participants at each interim recertification. The policy and procedures for requesting such hardship exemption will also be included

in participant rent change notifications, Application for Exemption from Minimum Rent and all form documents related to the exemption process.

Criteria for Hardship Exemption from Minimum Rent Requirement.

A family is automatically exempt from the minimum rent requirements for a 90 day period when the family's circumstances fall into any one of the following criteria:
When a family has lost eligibility or is awaiting eligibility determination from a Federal, State or local assistance program;
When the family would be evicted because it is unable to pay the minimum rent;
When the income of the family has decreased because of changed circumstances, including loss of employment;
When a death in the family has occurred; or
Other circumstances determined by ECC/HANH to be reasons to waive the minimum rent requirement (collectively, the "Criteria for Minimum Rent Exemption").

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

A temporary hardship exemption exists when none of the above criteria is expected to last for more than 90 days. At the end of the 90 period, an interim will be completed to set the family to rent based on the new current income.

A long tern hardship exemption exists when at least one of the above criteria is expected to last for more than 90 days. At the end of the long-term hardship, an interim will be completed to set the family to rent based on the new current income.

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 an ECC/HANH employee or the participant family.

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

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

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

ECC/HANH will also notify all families in writing of the ability to receive a hardship exemption from minimum rent and the procedures for applying for such a hardship exemption in the following documents: participant rent change notifications, the Application for Exemption from Minimum Rent and all form documents related to the hardship exemption process.

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

Significant Change to MTW FY20 Plan Amendment #1

Rent Simplification Interims HCV & LIPH:

Rent Simplification in both LIPH and HCV will include a request to adjust rent during COVID19 and any similar pandemic or National, State or Local emergency affecting a large number of families in the community. In order to prevent staff having to reprocess files when families go back to work during a time like this, ECC/HANH will create a letter which advises the families of decrease to their rent for 120 days (4 months), as a result of loss or decrease in income. At the end of the 4 months, the rent will be adjusted back to what it was before the decrease. Staff would process 2 actions, the decrease, and a second action (effective on the 1st day of the 4th month) which would be an increase back to previous amount. This way, families will not need to report the increase and staff can give 30 day notice of the potential increase change at the same time they are giving the decrease notice.

If families are not yet back to work or the change is permanent, they must report the change to ECC/HANH as soon as they are aware so that the second interim may be cancelled or adjusted.

This interim option does not cancel or supersede the current interim change rule where families are not required to report a new income or increase in income if the previous decrease was associated with an annual certification. In other words, 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. With that said, COVID19, or similar pandemic or national, state or local emergency related interim decreases will remain in effect for the full 120 days. Any increases after this time period must be reported to ECC/HANH within 10 days of the change.

During these moments, the start and end date of interim decrease requests will made clear to families of ECC/HANH via current forms of communication with families.

Minimum Rent Hardship LIPH & HCV:

The three month hardship time-frame will be increased to four months during COVID19 and any similar pandemic or national, state or local emergency affecting a large number of families in the community. Additionally, families who fall under the hardship repayment requirement will not be required to repay hardship.

Housing Choice Voucher HQS Inspections

HQS Inspections may be conducted via video conference on a case by case basis with the Owner or his/her designee present at the inspection site. Inspection appointments will be scheduled as usual and will be attended in person by the landlord or designee. All HQS inspections forms will be mailed to the owner or designee in advance of the scheduled appointment. A certified HQS inspector must participate on the video conference and will guide the homeowner or designee through the inspections process. This process will be allowed for initial inspections of previously inspected units, meaning if a unit was previously occupied by a family receiving HCV subsidy, the unit may qualify for a video inspection for initial inspection for new voucher holder, as well as special inspections and bi/triennial inspections. Failed initial inspections will follow the current inspections protocol and timeline with the added option of proceeding via video conference. A 2nd failed inspection will require that an inspector go out to the site and inspect the corrected deficiencies in person.

The landlord or designee will bring the provided forms to the inspections appt and will sign the landlord portions of all forms while on video conference. The Inspector will serve as the witness to the landlord or

designee signature and will sign as such. The inspector must include any notes regarding the process, including any information or areas that were not inspected or discussed during this time.
With the exception of HVAC & other home systems, special inspections may be conducted via video conference. In the same way as the Initial and bi/triennial inspections, a 2nd fail will trigger an in-person inspection by the HQS inspector.

Exceptional Expenses
Applicability- Deductions permitted under 24 CFR Part 5.611(a) shall be permitted only to the extent the sum of anticipated deductions permitted under said Part 5.611(a) for the year are expected to equal or exceed $2,000. Families with Exceptional Expenses that equal or exceed $2,000 may request a rent deduction. The amounts of expenses are set in $2,000 tiers. This allows ECC/HANH to move away from having to verify every dollar of every deduction. Participants will no longer be required to provide documentation for every dollar of expenses, but, instead, participants need only provide documentation sufficient to the expenses of the appropriate tier. The amount of the rent deduction is established at the mid-range of each tier. Families with Exceptional Expenses will receive a reduction in the rental payment as set forth on the following table:
Families must have more than two qualifying dependents in order to qualify for additional Dependent Deductions
The Elderly/Disabled deductions shall not be used in determining Exceptional Expenses.
Dependent deduction shall only be allowed for families with more than two dependents since the standard amount of this deduction has been included in the determination of the percentage used to calculate tenant rent.

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

Elderly persons and persons with disabilities always have the right to request a Reasonable Accommodation(s). Rents are determined in accordance with the methods and income measures set forth in ECC/HANH's Public Housing Rent Simplification Policies.

ATTACHMENT C-1
EXCEPTION TO HCV REGULATIONS

Topic	**Exceptions to HCV Program Regulations**	**Current Policy**	**Alternative MTW Policy for Housing Choice Voucher Program**
Annual Income	24 CFR Part 5.609(a)(4)	Any income derived from an asset, to which any member of the family has access.	Excludes assets, from the determination of annual income, to extent the amount is $50,000 or less. All income earned by a fulltime student will be excluded. All income earned by a family from adoption assistance will be excluded.
Income Exclusion for Person Enrolled in FSS Program	24 CFR Part 5.609(b)(1)	Incremental earnings and benefits to any family member, received from participation in a qualifying State or local employment training program, (including training programs not affiliated with a local government); and training of a family member participating as resident management staff.	Exclude 100 percent of any incremental earnings from wages or salaries earned by any family member during the first year of FSS program participation, 75% in 2nd year, 50% in 3rd year, 25% in 4th year and 0% in 5th year, as long as the household is enrolled in the FSS Program. This will not exceed 5 years. Additionally, the current exclusion covering incremental earnings of any family participating in a state or local program will be expanded to include any qualifying federal program, whether or not the member is enrolled in the FSS program.
Business Income for Resident Owned Businesses	24 CFR Part 5.609(b)(2)	The net income from the operation of a business or profession is included in determining annual income.	During the first year of enrollment in the FSS program, exclude 100 percent of any net income derived from the operation of a business; provided the business qualifies as a resident owned business under 24 CFR Part 963.5. 50 percent exclusion during the second year; 25 percent exclusion the third year.

Topic	Exceptions to HCV Program Regulations	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
Earned Income Disallowance for Persons with Disabilities	24 CFR Part 5.617(a)	Incremental income earned by a previously unemployed disabled person in the 12 months prior to becoming employed, provided the increase in income is the result of; employment of a family member, previously unemployed for one or more years prior to employment; (2) increased earnings by a family member during participation in any economic self-sufficiency or other job training program; or (3) result of new employment or increased earnings of a family member during or within six months after receiving assistance, benefits or services under any state program for temporary assistance for needy families.	Eliminated from HCV program
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.

Topic	Exceptions to HCV Program Regulations	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
Additional (Exception) Expenses Deductions	24 CFR 5.611	None	Families with verifiable deductions that or exceed of $2,000 will be allowed to request that these additional expenses be used in determining TTP. These verifiable deductions must equal or exceed $2,000 and shall be the sum of: Mandatory Deductions determined in accordance with Section 5.611 (a), plus non-reimbursed utility expenses (except telephone).
Total Tenant Payment	24 CFR 5.628	Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (a) 30 percent of the family's monthly adjusted income; (b) 10 percent of the family's monthly income; (c) If the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (d) The minimum rent, as determined in accordance with Sec. 5.630.	TTP to be based upon (1) income-tiered TTP structure or the minimum TTP $50 for a family with income of up to $2,500 annually

Topic	Exceptions to HCV Program Regulations	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
Hardship Provision	24 CFR 5.630(b)	A family may be exempt from minimum rent as follows: (i) When the family has lost eligibility or is waiting an eligibility determination for a Federal, State, or local assistance program, including a family that includes a member who is a non-citizen; (ii) When the family would be evicted because it is unable to pay the minimum rent; (iii) When the income of the family has decreased because of changed circumstances, including loss of employment.	A family whose shelter expenses, plus un-reimbursed medical, childcare and disability expenses exceed 40 % of annual income or whose medical, childcare or disability expenses of $6,000 or more annually may seek hardship.
Minimum Rent	24 CFR 5.630	$25.00 for HCV. $50.00 for LIPH	HCV increased from $25.00 a month to $50.00 a month so that LIPH and HCV have same minimum rent amount.
Utility Allowances and Reimbursements	24 CFR 5.632(a) and (b)	Tenant Paid Utilities to be deducted from TTP to determine tenant rent.	No change. Tenant paid utilities to be deducted from TTP to determine tenant rent.
Medical Deductions	24 CFR 5.611(c)		No longer applicable unless they exceed applicable threshold.
Annual Reexamination of Income and Family 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.

Topic	Exceptions to HCV Program Regulations	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
Interim Reexamination	24 CFR 982.516	A family may request an interim reexamination of family income for any changes since the last annual reexamination. ECC/HANH must conduct the interim reexamination within a reasonable time period after the family request. Currently, family must report any change in income that exceeds $200 or more a month.	A family may request a maximum of three interim re-examinations within a 12-month period, with the exception of those conditions where they are required to report certain changes in family composition or certain changes in family income. A family, except for elderly or disabled, may only make one request for an interim for a hardship exemption each 12 months, unless one (1) household member is enrolled in the FSS program.
Verification of Wages, Salaries and Assets below $5,000 and Assets below $50,000	24 CFR 5.659	ECC/HANH must obtain and document in the family's file third party verification of the following factors, or must document in the file why third party verification was not available: (1) Reported family annual income; (2) The value of assets; (3) Expenses related to deductions from annual income; and (4) Other factors that affect the determination of adjusted income.	Only a self-certification will be required for income up to and including $5,000. For income above $5,000 two most recent pay stubs or a W-2 or 1099 dated within 90 days of effective date of re-examination. ECC/HANH will continue to conduct EIV or UIV.
Determination of Tenant Total Payment (TTP)	24 CFR 5.628	Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (1) 30 percent of the family's monthly adjusted income; (2) 10 percent of the family's monthly income; (3) if the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to	TTP based upon income-tiered approach. No family shall be subject to an increase in TTP greater than $25.00 a month during the second year family is of the Rent Simplification Policy. The increase in TTP during the third year of the Rent Simplification Policy shall not exceed $50 a month.

Topic	Exceptions to HCV Program Regulations	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
		meet the family's housing costs, the portion of those payments which is so designated; or (4) The minimum rent	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

Topic	Exceptions to HCV Program Regulations	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
			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.
Waiver of SEMAP Indicator	24 CFR Part 985.3(c).		Determination of Adjusted Income. Beginning October 1, 2007, Total Tenant Payment will be based Annual Income by income tiers. Additional, ECC/HANH will no longer include assets of less than $50,000 is the determination of Annual Income. There will no longer be any Mandatory Deductions; therefore, a waiver of this Section is required by HUD.
Waiver of SEMAP Indicator	24 CFR Part 985.3(m)		Annual HQS Inspections. This indicator shows whether the PHA inspects each unit under contract at least annually. 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.

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 (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.	
Waiver of Requirement to give 12 month notice to family about Payment Standard decrease	24 CFR 982.505 (3)(iii)	(iii) The PHA must provide the family with at least 12 months' notice that the payment standard is being reduced during the term of the HAP contract before the effective date of the change.	The PHA will notify families at the time of biennial or triennial recertification that the payment standard may increase or decrease at the next reexamination based on the approve FMR at that time.
Waiver to allow a decrease in payment standard the effective date of the family's second regular reexamination following the effective date of the decrease in payment standard.		The initial reduction in payment standard cannot take place before the effective date of the family's second regular reexamination following the effective date of the decrease in payment standard.	The PHA will use the payment standard in effect on the date of reexamination whether it is a decrease or an increase.

Appendix 7: Actual Capital Expenses and Portfolio Capital Needs

Table of General Description of All Actual Capital Expenses During the Plan Year

Description	MTW Goal or Initiative	Capital Expenditures Original Planned FY 2020	Capital Expenditures Actual FY 2020 as of 9-30-20	CFP Total	MTW Total	Other (LIPH) Total	Total Estimated Project Cost	
Crawford ADA Storefront & Entry access system Upgrades	**Increasing housing of choice; Continue progress toward meeting goal of 10% UFAS compliant units agency -wide**	$60,000	$0	$0	$0	$0	$60,000	Project supports MTW goal to further ADA access to our properties by upgrading common areas in existing buildings. Project designed during FY 2019. Bids received & contract award approved in FY 2020. Implementation delayed pending COVID safety plan. Project to be repackaged & resolicited due to COVID safety requirements. Expect work to proceed in FY 2021.
Crawford Fire Panel & Fire Pump	**Increase housing of choice; Continue modernization and capital investment in**	$450,000	$0	$0	$0	$0	$450,000	Building fire alarm panel & fire pump at end of useful life. Alarm system now requires including addressing features for smoke alarms. Project designed during FY 2019. Bids received & contract award approved in FY 2020. Implementation delayed pending COVID safety plan. Project to be repackaged into 2 phases: PH1- ADA entry + Fire Pump. PH2: Fire panel. Phasing due to Covid safety requirements. Expect PH1 to proceed in FY 2021. Ph2 is

	current housing portfolio							postponed until it is deemed safe to proceed into units with elderly residents due to Covid.
McConaughy Storm-Sanitary Sewer Replacement	**Increase housing of choice; Continue modernization and capital investment in current housing portfolio**	$300,000	$116,322.50	$116,322.50	$0	$0	$5,000,000	Repairs & replacement coordinated with City Engineering and Greater New Haven Water Pollution Control Authority. Investigation completed in FY 2019. Bids received & contract awarded in FY 2020. Implementation delayed pending COVID safety plan & MBE-WBE-Section 3 compliance. Work commenced July 2020. Project on time. Anticipated completion January 2021.
McConaughy Driveways, Parking Lots, Catch Basins	**Continue modernization and capital investment in current housing portfolio**	$250,000	$297,635.23	$297,635.23	$0	$0	$250,000	Operations staff completed paving in 4 McConaughy parking lots in FY 2018. Remaining paving work designed, bid & awarded during FY 2019. Project completed in FY 2020. Contract closed out.
McConaughy Interior Improvements Including Furnaces & Hot Water Heaters	**Cost effective; Continue modernization and capital investment in current housing portfolio**	$300,000	$1,503,766.81	$1,495,076.81	$0	$8,690	$2,877,000	ECC replaced furnaces & hot water heaters in 66 units in prior fiscal years; in FY 2019, began replacement in the remaining 135 units. Anticipated larger percentage of work to be performed during FY 2019, but construction started later in the year than expected. Contract completed by February 2020. Spent $1,444,288.30. Interior repairs at 2 units (116 S Genesee & 514 Valley) started in FY 2019 and completed in FY 2020. Spent $59,478.51. Both projects closed out.

Renovation work items associated with lead paint abatement at Essex, McConaughy, SS West & SS East	**Increase housing of choice: Continue modernization and capital investment in current housing portfolio**	$300,000	$0	$0	$0	$0	$300,000	Renovations in units where lead paint abatement grant funds are being used to pay for related work items that are not eligible for payment with lead grant funds. Bids received January 28, 2020. Responses higher than anticipated; no contract awarded. Re-solicited in May 2020 as RFP for IQC contracts; no award. Repackaged for re-solicitation in October 2020. Expect work to proceed in FY 2021.
Scattered Sites EAST & WEST: Replacement of Heating & Domestic Hot Water systems	**Cost effective; Continue modernization and capital investment in current housing portfolio**	$100,000	$0.00	$0	$0.00	$0	$500,000	Replacing antiquated inefficient oil-fired furnaces & boilers with gas-fired systems in 1-2 family homes saving utility cost, operations time and inconvenience of running out of fuel; antiquated gas systems with energy efficient new gas fired systems; with energy efficient systems. Project bid during FY 2019; responses higher than anticipated; no award. Project is being re-bid in Fall 2020 for implementation in Spring 2021.
Cornell Scott Pave Driveways, Parking Lots, Striping	**Continue modernization and capital investment in current housing portfolio**	$190,000.00	$215,528.58	$215,528.58	$0	$0	$190,000	Paving beyond useful life replaced. Project designed, bid and awarded in FY 2019. Project completed in FY 2020. Contract closed out.
Essex Heating System	**Cost effective: Continue modernization and capital investment in current**	$100,000	$39,613.67	$39,613.67	$0	$0	$37,400	Boiler room upgrade. Project designed during FY 2019. Work completed in FY 2020. Contract closed out.

	housing portfolio							
Wolfe Skylight Replacement; Associated Abatement/Health & Safety Repair	**Continue modernization and capital investment in current housing portfolio**	$75,000	$0	$0	$0	$0	$75,000	Replacement of leaking skylight & roof section, associated water damage & hazardous material abatement were initial planned scope of work. Project designed during FY 2019. FY 2020, 1 bid received; no award. In the interim, needed health & safety work identified. Roof repair now included in revised scope of bldg. repairs needed to maintain safety for approx. 3 years, pending building redevelopment. Design completed; solicitation issued September 2020 for implementation in FY 2021.; Elevator repairs estimated quoted at $500K were repaired for $4K.
Crawford Interior/Building Upgrades	**Vacancy Reduction-Expand housing choice; Continue modernization and capital investment in current housing portfolio**	$500,000	$0	$0	$0	$0	$5,000,000	Non-RAD conversion development. Units need kitchen & bathroom upgrade; interior doors; walls, ceilings, appliances, window replacement, lighting, bldg. exterior repairs, etc. Backlog of unfunded needs. In FY 2021, non-RAD converted properties.
McConaughy Interior/Building/Site Upgrades	**Vacancy Reduction-Expand housing choice; Continue modernization and capital investment in current**	$500,000	$0	$0	$0	$0	$7,500,000	Non-RAD conversion development. Units need kitchen & bathroom upgrade; interior doors, walls, ceilings, appliances, fences, sidewalks, lighting; bldg. exterior repairs, etc. being evaluated among planning for remaining non-RAD converted properties.

	housing portfolio							
Scattered Sites West Interior/Building/Site Upgrades	**Vacancy Reduction-Expand housing choice; Continue modernization and capital investment in current housing portfolio**	$500,000	$0	$0	$0	$0	$1,800,000	Non-RAD conversion development. Units need kitchen & bathroom upgrade; interior doors, walls, ceilings, appliances, fences, sidewalks, lighting, bldg. exterior repairs, etc. be evaluated among planning for remaining non-RAD converted properties.
Scattered Sites East Interior/Building/Site Upgrades	**Vacancy Reduction-Expand housing choice; Continue modernization and capital investment in current housing portfolio**	$500,000	$0	$0	$0	$0	$4,200,000	Non-RAD conversion development. Units need kitchen & bathroom upgrade; interior doors, walls, ceilings, appliances, fences, sidewalks, lighting, bldg. exterior repairs, etc. Backlog of unfunded needs. In FY 2021, remaining non-RAD converted properties.
Scattered Sites Multifamily Interior/Building/Site Upgrades	**Vacancy Reduction-Expand housing choice; Continue modernization**	$500,000	$0	$0	$0	$0	$14,000,000	Non-RAD conversion development. Units need kitchen & bathroom upgrade; interior doors, walls, ceilings, appliances, fences, sidewalks, lighting, bldg. exterior repairs, etc. be evaluated among planning for remaining non-RAD converted properties.

	and capital investment in current housing portfolio							
Essex Interior/Building/Site Upgrades	**Vacancy Reduction-Expand housing choice; Continue modernization and capital investment in current housing portfolio**	$500,000	$0	$0	$0	$0	$4,000,000	Non-RAD conversion development. Units need kitchen & bathroom upgrade; interior doors, walls, ceilings, appliances, fences, sidewalks, lighting, bldg. exterior envelope repairs, etc. Backlog of unfunded needs. In FY 2021, Essex being evaluated among planning for remaining non-RAD converted properties. Priority work for FY 2021: roofs, siding, windows, gutters, site fencing.
McQueeney Commercial-Common Area Spaces, Floors 1,2 & 3	**Improve safety and energy efficiency of commercial building areas**	$500,000	$0	$0	$0	$0	$7,000,000	Upgrades to offices-common areas not eligible for inclusion in RAD conversion work initiated in FY 2020. Contract for Finance & break room area awarded March 2020; implementation delayed pending COVID safety plan. Substantial completion October 2020. Glendower Dvlp. Grp. is overseeing design & construction of remainder of office-common area upgrades. Work expected to commence Fall of 2020.
Continuation of Lead-Based Paint Abatement at McConaughy, Essex, SS West, SS East (CFP LBP Grant)	**Expand housing choice; Continue modernization and capital investment in current housing portfolio**	$350,000	$61,733.60	$61,733.60	$0	$0	$986,260	Lead paint abatement were identified by inspection-risk assessment. Inspections and abatement plans started during FY 2019. Bids received January 2020. Responses higher than anticipated; no contract awarded. Re-solicited in May 2020 as RFP for IQC contracts. No award. Limited exterior interim control measures performed at McConaughy. Repackaged full scope of work in 9 smaller packages to encourage small Minority and Section 3 Business participation. Out for re-solicitation in October 2020. Expect work to proceed in FY 2021.

Agency Wide Vacancy Reduction & Abatement	**Reduce Vacancies**	$100,000	$89,046.66	$89,046.66	$0	$0	$100,000	Funds were allocated for abatement costs and vacancy reduction efforts during FY 2020. Abated 6 Westville units. Two IQC vacancy contracts awarded March 2020. Vacancy work in 5 Westville units, 7 SS multi units, 2 SS East units, 3 Essex units & 8 McConaughy units. Vacancy work in 8 Crawford units.
Agency Wide Abatement	**Continue modernization and capital investment in current housing portfolio**	$0	$5,978.25	$4,757	$1,221.25	$0	$25,000	Funds were allocated for abatement costs during FY 2020. Abated 2 Westville units, 1 Valley unit, 1 Essex unit.
IQC A&E	**Continue modernization and capital investment in current housing portfolio**	$250,000	$192,024.68	$192,024.68	$0	$0	$500,000	A&E consultant firms assist with design & construction management needs agency wide.
IQC Environmental	**Continue modernization and capital investment in current housing portfolio**	$250,000	$164,286.55	$164,286.55	$0	$0	$500,000	Environmental consultant firms assist with potential hazardous materials testing, preparation of scopes and abatement monitoring needs agency wide.
Administration Salaries-Benefits (CFP only)		$300,000	$307,828.20	$307,828.20	$0	$0	$300,000	Covered portion of 3 staff salaries & benefits to support CFP activities.

CFFP Bond Debt	**Expand housing choice**	$770,562.50	$770,562.50	$770,562.50	$0	$0	$770,562.50	Post defeasance bond debt FY 2020 in accordance with HUD repayment schedule. Scheduled payments were made in March and September.
RAD Group 2 Development Costs Waverly, Justice Fulton Park	**Expand housing choice**	$0.00	$285,151.00	$285,151	$0	$0	$285,151.00	CFP funds budgeted toward Waverly, Stanley Justice, & Fulton Park redevelopment expended during FY 2020.
RAD Group 3 1st year funding McQueeney & Celentano	**Expand housing choice**	$0	$365,215.00	$365,215.00	$0	$0	$365,215	As required by HUD, CFP formula funds were allocated at closing for RAD Group 3 (McQueeney and Winslow-Celentano) for 1st yr. operating funds for the calendar year remaining from the Housing Assistance Payment (HAP) Contract effective date of 3-1-20. Funds drawn in FY 2020.
RAD Group 4 1st year funding Ruoppolo & Fairmont	**Expand housing choice**	$0	$0.00	$0.00	$0	$0	$163,921	As required by HUD, CFP formula funds were to be allocated at closing for RAD Group 4 (Fairmont and Ruoppolo) from proposed effective Housing Assistance Payment (HAP) date of 9-1-20. RAD Group 4 closing now planned for FY 2021; effective HAP and CFP for 1st yr. operating funds delayed into FY 2021.
Total		**$7,645,563**	**$4,414,693.23**	**$4,404,782**	**$1,221.25**	**$8,690**	**$57,235,510**	

Goal or Initiative	Capital Expenditures Original Planned FY 2020	Capital Expenditures Actual FY 2020 as of 9-30-20	CFP Total	MTW Total	Other (LIPH) Total	Total Estimated Project Cost	Comment
Increasing housing of choice; Continue progress toward meeting goal of 10% UFAS compliant units' agency -wide	$60,000	$0	$0	$0	$0	$60,000	Project supports MTW goal to further ADA access to our properties by upgrading common areas in existing buildings. Project designed during FY 2019. Bids received & contract award approved in FY 2020. Implementation delayed pending COVID safety plan. Expect work to proceed in FY 2021.
Increase housing of choice; Continue modernization and capital investment in current housing portfolio	$450,000	$0	$0	$0	$0	$450,000	Building fire alarm panel & fire pump at end of useful life. Alarm system now requires including addressing features for smoke alarms. Project designed during FY 2019. Bids received & contract award approved in FY 2020. Implementation delayed pending COVID safety plan. Expect work to proceed in FY 2021.
Increase housing of choice; Continue modernization and capital investment in current housing portfolio	$300,000	$116,322.50	$116,322.50	$0	$0	$5,000,000	Repairs & replacement coordinated with City Engineering and Greater New Haven Water Pollution Control Authority. Investigation completed in FY 2019. Bids received & contract awarded in FY 2020. Implementation delayed pending COVID safety plan & MBE-WBE-Section 3 compliance. Work commenced July 2020. Expected completion January 2021.
Continue modernization and capital investment in current housing portfolio	$250,000	$297,635.23	$297,635.23	$0	$0	$250,000	Operations staff completed paving in 4 McConaughy parking lots in FY 2018. Remaining paving work designed, bid & awarded during FY 2019. Project completed in FY 2020. Contract closed out.
Cost effective; Continue modernization and capital investment in current housing portfolio	$300,000	$1,503,766.81	$1,495,076.81	$0	$8,690	$2,877,000	ECC replaced furnaces & hot water heaters in 66 units in prior fiscal years; in FY 2019, began replacement in the remaining 135 units. Anticipated larger percentage of work to be performed during FY 2019, but construction started later in the year than expected. Contract completed by February 2020. Spent $1,444,288.30. Interior repairs at 2 units (116 S Genesee & 514 Valley) started in FY 2019 and completed in

							FY 2020. Spent $59,478.51. Both projects closed out.
Increase housing of choice: Continue modernization and capital investment in current housing portfolio	$300,000	$0	$0	$0	$0	$300,000	Renovations in units where lead paint abatement grant funds are being used to pay for related work items that are not eligible for payment with lead grant funds. Bids received January 28, 2020. Responses higher than anticipated; no contract awarded. Re-solicited in May 2020 as RFP for IQC contracts, no award. Repackaged for re-solicitation in October 2020. Expect work to proceed in FY 2021.
Cost effective; Continue modernization and capital investment in current housing portfolio	$100,000	$0.00	$0	$0.00	$0	$500,000	inefficient oil-fired furnaces & boilers with gas-fired systems in 1-2 family homes saving utility cost, operations time and inconvenience of running out of fuel; Replacing antiquated gas systems with energy efficient new gas fired systems; Replacing electric heat-hot water systems with energy efficient systems. Project bid during FY 2019; responses higher than anticipated; no award. Project re-bid in Fall 2020 for implementation in Spring 2021.
Continue modernization and capital investment in current housing portfolio	$190,000.00	$215,528.58	$215,528.58	$0	$0	$190,000	Paving beyond useful life replaced. Project designed, bid, and awarded in FY 2019. Project completed in FY 2020. Contract closed out.
Cost effective: Continue modernization and capital investment in current housing portfolio	$100,000	$39,613.67	$39,613.67	$0	$0	$37,400	Boiler room upgrade. Project designed during FY 2019. Work completed in FY 2020. Contract closed out.

Continue modernization and capital investment in current housing portfolio	$75,000	$0	$0	$0	$0	$75,000	Replacement of leaking skylight & roof section, associated water damage & hazardous material abatement were initial planned scope of work. Project designed during FY 2019. FY 2020, 1 bid received: no award. In the interim, needed health & safety work identified. Roof repair now included in revised scope of bldg. repairs needed to maintain safety for approx. 3 years, pending building redevelopment. Design completed; solicitation issued September 2020 for implementation in FY 2021.
Vacancy Reduction- Expand housing choice; Continue modernization l capital investment in current housing portfolio	$500,000	$0	$0	$0	$0	$5,000,000	Non-RAD conversion development. Units need kitchen & bathroom upgrade; interior doors; walls, ceilings, appliances, window replacement, lighting, bldg. exterior repairs, etc. Backlog of unfunded needs. In FY 2021, Crawford to be evaluated among planning for remaining non-RAD converted properties.
Vacancy Reduction- Expand housing choice; Continue modernization l capital investment in current housing portfolio	$500,000	$0	$0	$0	$0	$7,500,000	Non-RAD conversion development. Units need kitchen & bathroom upgrade; interior doors, walls, ceilings, appliances, fences, sidewalks, lighting; bldg. exterior repairs, etc. Backlog of unfunded needs. In FY 2021, McConaughy being evaluated among planning for remaining non-RAD converted properties.
Vacancy Reduction- Expand housing choice; Continue modernization l capital investment in current housing portfolio	$500,000	$0	$0	$0	$0	$1,800,000	Non-RAD conversion development. Units need kitchen & bathroom upgrade, interior doors, walls, ceilings, appliances, fences, sidewalks, lighting, bldg. exterior repairs, etc. Backlog of unfunded needs. In FY 2021, Scattered Sites to be evaluated among planning for remaining non-RAD converted properties.
Vacancy Reduction- Expand housing choice; Continue modernization l capital investment in current housing portfolio	$500,000	$0	$0	$0	$0	$4,200,000	Non-RAD conversion development. Units need kitchen & bathroom upgrade, interior doors, walls, ceilings, appliances, fences, sidewalks, lighting, bldg. exterior repairs, etc. Backlog of unfunded needs. In FY 2021, Scattered Sites to be evaluated among planning for remaining non-RAD converted properties.

Vacancy Reduction- Expand housing choice; Continue modernization and capital investment in current housing portfolio	$500,000	$0	$0	$0	$0	$14,000,000	Non-RAD conversion development. Units need kitchen & bathroom upgrade, interior doors, walls, ceilings, appliances, fences, sidewalks, lighting, bldg. exterior repairs, etc. Backlog of unfunded needs. In FY 2021, Scattered Sites to be evaluated among planning for remaining non-RAD converted properties.
Vacancy Reduction- Expand housing choice; Continue modernization [a]nd capital investment in current housing portfolio	$500,000	$0	$0	$0	$0	$4,000,000	Non-RAD conversion development. Units need kitchen & bathroom upgrade, interior doors, walls, ceilings, appliances, fences, sidewalks, lighting, bldg. exterior envelope repairs, etc. Backlog of unfunded needs. In FY 2021, planning for remaining non-RAD converted properties. Priority work for FY 2021: roofs, siding, windows, gutters.
Improve safety and energy efficiency of commercial building areas	$500,000	$0	$0	$0	$0	$7,000,000	Upgrades to offices-common areas not eligible for inclusion in RAD conversion work initiated in FY 2020. Contract for Finance & break room area awarded March 2020; implementation delayed pending COVID safety plan. Substantial completion October 2020. Glendower Dvlp. Grp. is overseeing design & construction of remainder of office-common area upgrades. Work expected to commence Fall of 2020.
Expand housing choice; Continue modernization and capital investment in current housing portfolio	$350,000	$61,733.60	$61,733.60	$0	$0	$986,260	Lead paint abatement where identified by inspection-risk assessment. Inspections and abatement plans started during FY 2019. Bids received January 2020. Responses higher than anticipated; no contract awarded. Re-solicited in May 2020 as RFP for IQC contracts. No award. Limited exterior interim control measures performed at McConaughy. Repackaged for re-solicitation in October 2020. Expect work to proceed in FY 2021.

Reduce Vacancies	$100,000	$89,046.66	$89,046.66	$0	$0	$100,000	Funds were allocated for abatement costs and vacancy reduction efforts during FY 2020. Abated 6 Westville units. Two IQC vacancy contracts awarded March 2020. Vacancy work in 5 Westville units, 7 SS multi units, 2 SS East units, 3 Essex units & 8 McConaughy units. Vacancy work in 8 Crawford units.
Continue modernization and capital investment in current housing portfolio	$0	$5,978.25	$4,757	$1,221.25	$0	$25,000	Funds were allocated for abatement costs during FY 2020. Abated 2 Westville units, 1 Valley unit, 1 Essex unit.
Continue modernization and capital investment in current housing portfolio	$250,000	$192,024.68	$192,024.68	$0	$0	$500,000	A&E consultant firms assist with design & construction management needs agency wide.
Continue modernization and capital investment in current housing portfolio	$250,000	$164,286.55	$164,286.55	$0	$0	$500,000	Environmental consultant firms assist with potential hazardous materials testing, preparation of scopes and abatement monitoring needs agency wide.
	$300,000	$307,828.20	$307,828.20	$0	$0	$300,000	Covered portion of 3 staff salaries & benefits to support CFP activities.
Expand housing choice	$770,562.50	$770,562.50	$770,562.50	$0	$0	$770,562.50	Post defeasance bond debt FY 2020 in accordance with HUD repayment schedule. Scheduled payments were made in March and September.
Expand housing choice	$0.00	$285,151.00	$285,151	$0	$0	$285,151.00	CFP funds budgeted toward Waverly; Stanley Justice, & Fulton Park redevelopment expended during FY 2020.
Expand housing choice	$0	$365,215.00	$365,215.00	$0	$0	$365,215	As required by HUD, CFP formula funds were allocated at closing for RAD Group 3 (McQueeney and Winslow-Celentano) for 1st yr. operating funds for the calendar year remaining from the Housing Assistance Payment (HAP) Contract effective date of 3-1-20. Funds drawn in FY 2020.

Expand housing choice	$0	$0.00	$0.00	$0	$0	$163,921	As required by HUD, CFP formula funds were to be allocated at closing for RAD Group 4 (Fairmont and Ruoppolo: from proposed effective Housing Assistance Payment (HAP) date of 9-1-20. RAD Group 4 closing now planned for FY 2021; effective HAP and CFP for 1st yr. operating funds delayed into FY 2021.
	$7,645,563	**########**	**$4,404,782**	**$1,221.25**	**$8,690**	**$57,235,510**	

Appendix 8: ECC/HANH Development REAC Scores, 2009 to Present

REAC Scores													
Development		**2020**	**2019**	**2018**	**2017**	**2016**	**2015**	**2014**	**2013**	**2012**	**2011**	**2010**	**2009**
Brookside Phase I*		**n/a**	**n/a**		**95**		**92**						
Brookside Phase II*		**n/a**	**n/a**		**91**		**95**						
Constance Motley**		**93**	**n/a**				**90**						
Crawford Manor		**n/a**	**n/a**		**78**	**69**			**88**				
Edith D Johnson Towers**		**n/a**	**n/a**				**95**						
Eastview Terrace*/**		**n/a**	**n/a**							**95**			
Farnam Courts*/**		**n/a**	**n/a**	**36**		**56**							
Katherine Harvey Terrace**		**73**	**n/a**		**86**			**95**					
McConaughy Terrace		**n/a**	**n/a**							**82**	**78**	**58**	**70**
McQueeney**		**76**	**n/a**		**63**	**70**				**64**	**59**	**85**	**54**
Monterey 1**		**n/a**	**n/a**					**96**					
Monterey 2**		**n/a**	**n/a**					**92**					
Monterey 4**		**n/a**	**n/a**					**92**					
Monterey 5**		**n/a**	**n/a**					**91**					
Newhall Gardens**		**93**	**n/a**			**96**							
Prescott Bush Mall**		**86**	**n/a**				**97**						
Quinnipiac Terrace Phase I*		**n/a**	**n/a**		**82**		**88**		**98**	**89**			
Quinnipiac Terrace Phase II*		**n/a**	**n/a**		**93**		**85**						
Quinnipiac Terrace Phase III*		**n/a**	**n/a**			**85**							
Ribicoff Cottages -EXT**		**77 (Ribi**	**n/a**							**82**	**82**	**68**	**91**

		9)/85(ri bi 4)											
Robert T Wolfe**		**n/a**	**n/a**		**71**		**85**			**82**	**49**	**80**	**51**
Rockview Phase I*		**n/a**	**n/a**		**97**		**96**						
Ruoppolo/Fairmont**		**55/65**	**n/a**						**86**	**79**	**65**	**61**	**56**
St. Anthony II		**n/a**	**n/a**		**58**								
Val Macri		**n/a**	**n/a**				**94**						
Waverly Townhouses**		**n/a**	**n/a**		**65**								
Westville Manor		**n/a**	**n/a**		**58**					**47**	**51**	**35**	**90**
Wilmot Crossing*/**		**69**	**n/a**					**93**					
Winslow-Celentano**		**70**	**n/a**		**58**	**70**			**84**	**71**	**74**	**72**	**53**
WT Rowe*		**n/a**	**n/a**		**90**		**99**						
Scattered Sites II		**n/a**	**n/a**		**80**								
Scattered Sites III		**n/a**	**n/a**	**58**	**67**	**61**							

Appendix 9: Work Orders, FY09 to FY19

Work Orders						
Development	**FY2020 - Completed FY 2020 - Repairs Only**	**FY 2019**	**FY 2018**	**FY 2017**	**FY 2016**	**Other Years**
Brookside Phase I	369	494	No data	No data	461	
Brookside Phase II	226	440	No data	No data	472	2013: 1,311
Rockview I	200	274		N/A	N/A	2014: 1,562
Charles T. McQueeney	938	1113	769	1,008	1,312	N/A
Constance B Motley	123	97	197	609	573	N/A
Crawford	372	768	907	1,461	No data	N/A
Eastview Terrace	169	62	951	1,323	625	N/A

Essex Townhouses	167	156		220	190	N/A
Fairhaven Chatham	71	25	238	92	No data	N/A
Fairhaven Eastview	28	14	176	129	No data	N/A
Fairmont Heights	385	770	588	756	1024	N/A
Farnam Courts	0	94	298	607	1002	N/A
Katherine Harvey Terrace	69	43	111	172	132	N/A
Mathew Ruoppolo	319	504	440	535	607	N/A
McConaughy Terrace	1122	1369	1512	2,981	1,612	N/A
Newhall Gardens	128	81	106	312	360	N/A
Prescott Bush	235	165	165	734	464	N/A
Quinnipiac I		488		2,826	531	2013: 204
Quinnipiac II		481		2,815	608	2013: 273
Quinnipiac III		238		1,148	277	2013: 289
Ribicoff 4% & 9%	594	705	1222	404	122	N/A
Robert T. Wolfe	399	516	336	978	465	N/A
Scattered Sites (All)	926	541	1348	1,586	990	N/A
St Anthony		175		52	No data	N/A
Valley	126	534	775	1,339	1,470	N/A
Waverly	167					
Westville	745	563	710	961	1,206	N/A
Wilmot	444	1199	1346	338	175	N/A
William T. Rowe	500	485				
Winslow Celentano	403	341	649	933	765	N/A

Appendix 10: Utility Consumption, FY16 to Present

Electricity Consumption: Electricity Utility Costs Per Unit Per Month

Electricity Consumption					
Development		**FY2019**	**FY 2017**	**FY 2016**	**Other Years**
Eastview I	$ 672.25	25.71	$68.97	$75.07	2012: $821.92
Fair Haven	$ 263.92	111.83	$124.57	No data	
Quinnipiac	$ 340.92		No data	No data	2012: $473.75
Ribicoff 4%	$ 1,174.58	137.43	$159.52	No data	
Ribicoff 9%	$ 1,149.67	154.61	$183.81	No data	
Wilmot	$ 178.58	133.07	$143.41	No data	
WT Rowe	$ 365.58		$671.59	$105.46	
Waverly	$ 502.67	81.69	No data	No data	2012: $900
McQueeney	$ -	133.97			

Gas Consumption: Gas Utility Costs Per Unit Per Month

Gas Consumption					
Development	**FY2020**	**FY2019**	**FY 2017**	**FY 2016**	**Other Years**
Eastview I	$ 310.83		$11.99	$7.00	2012: $27.75
Fair Haven	$ 319.92	14.84	$31.17	No data	
Quinnipiac	$ 302.83		No data	No data	2012: $34.58
Ribicoff 4%	$ -	15.55	$13.28	No data	
Ribicoff 9%	$ -	21.21	$22.21	No data	
Wilmot	$ 1,226.25	15.14	$9.88	No data	
WT Rowe	$ 1,338.17		$32.22	$6.02	
Waverly	$ 219.42	45.82	No data	No data	2012: $60.83
McQueeney		6.79			

EVT pays their Own utilities

Appendix 11: LIPH Occupancy

Dev #	Site	Occupancy Rate FY19	Occupancy Rate FY20	
CT004000001	Westville M	97.99%	97.18%	
CT004000004	McConaughy	92.35%	97.45%	
CT004000005	Valley 2s	87.18%	80.00%	
CT004000010	Crawford	94.44%	94.00%	
CT004000011	McQueeney	83.22%		
CT004000012	Winslow	90.63%		
CT004000013	Wolfe	92.39%	97.65%	
CT004000014	Farnam	1.09%	0.00%	
CT004000015	Ruoppolo 2s	84.47%	81.13%	
	Fairmont 4s	84.38%	82.00%	
CT004000016	QT I	96.55%		
CT004000017	QT II	100.00%		
CT004000018	QT III	100.00%		
CT004000020	Essex	90.91%	96.97%	
CT004000021	St. Anthony II	95.83%	97.78%	SS - Multi
CT004000022	Scattered Site II	95.45%	100.00%	SS- West
CT004000023	Scattered Site III	86.54%	81.58%	SS- East
CT004000075	Rowe	97.83%	100.00%	
CT004000076	Brookside I	94.00%	94.06%	
CT004000077	Brookside II	96.00%	90.00%	
CT004000081	Rockview	96.67%	93.59%	
CT004000082	Val Macri	100.00%		
87%				

Appendix 12: Number of Major Crimes, FY12 to Present

Development	2020	2019	2018	2017	2016	2014	2012
Eastview I			9	7	1	0	0
Ribicoff 4%				1	0	N/A	N/A
Ribicoff 9%				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
Winslow Celentano		0	0	0	0	1	
William T Rowe			4	0	1	0	0
Farnam Phase I (Mill River Crossing)		1	1				
Fair Haven		1	3				
Wilmot			2	1	0	0	N/A