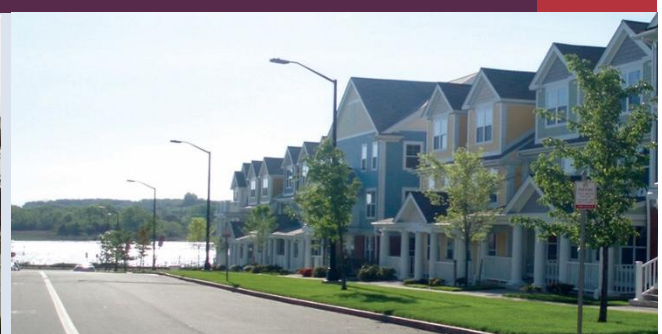
ELM CITY communities
Housing Authority of New Haven

Making a Difference…

2016 MOVING TO WORK ANNUAL REPORT

Submitted to HUD on: January 5, 2017



Elm City Communities/HANH
P.O. Box 1912
New Haven, CT 06509
360 Orange Street
New Haven, CT 06510
(203) 498-8800
TDD (203) 497-8434
www.newhavenhousing.org

Follow Us On twitter
@ECCommunities
Like Us On facebook
Facebook.com/ElmCityCommunities

Mayor
Toni Harp

Board of Commissioners
Erik Clemons, Chairman
Matthew Short, Commissioner
William Kilpatrick, Commissioner
Waleska Candelaria, Commissioner
Foluke Morris, Commissioner

Executive Director
Karen DuBois-Walton, Ph.D.

Table of Contents

I. INTRODUCTION

In 2001, Elm City Communities/Housing Authority of the City of New Haven (ECC/HANH) was awarded Moving to Work (MTW) status as part of the federal MTW Demonstration Program (MTW), administered by the U.S. Department of Housing and Urban Development (HUD). ECC/HANH is one of 39 housing authorities nationwide selected for participation in MTW. During ECC/HANH's MTW term, in lieu of the standard Public Housing Authority (PHA) Annual Plan and Five-Year Plan documents, ECC/HANH is required to develop and submit to HUD MTW Annual Plans that articulate ECC/HANH's key policies, objectives, and strategies for administration of its federal housing programs to most effectively address local needs, in accordance with the terms of the ECC/HANH MTW Agreement. The 2016 MTW Annual Report states ECC/HANH' MTW goals and objectives, our current status toward achieving these goals and objectives.

What Is Moving to Work?

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

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

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

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

ECC/HANH Participation in MTW

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

According to the MTW Agreement, ECC/HANH's MTW program does not include HUD grant funds committed to specific grant purposes, namely: ECC/HANH's HOPE VI grants for Monterey Place, ECC/HANH's HOPE VI grants for Quinnipiac Terrace/Riverview, any future HOPE VI Revitalization grants, Rental Assistance Demonstration (RAD) grants and other competitive grant funds awarded for specific purposes. These grant-funded programs committed to specific purposes require ECC/HANH to provide periodic reports to HUD. Although these grant-funded programs are not included in ECC/HANH's MTW program, ECC/HANH has included information, where relevant, regarding these grant-funded programs in this MTW Annual Report for FY 2016.

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

ECC/HANH made the agreement available for public review and comment for a 30-day period and conducted a public hearing at the end of the review period. The public hearing was conducted on February 25, 2008. The ECC/HANH Board of Commissioners approved the Amended and Restated MTW Agreement through Resolution No. 02-22/08-R on February 26, 2008. The Amended and Restated MTW Agreement governs ECC/HANH's MTW status through 2028. ECC/HANH's redevelopment plans require flexible use of Section 8 and 9 funds to develop affordable housing for families at or below 80% of AMI; therefore, on May 2, 2008, ECC/HANH has executed the Second Amendment to its Restated and Amended Moving to Work Agreement with HUD which clarifies such authority.

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

The MTW planning process provides the agency with a mechanism for updating its long-term strategy on an annual basis by enabling ECC/HANH to take stock of the progress of its ongoing activities and by addressing new concerns by establishing new goals and objectives for FY 2016. The 2016 Annual MTW Plan sets forth a short- and long-term vision for the agency for the next 10 years. The agency's long-term vision centers on streamlining its processes to become more effective and innovative, as well as promoting the economic self-sufficiency and housing choice of residents and program participants. The agency recognizes that its long-term viability rests with the economic well-being of its residents and the variety of housing choices that it is able to provide. The long-term plan is focused on the operational sustainability and capacity of the agency to meet the needs of the present day and to be positioned to succeed over the long term. The long-term vision also calls for the agency to develop relationships with local non-profit organizations to enhance the delivery of its programs, as well as looking to develop commercial ventures that will both expand housing choices, in addition to making the agency more efficient.

ECC/HANH's 2016 MTW Annual Report was made available for public review on November 1, 2016, and a public hearing was held on December 5, 2016. On December 20, 2016, the Board of Commissioners passed Resolution #12-146/16-R approving the 2016 MTW Annual Report.

Report – January 3, 2017
Public Notice – November 1, 2016
Public Hearing – December 5, 2016
Board of Commissioner Approval – December 20, 2016

Short-Term Strategic Plan

Cost Effectiveness

- Expansion of rent simplification model
- Investments in technology to add additional functionality – e.g., on-line applications for housing; on-line ability to check waitlist status; electronic payments to vendors and landlords
- Provision of services to area PHAs
- Energy efficiency investments through ESCO
- Complete RAD conversion opportunities within the portfolio

Long-Term Strategic Plan

Housing Choice

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

Cost Effectiveness

- Streamline administrative functions in LIPH and HCV program operations through transition to paperless systems and electronic files
- Continued progress of streamlined administration of HCV program through introduction of HQS self-certification program for model landlords
- Exploration of regional provision of housing authority services on a fee-for-service basis
- Disposition and/or conversion of remaining non-performing assets
- Continued investment in technological advances to reduce administrative burden and create model wired and wireless communities
- Continued investment in energy efficiency initiatives to improve the efficiency of HANH's operations

Family Self-Sufficiency

- Develop transitional models of assistance that move families toward self-sufficiency and away from subsidized housing in progressive steps
- Expansion of resident-owned business initiatives leading to an increase in the number of HANH contracts executed with such business enterprises and support for these businesses successfully competing for non-HANH work
- Expansion of cost-effective training programs and increase in number of residents participating in such
- Expansion of supportive services programming to provide needed supports to families as they move toward self-sufficiency. In the long term, on-site supportive services is critical to our effective management of Elderly/Disabled developments—perhaps equally important to security improvements—as more than 90% of our Elderly/Disabled waiting lists are persons with disabilities and, based on recent admissions, the majority have significant behavioral health disabilities.
- Expand linkages with local school system to support children's academic progress and attainment

Housing Choice

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

Overview of MTW Initiatives

Initiative	Description	MTW Goal	Approved	Status
1.1	Development of Mixed Use development of 122 Wilmot Road	Increase Housing Choice	FY 2009	Closed[1]
1.2	Local Total Development Cost (TDC) limits initiative	Cost Effectiveness Increase Housing Choice	FY 2009	Ongoing
1.3	Fungibility of MTW funds	Cost Effectiveness	FY 2012	Closed[2]
1.4	Income Eligibility for HCV PBV units in Mixed Finance Developments	Cost Effectiveness Housing Choice	FY 2012	Ongoing
1.5	HCV Preference and Set Aside for Victims of Foreclosure	Increase Housing Choice	FY 2009	Ongoing
1.6	Deconcentration of Poverty Promote Expanded Housing Opportunities for HCV and PBV Program	Increase Housing Choice	FY 2008	Ongoing
1.7	Tenant-Based Vouchers for Supportive Housing for the Homeless	Increase Housing Choice	FY 2010	Ongoing
1.8	Farnam Courts Transformation Plan	Increase Housing Choice	FY 2011	Ongoing
1.9	Increase the Allowed Percentage of Project Based Voucher "PBV" Units from 75 Percent to 100 Percent in a Mixed Finance Development	Increase Housing Choice Cost Effectiveness	FY 2012	Ongoing
1.10	Income Skewing for PBVs in Mixed Finance	Cost Effectiveness	FY 2012	Ongoing
1.11	Increase the percentage of Housing Choice Voucher budget authority for the Agency that is permitted to project-base from 20% up to 25%	Increase Housing Choice	FY 2013	Ongoing
1.12	Development of Replacement Public Housing Units with MTW Black Grant Funds	Increase Housing Choice	FY 2013	Ongoing
1.13	Creation of a commercial business venture at 122 Wilmot Road	Cost Effectiveness	FY 2013	Closed[3]
1.14	Redevelopment of Edgewood Avenue (aka Dwight Gardens)	Increase Housing Choice	FY 2014	Closed[4]
1.15	Development of RAD Development for Rockview Phase II Rental	Increase Housing Choice	FY 2014	Ongoing
1.16	Crawford Manor Transformation Plan	Increase Housing Choice	FY 2014	On Hold
1.17	Westville Manor Transformation Plan	Increase Housing Choice	FY 2016	Ongoing
2.1	Family Self-sufficiency Program	Increase Family Self-Sufficiency	FY 2007	Ongoing
2.2	Promotion of Self-sufficiency/ Earned/Income Exclusion	Increase Family Self-Sufficiency	FY 2008	Ongoing
2.3	Caring About Resident Economic Self-sufficiency -CARES Initiative	Increase Family Self-Sufficiency	FY 2012	Ongoing
2.4	Teacher in Residence Program	Increase Family Self-Sufficiency	FY 2015	Ongoing
3.1	Rent Simplification	Cost Effectiveness	FY 2007	Ongoing
3.2	UPCS Inspections	Cost Effectiveness	FY 2008	Closed[5]
3.3	Revised HQS Inspection Protocol	Cost Effectiveness	FY 2011	Closed[6]
3.4	Mandatory Direct Deposit	Cost Effectiveness	FY 2009	Closed[7]
3.5	HCV Rent Simplification/Cost Stabilization Measures	Cost Effectiveness	FY 2014	Ongoing
N/A	Development of Housing Choice Voucher Units with MTW Block Grant	Increase Housing Choice	FY 2010	Ongoing
N/A	Fulton Park Modernization	Increase Housing Choice	FY 2011	On Hold
N/A	LIPH Income Targeting: Marketing Initiatives for Higher Income Eligible Families	Cost Effectiveness	FY 2008	Closed[8]

[1] Project completed
[2] Per HUD directive this initiative does not need to be reported
[3] Project completed
[4] Project not being pursued
[5] Initiative no longer requires MTW flexibility
[6] Initiative was revised and relaunched as item 3.5
[7] Initiative does not require MTW flexibility
[8] Initiative was put on hold and then closed

MTW Initiatives Requiring Funding Flexibility Only

Description	MTW Objective	Status
Project Modernization – Various Projects	Increase Housing Choice	Ongoing
Vacancy Reduction – Various Projects	Increase Housing Choice	Ongoing
Major Redevelopment Efforts at West Rock • Brookside Phase I • Brookside Phase II • Brookside Homeownership • Rockview Phase I • Ribicoff 4% • Ribicoff 9% • Rockview Phase II • Westville Manor	Increase Housing Choice	 • Closed • Closed • Closed • Closed • Ongoing • Ongoing • Not Implemented • Not Implemented
Resident-Owned Business Development Support Initiative	Increase Family Self-Sufficiency	Ongoing
SEHOP Capital Improvement Program	Increase Family Self-Sufficiency	Ongoing
Community Re-entry Program	Increase Family Self-Sufficiency	Ongoing
Resident Services – Elderly/Disabled Development	Increase Family Self-Sufficiency	Ongoing

Annual MTW Report

II.4.Report.HousingStock

A. MTW Report: Housing Stock Information

New Housing Choice Vouchers that were Project-Based During the Fiscal Year

Property Name	Anticipated Number of New Vouchers to be Project-Based *	Actual Number of New Vouchers that were Project-Based	Description of Project
RAD 122 Wilmot	34	0	34 PBV
RAD McQueeny	142	0	142 converted ACC units
RAD Fairmont Heights	93	0	93 converted ACC units
RAD Matthew Ruoppolo Manor	99	0	99 converted ACC units
RAD Winslow Celentano	61	0	61 converted ACC units
RAD Robert T. Wolfe	88	0	88 converted ACC units
RAD Prescott Bush	53	0	53 converted ACC units
RAD Waverly Townhouses	49	0	49 converted ACC units
RAD Valley Townhouses	38	0	38 converted ACC units
RAD CB Motley	43	0	43 converted ACC units
RAD Newhall Gardens	25	0	25 converted ACC units
RAD Katherine Harvey Terrace	16	0	16 converted ACC units
RAD Fulton Park	12	0	12 converted ACC units
RAD Chamberlain Court	6	0	6 converted ACC units
RAD Chamberlain Court II	1	0	1 converted ACC units
RAD Farnam	228	0	228 converted ACC units
RAD Ribicoff 4%	51	44	51 converted ACC units

Anticipated Total Number of New Vouchers to be Project-Based *	Actual Total Number of New Vouchers that were Project-Based	Anticipated Total Number of Project-Based Vouchers Committed at the End of the Fiscal Year *	Anticipated Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year *
1039	44	1156	1156

Actual Total Number of Project-Based Vouchers Committed at the End of the Fiscal Year	Actual Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year
561	542

* From the Plan

Other Changes to the Housing Stock that Occurred During the Fiscal Year
Conversion of 55 units as the offsite component of Farnam at the Fair Haven development
Description of other changes to the housing stock during the fiscal year
Description of other changes to the housing stock during the fiscal year

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

General Description of Actual Capital Fund Expenditures During the Plan Year

During FY 2016, ECC/HANH made significant strides in its ongoing effort to reduce vacancies and improve occupancy agency wide. ECC continued to supplement its own staffing efforts with abatement and renovation contractors to bring vacant units back online and expended over $365,000 in CFP funds and $61,000 in MTW funds. ECC also expended $44,704 in CFP funds to make accessibility improvements in a vacant Waverly unit. In FY 2016, ECC continued kitchen, bathroom and interior upgrades in units and building upgrades at the McQueeney development and expended approximately $695,000 in CFP funds and $56,000 in MTW funds. Using CFP, ECC expended funds on the following activities: HVAC riser upgrades at C.B. Motley—($373,919); Farnam fire stairs—($31,913); Prescott Bush sanitary sewer line repairs—($189,341); implementation of boiler replacements at Winslow-Celentano—($468,415) and at Crawford Manor—($789,100) with work continuing into FY 2017; continuation of Agency wide physical needs assessments—($144,070); completion of Ruoppolo balcony terrace wall repairs—($98,400); architectural/engineering and environmental consulting services—(approximately $481,775); Administration costs salaries-benefits (CFP only)—($227,014); CFFP bond debt payment—($1,065,587.50) RHF and CFP funds.

Approved and Actual Capital Expenditures FY 2016

Description	Approved Capital Expenditures	Actual Capital Expenditures	CFP TOTAL	MTW TOTAL	RHF TOTAL
Agency wide UFAS Compliance	$175,000.00	$44,704.00	$44,704.00	$0.00	$0.00
Agency wide Vacancy Reduction	$350,000.00	$229,912.51	$228,298.96	$0.00	$0.00
Farnam Fire Stairs	$20,000.00	$31,913.00	$31,913.00	$0.00	$0.00
Waverly Townhouses Roofs/Siding	$250,000.00	$0.00	$0.00	$0.00	$0.00
Waverly Townhouses Interiors (including floors)	$450,000.00	$0.00	$0.00	$0.00	$0.00
McQueeney Kitchens, Baths, Interiors; Building Interior	$750,000.00	$750,499.22	$694,542.68	$55,956.54	$0.00
McQueeney Elevators	$450,000.00	$0.00	$0.00	$0.00	$0.00
McQueeney Windows	$1,150,000.00	$0.00	$0.00	$0.00	$0.00
AMP Environmental Remediation	$200,000.00	$196,346.55	$135,568.95	$60,777.60	$0.00
LEAP Roof Replacement	$275,600.00	$0.00	$0.00	$0.00	$0.00
Motley Riser Upgrade Phase 2	$550,000.00	$373,919.02	$373,919.02	$0.00	$0.00
McConaughy Sewer A&E	$200,000.00	$0.00	$0.00	$0.00	$0.00
McConaughy Interiors	$500,000.00	$0.00	$0.00	$0.00	$0.00
Scattered Sites Multi-Units Capital Repairs	$500,000.00	$0.00	$0.00	$0.00	$0.00
Fairmont Elevators	$350,000.00	$0.00	$0.00	$0.00	$0.00
Wolfe Elevators	$400,000.00	$0.00	$0.00	$0.00	$0.00
IQC A/E	$250,000.00	$183,911.77	$183,911.77	$0.00	$0.00
IQC Environmental	$250,000.00	$297,862.85	$294,206.85	$3,656.00	$0.00
IQC Energy Performance Contract	$5,278,227.00	$0.00	$0.00	$0.00	$0.00
Prescott Bush Sanitary Sewer Line Repairs	$193,000.00	$189,341.35	$189,341.35	$0.00	$0.00
Winslow-Celentano Boiler Replacement/Heating System Upgrade in Phases	$600,000.00	$468,415.00	$468,415.00	$0.00	$0.00
Crawford Boiler Replacement/Heating System Upgrade in Phases	$1,955,000.00	$789,100.00	$789,100.00	$0.00	$0.00
Ruoppolo Generator Replacement	$100,000.00	$0.00	$0.00	$0.00	$0.00
Administration Salaries-Benefits (CFP only)	$227,014.18	$227,014.18	$227,014.18	$0.00	$0.00
Total Originating in FY 2016	**$15,423,841.18**	**$3,782,939.45**	**$3,660,935.76**	**$120,390.14**	**$0.00**

Approved and Actual Capital Expenditures Carried Over from FY 2015:

Description	Approved Capital Expenditures	Actual Capital Expenditures	CFP TOTAL	MTW TOTAL	RHF TOTAL
GPNA/RAD PNA	$0.00	$144,070.00	$144,070.00	$0.00	$0.00
Ruoppolo Balcony Terrace Repairs (Façade)	$0.00	$98,400.00	$98,400.00	$0.00	$0.00
Brookside Phase 1 Bond Debt	$1,065,587.50	$1,065,587.50	$400,592.50	$0.00	$664,995.00
Total Carryover from FY 2015	**$1,065,587.50**	**$1,308,057.50**	**$643,062.50**	**$0.00**	**$664,995.00**

Total Approved and Actual Capital Expenditures in FY 2016:

Approved Capital Expenditures	Actual Capital Expenditures	CFP TOTAL	MTW TOTAL	RHF TOTAL
$16,489,428.68	**$5,090,996.95**	**$4,305,611.81**	**$120,390.14**	**$664,995.00**

Overview of Other Housing Owned and/or Managed by the PHA at Fiscal Year End		
Housing Program *	Total Units	Overview of the Program
N/A	0	Overview of the program
Total Other Housing Owned and/or Managed	0	

*** Select Housing Program from:** Tax-Credit, State Funded, Locally Funded, Market-Rate, Non-MTW HUD Funded, Managing Developments for other non-MTW Public Housing Authorities, or Other.

If Other, please describe: Description of "other" Housing Program

B. MTW Report: Leasing Information

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

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

* Calculated by dividing the planned/actual number of unit months occupied/leased by 12.

** In instances when a Local, Non-Traditional program provides a certain subsidy level but does not specify a number of units/Households Served, the PHA should estimate the number of Households served.

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

N/A

*** In instances when a local, non-traditional program provides a certain subsidy level but does not specify a number of units/Households Served, the PHA should estimate the number of households served.

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

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

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

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

Fiscal Year:	2011	2012	2013	2014	2015	2016	2017	2018
Total Number of Local, Non-Traditional MTW Households Assisted	0	0	0	0	0	0	X	X
Number of Local, Non-Traditional MTW Households with Incomes Below 50% of Area Median Income	0	0	0	0	0	0	X	X
Percentage of Local, Non-Traditional MTW Households with Incomes Below 50% of Area Median Income	0	0	0	0	0	0	X	X

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

Baseline for the Mix of Family Sizes Served

Family Size:	Occupied Number of Public Housing units by Household Size when PHA Entered MTW	Utilized Number of Section 8 Vouchers by Household Size when PHA Entered MTW	Non-MTW Adjustments to the Distribution of Household Sizes *	Baseline Number of Household Sizes to be Maintained	Baseline Percentages of Family Sizes to be Maintained
1 Person	852	693	0	1545	32.01%
2 Person	435	726	0	1161	24.05%
3 Person	327	637	0	964	19.97%
4 Person	180	445	0	625	12.95%
5 Person	89	204	0	293	6.07%
6+ Person	87	152	0	239	4.95%
Totals	1970	2857	0	4827	100.00%

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

Mix of Family Sizes Served

	1 Person	2 Person	3 Person	4 Person	5 Person	6+ Person	Totals
Baseline Percentages of Household Sizes to be Maintained **	32%	24%	20%	13%	6%	5%	100%
Number of Households Served by Family Size this Fiscal Year ***	2337	1354	1065	645	302	193	5896
Percentages of Households Served by Household Size this Fiscal Year ****	40%	23%	18%	11%	5%	3%	100%
Percentage Change	8%	-1%	-2%	-2%	-1%	-2%	0%

Justification and Explanation for Family Size Variations of Over 5% from the Baseline Percentages	1 Person households have increased due to lease up activities in elderly/disabled and elderly bldgs.

* "Non-MTW adjustments to the distribution of family sizes" are defined as factors that are outside the control of the PHA. Acceptable "non-MTW adjustments" include, but are not limited to, demographic changes in the community's population. If the PHA includes non-MTW adjustments, HUD expects the explanations of the factors to be thorough and to include information substantiating the numbers used.

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

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

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

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

Housing Program	Description of Leasing Issues and Solutions
LIPH	We are not re-occupying units at Farnam (CT004000014) as units are vacated in prep for redevelopment. These vacant units currently count toward our vacancy rate until removed from inventory.

Number of Households Transitioned To Self-Sufficiency by Fiscal Year End		
Activity Name/#	**Number of Households Transitioned ***	**Agency Definition of Self Sufficiency**
CARES	0	Number of households to receive zero subsidy at the end of year six
Prison Reentry	12	Live independently and be lease compliant
Resident Services Elderly/Disabled	0	Graduation from the program

Households Duplicated Across Activities/Definitions	0
ANNUAL TOTAL NUMBER OF HOUSEHOLDS TRANSITIONED TO SELF SUFFICIENCY	12

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

C. MTW Report: Wait List Information

Wait List Information at Fiscal Year End				
Housing Program(s) *	Wait List Type **	Number of Households on Wait List	Wait List Open, Partially Open or Closed ***	Was the Wait List Opened During the Fiscal Year
MTW Public Housing	Site Based	6,844	Partially Open	Yes
Housing Choice Voucher	Tenant Based Vouchers	2,480	Closed	No

More can be added if needed.

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

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

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

Elderly only; Elderly/Disabled; Site-based 4 and 5 bedroom; Accessible Unit waitlists remain open; Scattered Site waitlist to open during FY2017

If Local, Non-Traditional Program, please describe:

Name and Description of "Local, Non-Traditional" Housing Program

If Other Wait List Type, please describe:

Name and Description of "other" wait list type

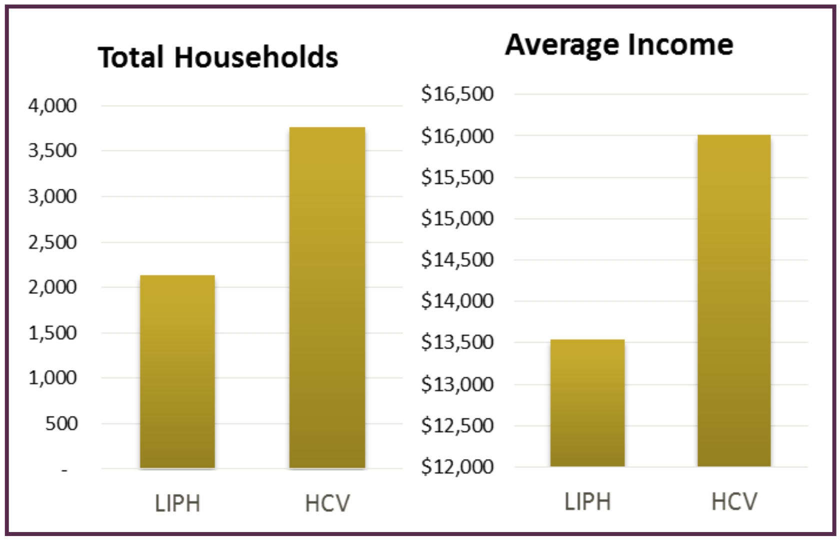
If there are any changes to the organizational structure of the wait list or policy changes regarding the wait list, provide a narrative detailing these changes.

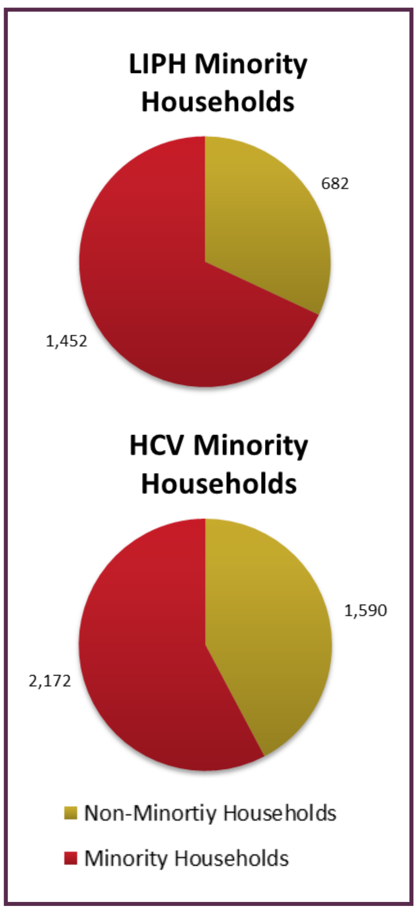
Narrative of Changes

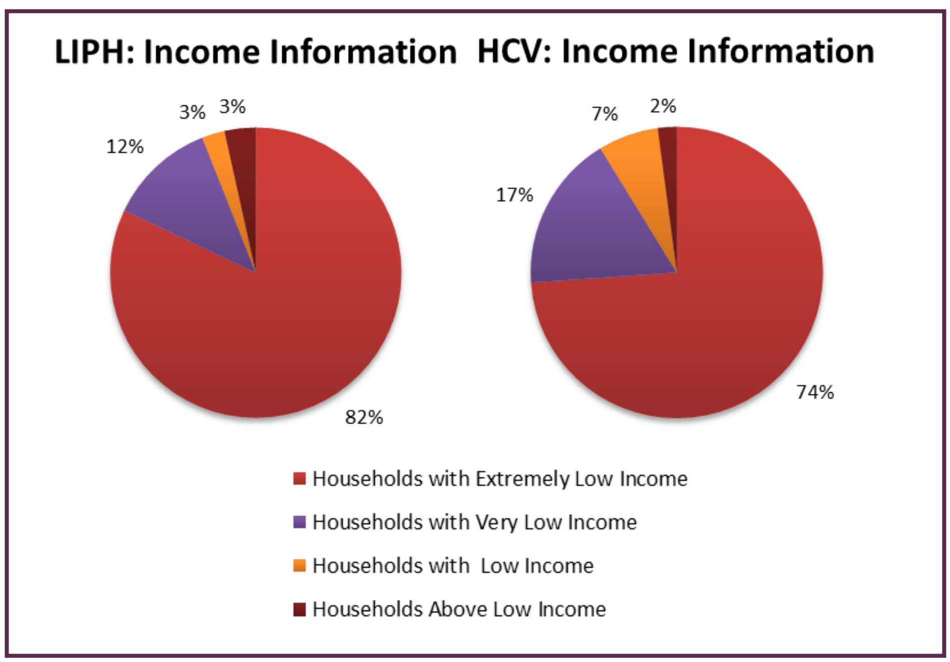
Who We Serve

In FY 2016, ECC/HANH served 5,896 families (13,585 individuals) through its low-income public housing (LIPH) and housing choice voucher (HCV) programs. During the 2001 baseline year, ECC/HANH served a total of 4,827 families. Current numbers reflect an increase of 1,069 families or 22%, indicating that MTW status has allowed ECC/HANH to increase the number of families being served. The vast majority of these families fall in the extremely low-income category with 77% of LIPH and HCV families (4,531 total households) in this income category. Most households are small, with 40% of all households containing only one member and 81% containing between one and three members. LIPH units hold a greater ratio of one-member households, at 49%, compared to 34% in HCV units.

While ECC/HANH's HCV units house a majority of the organization's residents (64%), the LIPH units house a greater ratio of vulnerable populations. In the over 2,000 LIPH units, 68% are minority households, 82% of are "Extremely Low-Income," 41% receive public assistance, and 56% receive Social Security. In LIPH units, average incomes are 15% lower than the HCV average of $16,017.







ECC/HANH Population Demographics - 2016					
	LIPH		HCV		Total
Total Households	2,134	36%	3,762	64%	5,896
Total Individuals	4,322	32%	9,263	68%	13,585
Average Income	$13,546		$16,017		
Average TTP	$310		$371		
Households with Extremely Low-Income	1,751	82%	2,780	74%	77%
Households with Very Low-Income	255	12%	652	17%	15%
Households with Low-Income	54	3%	251	7%	5%
Households Above Low-Income	74	3%	79	2%	3%
Households with No Income	74	3%	193	5%	5%
Households with Employment Income	685	32%	1,485	39%	37%
Households with Public Assistance	879	41%	321	9%	20%
Households with Social Security	1,203	56%	1,546	41%	47%
Households with Other Income	426	20%	397	11%	14%
Minority Households	1,452	68%	2,172	58%	61%
Non-Minority Households	682	32%	1,590	42%	39%
1 Member	1,048	49%	1,289	34%	40%
2 Member	478	22%	876	23%	23%
3 Member	309	14%	756	20%	18%
4 Member	173	8%	472	13%	11%
5 Member	75	4%	227	6%	5%
6 Member	35	2%	95	3%	2%
7 Member	14	1%	30	1%	1%
8+ Member	2	0%	17	0%	0%

Low-Income Public Housing

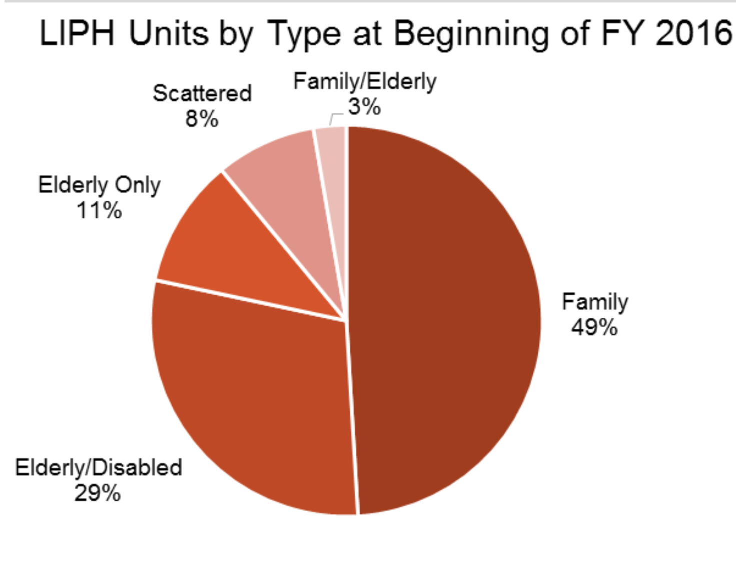
ECC/HANH planned to complete FY 2016 with an MTW public housing stock of 1,523 public housing units. This would have included 756 site-based family units, 469 elderly/disabled units, 100 elderly-only units, 171 scattered units, and 62 family/elderly units. This would have reflected a reduction of 1,442 units since the beginning of ECC/HANH's MTW status, when ECC/HANH's housing stock included 2,965 total units. By the end of FY 2016, ECC/HANH eliminated 55 of 841 planned units. This action resulted in a public housing stock of 2,310 public housing units, including 1,124 site-based family units, 671 elderly/disabled units, 244 elderly-only units, 190 scattered units, and 62 family/elderly units. This reflects a reduction of 655 units since the beginning of ECC/HANH's MTW status. However, as noted previously, 22% more families are being assisted through HANH/ECC's affordable housing programs than were before the MTW program. It is important to note that, while ECC/HANH is decreasing their LIPH stock, they are increasing their RAD stock and thus are not losing housing opportunities.

During FY 2016, the following portfolio changes took place:

Development Name	Development Type	Units beginning FY 2016	Planned Units to Add	Planned Units to Remove	Planned Units at end of FY 2016	Actual Units at end of FY 2016
Val Macri	Elderly/Disabled	17			17	**17**
Fairmont Heights	Elderly /Disabled	98			98	**98**
Crawford Manor	Elderly /Disabled	109		109	0	**109**
McQueeney Towers	Elderly /Disabled	150			150	**150**
Winslow-Celentano	Elderly /Disabled	65			65	**65**
RT Wolfe	Elderly /Disabled	93		93	0	**93**
Ruoppolo Manor	Elderly /Disabled	105			105	**105**
Valley Townhouses	Family	40			40	**40**
Farnam Courts	Family	240		240	0	**185**
Westville Manor	Family	151			151	**151**
McConaughy Terrace	Family	201		201	0	**201**
Waverly Townhouses	Family	52			52	**52**
Quinnipiac Terrace I	Family	58			58	**58**
Quinnipiac Terrace 2	Family	56			56	**56**
Quinnipiac Terrace 3	Family	17			17	**17**
Essex Townhouses	Family	35		35	0	**35**
Monterey 1	Family	42			42	**42**
Monterey 2	Family	7			7	**7**
Monterey 3	Family	45			45	**45**
Monterey 4	Family	42			42	**42**
Monterey 5	Family	17			17	**17**
Monterey Phase 2R	Family/Elderly	28			28	**28**
New Rowe	Family	46			46	**46**
Brookside Phase 1	Family	50			50	**50**
Brookside Phase II	Family	50			50	**50**
Edith Johnson Towers	Elderly	96			96	**96**
William Griffin	Elderly	4			4	**4**
Rockview Phase 1 Rental	Family	30			30	**30**
Scattered Site - Multi Family	Scattered Sites	115		19	96	**115**
Scattered Site - West	Scattered Sites	23			23	**23**

Scattered Site - East	Scattered Sites	52			52	**52**
Katherine Harvey	Elderly	17		17	0	**17**
Newhall Gardens	Elderly	26		26	0	**26**
Prescott Bush	Elderly	56		56	0	**56**
CB Motley	Elderly	45		45	0	**45**
Eastview	Family	53			53	**53**
Wilmot	Elderly/Family	34			34	**34**
Total		**2,365**	**0**	**841**	**1,524**	**2,310**

Offline Units	**Actual Units at end of FY 2016**
Police Officer	11
Self-Sufficiency	6
Resident Services Activities	18
Administrative Uses	3
Total	**38**
Vacant Units	**112**



Housing Choice Voucher Program

At the start of FY 2016, ECC/HANH has budget authority for 3,876 MTW Housing Choice Vouchers. ECC/HANH sought to lease 3,346 Housing Choice Vouchers. ECC/HANH sought to administer 80 Single Room Occupancy (SRO) vouchers and 85 Veterans Administration Supportive Housing (VASH) vouchers for a total utilization of 4,141 vouchers.

Housing Program & Type	Description	Units beginning FY 2016	Planned Units to be Removed	Planned Units to be Added	Planned Units at end of FY 2016	Actual Units at End of 2016
Total MTW vouchers		**4394**	**0**	**0**	**4394**	**4394**
Tenant Protection Vouchers Church Street South	**Vouchers received to assist dislocated Church St. South residents**	**0**	**0**	**266**	**266**	**266**
RAD conversion vouchers	**vouchers for RAD conversions**	**96**	**0**	**228**	**324**	**55**
Mod Rehab-Single Room Occupancy	**80 SRO units**	**80**	**0**	**0**	**80**	**80**
HUD VASH	**85 Veterans Supportive Housing**	**85**	**0**	**0**	**85**	**85**
Total Voucher Capacity		**4655**	**0**	**494**	**5149**	**4880**

Efforts to End Homelessness						
PBV Fellowship I	100% Supportive Housing	18	0	0	18	18
PBV Fellowship II	100% Supportive Housing	5	0	0	5	5
PBV Also Cornerstone (Continuum of Care)	100% Supportive Housing	4	0	0	4	4
PBV Norton Court (Continuum of Care)	100% Supportive Housing	12	0	0	12	12
Cedar Hill	Supportive Housing	4	0	0	4	4
West Village	52 Howe St. – Single Room Occupancy Units	15	0	0	15	15
Housing Redevelopment						
PBV QT Phase 1	81 units – 28% of units PBV	23	0	0	23	23
PBV QT Phase 2	79 units – 29% of units PBV	23	0	0	23	23
PBV QT Phase 3	33 rental units 48% are PBV	16	0	0	16	16
Eastview Phase I	102 units – 48% of units are PBV	49	0	53	102	49
Brookside Phase I Rental	100 affordable rental mixed - 50% of units are PBV	50	0	0	50	50
Brookside Phase 2 Rental	51 PBV for affordable housing for families in 1 to 4 bedroom units	51	0	0	51	51
Rockview Phase I Rental	47 units for affordable housing, 61% of units are PBV	47	0	0	47	47
New Rowe Building	104 affordable mixed use, mixed finance development 31% of units are PBV	32	0	0	32	32

122 Wilmot Road	13 PBV for affordable housing for elderly in 1 and 2 bedroom accessible units	13	0	0	13	13
Park Ridge	100% Elderly/disabled housing	60	0	0	60	60
Frank Nasti Existing	Scattered Site PBV-Families	11	0	0	11	11
CUHO Existing	Scattered site PBV units for families	24	0	0	24	24
CUHO New Construction	Affordable 8 unit rental housing development- Families	8	0	0	8	8
Shartenburg	20 PBV units for the City initiative 360 State-Families	20	0	0	20	20
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	20
Casa Otonal		12	0	0	12	12
RAD Conversion						
RAD 122 Wilmot Road	34 PBV	0	0	34	34	0
RAD Ribicoff – 9%	44 units of RAD converted ACC units – 80% PBV; 11 market rate units	44	0	0	26	44
RAD Ribicoff- 4%	51 Units of RAD converted	51			51	51
RAD McQueeney	149 converted ACC units	0	0	142	142	0
RAD Fairmont Heights	97 converted ACC units	0	0	93	93	0
RAD Matthew Ruoppolo Manor	104 converted ACC units	0	0	99	99	0
RAD Winslow Celentano	64 converted ACC units	0	0	61	61	0
RAD Robert T. Wolfe	93 converted ACC units	0	0	88	88	0
RAD Prescott Bush	56 converted ACC units	0	0	53	53	0
RAD Waverly Townhouses	51 converted ACC units	0	0	49	49	0
RAD Valley Townhouses	40 converted ACC units	0	0	38	38	0
RAD CB Motley	45 converted ACC units	0	0	43	43	0
RAD Newhall Gardens	26 converted ACC units	0	0	25	25	0
RAD Katherine Harvey Terrace	17 converted ACC units	0	0	16	16	0
RAD Fulton Park	12 converted ACC units	0	0	12	12	0
RAD Chamberlain Court	7 converted ACC units	0	0	6	6	0
						0
RAD Chamberlain Court II	1 converted ACC units	0	0	1	1	0
RAD Farnam	240 converted ACC units	0	0	228	228	55
PBV Subtotal		**822**	**0**	**1160**	**1807**	**647**

Efforts to End Homelessness						
Tenant Based DHMAS Supportive – Housing First	Supportive Housing	10	0	0	10	10
DMHAS Mental Health Transformation Grant – FUSE		10	0	0	10	10
Family Options – Homeless		15	0	0	15	15
Permanent Enrichment		10	0	0	10	10
Foreclosure Protection		35	0	15	50	50
Family Unification Supportive Housing	DCF Family	12	0	8	20	20
Homelessness/Imminent Danger of Homelessness	(Formerly Foreclosure PBV)	0	0	15	15	15
Supportive Housing/Homelessness Prevention I	Supportive Housing/Homelessness Prevention	10	0	20	30	51
Working Young Adults/ Working Families Housing Choice Vouchers		0	0	100	100	100
Project Longevity	20 vouchers for city initiative targeting homeless former offenders	20	0	0	20	20
Expanding Housing Choice						
CARES	10 Vouchers set aside for CARES participants	10	0	0	10	10
Section Eight Home Ownership Program (SEHOP)	60 Vouchers set aside for LIPH & HCV Homeownership Program	50	0	10	60	60
West Rock Homeownership Phase 1	19 new homeownership units	19	0	14	5 19	5
William T. Rowe relocation vouchers		9	0	0	9	9
TENANT BASED VOUCHERS SUBTOTAL		**3,572**	**0**	**0**	**3,572**	**3,572**
Efforts to End Homelessness		**180**	**0**	**0**	**180**	**180**
Expanding Housing Choice		**88**	**0**	**0**	**88**	**88**
Housing Redevelopment		**459**	**0**	**0**	**459**	**459**
RAD		**95**	**0**	**228**	**283**	**150**
PBV Subtotal		**822**	**0**	**0**	**822**	**877**
PBV + RAD +TBV MTW SUBTOTAL		**4,394**	**0**	**357**	**4,582**	**4,449**
Non-MTW – VASH		**85**	**0**	**0**	**85**	**85**
Non-MTW – SRO		**80**	**0**	**0**	**80**	**80**
Church Street South		**0**	**0**	**0**	**266**	**266**
Total		**4,559**	**0**	**0**	**5665**	**4,880**

III. PROPOSED MTW ACTIVITIES

There are no proposed initiatives at this time.

IV. APPROVED MTW ACTIVITIES

Activities to Increase Housing Choice

Initiative 1.2 – Local Total Development Cost (TDC) Limits

Approved in FY 2009

Description and Status

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

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

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

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

In 2016, ECC/HANH preserved 2,310 units because of the use of alternative TDC and HCC limits. In addition, alternative limits resulted in $6,983,313 in increased agency revenue due to redevelopment fees. ECC/HANH will update its TDCs in the 2017 MTW Plan.

Impact

ECC/HANH closed on Ribicoff 9% and Ribicoff 4% during FY 2015 and closed on Farnam Phase I, Fair Haven, Farnam Phase II during FY 2016. ECC/HANH has been undergoing a concerted effort to convert LIPH units to RAD. Because of the subsequent decrease in LIPH units, ECC/HANH did not meet their original benchmark for "Units of Housing Preserved" and did not expect to meet the benchmark in the future. Therefore, a new benchmark was developed (Decrease of 5% from previous year). ECC/HANH met all the benchmarks as a result of utilizing a local TDC such as leveraged dollars, increase in REAC scores, decrease in work orders, and reduction of utility cost.

Outcomes

HUD-Required Metrics

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

Since the program's inception, the benchmark has been 2,529 units. However, ECC/HANH is reducing the number of LIPH units and converting them to RAD. The FY 2016 benchmark has been updated to reflect these changes. C

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

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 – Ribicoff 9% Redevelopment Fees	$0	$0	2016: $2,000,000	Yes
Increase in Agency Revenue – Ribicoff 4% Redevelopment Fees	$0	$0	2016: $2,077,570	Yes

Increase in Agency Revenue – Fair Haven Redevelopment Fees	$0	$0	2016: $2,905,743	Yes
Increase in agency revenue - Rowe redevelopment fees	$0	$0	2014: $893,374	Yes
Increase in agency revenue - Brookside Phase 1 redevelopment fees	$0	$0	2014: $1,081,094	Yes
Increase in agency revenue - Brookside Phase 2 redevelopment fees	$0	$0	2014: $725,704	Yes
Increase in agency revenue - Rockview Phase I redevelopment fees	$0	$0	2014: $744,389	Yes
Increase in agency revenue - 122 Wilmot Road redevelopment fees*	$0	$0	2014: $1,419,767	Yes
Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	See "REAC Scores" table below	No. Only one of seven properties inspected in 2016 obtained a REAC score of 88 or above.
Internal Metric #3: Average work order				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Work orders per property	N/A	Brookside Phase I: 1,000 (10 work/year) Brookside Phase II: 1,000 QT1: 560 QT2: 580 QT3: 170 Eastview: 1,020	See "Work Orders" table below	Yes
Internal Metric #4: TDC*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Average (Actual TDC - TDC at HUD's limits)/number of units	Zero at program's inception	This metric cannot be narrowly defined into a single figure. However, HANH's goal is not to exceed HUD's approved alternative TDC limit.	Brookside I: 50 units at $107,700 per unit Quinnipiac: 17 units at $71,800 per unit Rowe: 78 units at $16,700 per unit	Yes
Internal Metric #5: HCC				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average (Actual HCC -HCC at HUD's limits)/number of units	Zero at program's inception	This metric cannot be narrowly defined into a single figure. However, HANH's goal is not to exceed HUD's approved alternative HCC limit.	Brookside I: 50 units at $132,000 per unit Quinnipiac: 17 units at $66,000 per unit Rowe: 78 units at $33,787 per unit Brookside II: 50 units at $27,900 per unit	Yes
Internal Metric #6: Utility expenses per unit*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Reduction of utility expenses per unit, pre and post redevelopment – Electric	Valley Waverly: $10,800 per unit in 2012.	5% reduction. Electric utility expenses would reach approximately $10,300 per unit.	- 2016: WT Rowe—$105.46 per unit per month 2016: Eastview Terrace—$75.07 per unit per month - 2012: Eastview Terrace—$9,863 per unit; Quinnipiac Terrace—$5,685 per unit	Yes
Reduction of utility expenses per unit, pre and post redevelopment – Gas	Valley Waverly: $730 per unit in 2012.	5% reduction. Gas utility expenses would reach approximately $790 per unit.	- 2016: WT Rowe—$6.02 per unit - 2016: Eastview Terrace—$7 per unit per month - 2012: Eastview Terrace—$333 per units ; Quinnipiac Terrace—$415 per unit	Yes
Internal Metric #7: Crime rate				

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47.	10% reduction in number of major crimes.	William T Rowe: 1 major crime in 2016 Eastview: 1 major crime in 2016 Quinnipiac Terrace: 3 major crimes in 2012, 4 in 2014, 2 in 2016 West Rock (122 Wilmot, Brookside I and II): 7 major crimes in 2014 West Rock (122 Wilmot, Brookside I and II) 25 major crimes in 2012	Yes
Internal Metric #8: Occupancy				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Occupancy	In FY 2001, Brookside Phase I: 85% In FY 2001, Brookside Phase II: 0% In FY 2001, Quinnipiac I: 83% In FY 2001, Quinnipiac II: 0% In FY 2001, Quinnipiac III: 0% In FY 2008, Rowe: 76%	95%	Brookside Phase I: 100% (FY 2013), 97% (FY 2014) Brookside Phase II: 100% (FY 2013), 98% (FY 2014) Quinnipiac I: 96% (FY 2013) Quinnipiac II: 97% (FY 2013) Quinnipiac III: 97% (FY 2013) Quinnipiac total: 98.5% (FY 2014) Rowe: 99% (FY 2013), 100% (FY 2014) See table below for 2016 data.	Yes. The overall occupancy for all ECC/HANH properties was 95.07%.

* ECC/HANH has created a new stream of revenue from redevelopment activities. The redevelopment fees are paid by investors and compensate ECC/HANH for administrative costs.
** The TDCs will be updated in an amendment to the 2017 MTW Plan.
*** In 2012, ECC/HANH calculated utilities savings by comparing post-redevelopment average per-unit utility costs at Eastview Terrace and Quinnipiac Terrace to average per-unit utility cost at Valley Waverly, which is not a redeveloped building. ECC/HANH requested data from the public utility to update the later fiscal years but did not receive that information.

REAC Scores	Work Orders
- Brookside Phase I: 92 (2015) **- Brookside Phase II**: 95 (2015) **- Constance Motley:** 90 (2015)	- Brookside Phase I and Brookside Phase II: 1,311 (2013) - Brookside Phase I, Brookside Phase II, and Rockview Phase I: 1,562 (2014)

- **Crawford Manor**: 88 (2013), 69 (2016) - **Edith D Johnson Towers:** 95 (2015) - **Eastview Terrace:** 95 (2012) - **Harvey Terrace**: 95 (2014) **- Farnum Courts:** 56 (2016) - **McConaughy Terrace:** 70 (2009), 58 (2010), 78 (2011), 82 (2012) - **McQueeney:** 54 (2009), 85 (2010), 59 (2011), 64 (2012), 70 (2016) - **Monterey 1**: 96 (2014) - **Monterey 2**: 92 (2014) **- Monterey 4:** 92 (2014) - **Monterey 5:** 91 (2014) **- Newhall Gardens:** 96 (2016) **- Prescott Bush Mall:** 97 (2015) **- Quinnipiac Terrace Phase I**: 89 (2012), 98 (2013), 88 (2015) **- Quinnipiac Terrace Phase II**: 85 (2015) **- Quinnipiac Terrace Phase III:** 85 (2016) - **Cottages -EXT:** 91 (2009), 68 (2010), 82 (2011), 82 (2012) - **Robert T Wolfe:** 51 (2009), 80 (2010), 49 (2011), 82 (2012), 85 (2015) **- Rockview Phase I:** 96 (2015) - **Ruoppolo/Fairmont**: 56 (2009), 61 (2010), 65 (2011), 79 (2012), 86 (2013) **- Val Macri:** 94 (2015) - **Westville Manor:** 90 (2009), 35 (2010), 51 (2011), 47 (2012) **- Wilmot Crossing:** 93 (2014) - **Winslow-Celentano:** 53 (2009), 72 (2010), 74 (2011), 71 (2012), 84 (2013), 70 (2016) - **WT Rowe:** 99 (2015) **- Scattered Sites III:** 61 (2016)	- Brookside Phase II: 2 (2016) - Charles T. McQueeney: 1,312 (2016) - Constance B Motley: 573 (2016) - Eastview Terrace Phase I: 287 (FY 2013), 284 (FY 2014), 625 (2016) - Essex Townhouses: 190 (2016) - Fairmont Heights: 1,024 (2016) - Farnam Courts: 1,002 (2016) - George Crawford: 1,076 (2016) - Katherine Harvey Terrace: 132 (2016) - Matthew Ruoppolo: 607 (2016) - McConaughy Terrace: 1,612 (2016) - Newhall Gardens: 360 (2016) - Prescott Bush: 464 (2016) - Quinnipiac Terrace 1: 104 (2013) - Quinnipiac Terrace 2: 273 (2013) - Quinnipiac Terrace 3: 289 (2013) - Quinnipiac Terrace 1, 2, and 3: 1,351 (2014) - Ribicoff Cottage: 122 (2016) - Robert T. Wolfe: 465 (2016) - Rockview: 48 (2016) - Scattered Site Homes West: 90 (2016) - Scattered Site Homes East: 252 (2016) - Scattered Site Multi-Family: 648 (2016) - Valley Townhouses: 574 (2016) - Waverly Townhouses: 896 (2016) - Westville Manor: 1,206 (2016) - William T. Rowe: 649 (2016) - Wilmot Crossing: 175 (2016) - Winslow-Celentano: 765 (2016)

Occupancy Rates for LIPH Properties

Development Name	Occupancy Rate	Development Name	Occupancy Rate
Val Macri	100.00%	Monterey 4	100.00%
Fairmont Heights	94.74%	Monterey 5	100.00%
Crawford Manor	95.24%	Monterey Phase 2R	100.00%
McQueeney Towers	98.62%	New Rowe	95.65%
Winslow-Celentano	93.65%	Brookside Phase 1	100.00%
RT Wolfe	98.88%	Brookside Phase II	100.00%
Ruoppolo Manor	95.10%	Edith Johnson Towers	91.58%
Valley Townhouses	97.44%	William Griffin	100.00%
Farnam Courts	79.89%	Rockview Phase 1 Rental	100.00%
Westville Manor	96.62%	Scattered Site - Multi Family	96.52%
McConaughy Terrace	97.46%	Scattered Site - West	95.45%
Waverly Townhouses	89.80%	Scattered Site - East	88.46%

Quinnipiac Terrace I	100.00%	Katherine Harvey	93.75%
Quinnipiac Terrace 2	92.86%	Newhall Gardens	100.00%
Quinnipiac Terrace 3	100.00%	Prescott Bush	98.21%
Essex Townhouses	96.97%	CB Motley	97.78%
Monterey 1	95.24%	Eastview	100.00%
Monterey 2	85.71%	Wilmot	94.12%
Monterey 3	93.33%	**Average Occupancy**	**95.07%**

Challenges or Changes

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

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

Approved in FY 2012 and implemented in FY 2013

Description and Status

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

In order to promote housing choice, which includes developing communities that provides housing that serves a wide range of incomes and to reduce the cost of the program, ECC/HANH used the flexibility granted to it under Attachment C, Section C(3)(a) of the MTW Agreement (see Appendix 5) to establish eligibility criteria under its Administrative Plan to require that no less than 40% of the project-based vouchers (PBV) awarded in any year be awarded to families with incomes at or below 30% of the area median income (AMI), adjusted for family size. ECC/HANH will award up to 15% of the PBVs allocated for any mixed-finance project (all new construction) to families with incomes between 50 and 80% of AMI. Forty-five percent of PBVs may be allocated to families with income between 50 and 80% AMI for Brookside Phase II rental mixed-finance development.

Impact

In FY 2016, 72% of families in Brookside Phase I and 74% of families in Brookside Phase II have incomes below 30% of AMI.

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	- 2016: 2,310 units - 2015: 2,447 units - 2014: 2,447 units - 2013: 2,613 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

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

Internal Metrics

Redevelopment Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	See “REAC Scores” table below	No. In 2016, only one of seven inspected properties obtained a score of 88 or above.
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.	William T Rowe: 1 major crime in 2016 Eastview: 1 major crime in 2016 Quinnipiac Terrace: 3 major crimes in 2012, 4 in 2014, 2 in 2016 West Rock (122 Wilmot, Brookside I and II): 7 major crimes in 2014 West Rock (122 Wilmot, Brookside I and II) 25 major crimes in 2012	Yes
Internal Metric #9: Income eligibility				
Number of households at below 30% Area Median Income (AMI)	Not applicable	No less than 40% of the PBVs awarded in any year will be awarded to families with incomes at or below 30% of the area median income, adjusted for family size.	**2016**: 72% of families in Brookside Phase I have incomes below 30% AMI. 74% of families in Brookside Phase II have incomes below 30% AMI. **2014**: 66% of families in Brookside Phase I have incomes below 30% AMI. 48% of families in Brookside Phase II have incomes below 30% AMI. **2013**: 49% of families in Brookside Phase I have incomes below 25% AMI. 50% of families in Brookside Phase II have incomes below 25% AMI.	Yes
Number of households between 50% AMI and 80% Area Median Income (AMI)	Not applicable	15% of the PBVs may be allocated to families with incomes between 50 and 80% of	**2016**: 2% of families in Brookside Phase I have incomes above 50% AMI.	Yes

		AMI for Brookside Phase I rental. 45% of PBV may be allocated to families with incomes between 50 and 80% AMI for Brookside Phase II rental	0% of families in Brookside Phase II have incomes above 50% AMI. **2014**: 6% of families in Brookside Phase I have incomes above 50% AMI. 24% of families in Brookside Phase II have incomes above 50% AMI. **2013**: 1% of families in Brookside Phase I have incomes above 50% AMI. 21% of families in Brookside Phase II have incomes between 50% and 80% AMI.	

* Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace 2

REAC Scores
- Brookside Phase I: 92 (2015) **- Brookside Phase II**: 95 (2015) **- Constance Motley:** 90 (2015) **- Crawford Manor**: 88 (2013), 69 (2016) - **Edith D Johnson Towers:** 95 (2015) - **Eastview Terrace:** 95 (2012) - **Harvey Terrace**: 95 (2014) **- Farnum Courts:** 56 (2016) - **McConaughy Terrace:** 70 (2009), 58 (2010), 78 (2011), 82 (2012) - **McQueeney:** 54 (2009), 85 (2010), 59 (2011), 64 (2012), 70 (2016) - **Monterey 1**: 96 (2014) - **Monterey 2**: 92 (2014) - **Monterey 4:** 92 (2014) - **Monterey 5:** 91 (2014) **- Newhall Gardens:** 96 (2016) **- Prescott Bush Mall:** 97 (2015) **- Quinnipiac Terrace Phase I**: 89 (2012), 98 (2013), 88 (2015) **- Quinnipiac Terrace Phase II**: 85 (2015) **- Quinnipiac Terrace Phase III:** 85 (2016) - **RIbicoff Cottages -EXT:** 91 (2009), 68 (2010), 82 (2011), 82 (2012) - **Robert T Wolfe:** 51 (2009), 80 (2010), 49 (2011), 82 (2012), 85 (2015) **- Rockview Phase I:** 96 (2015) - **Ruoppolo/Fairmont**: 56 (2009), 61 (2010), 65 (2011), 79 (2012), 86 (2013) **- Val Macri:** 94 (2015) - **Westville Manor:** 90 (2009), 35 (2010), 51 (2011), 47 (2012) **- Wilmot Crossing:** 93 (2014)

- **Winslow-Celentano:** 53 (2009), 72 (2010), 74 (2011), 71 (2012), 84 (2013), 70 (2016) - **WT Rowe:** 99 (2015) **- Scattered Sites III:** 61 (2016)

Challenges or Changes

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

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

Approved in FY 2009 and implemented in FY 2010

Description and Status

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

At origination, this program included 25 tenant-based vouchers (TBV) and 25 PBVs and required that the combined total would not exceed 50 vouchers. PBVs were awarded through a competitive process in partnership with the City of New Haven's Neighborhood Stabilization Program that targets foreclosed properties. TBVs were awarded by granting a preference on the HCV waitlist similar to families who are displaced due to governmental action. Tenants apply via the waitlist. Owners apply through the PBV RFP process. The program is not designed for the landlord who is in foreclosure.

Impact

At the end of FY 2015, there were 35 vouchers set aside for victims of foreclosure. In FY 2016, there were 40 vouchers set aside for victims of foreclosure, with 34 vouchers leased and six issued as shopping vouchers.

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)	50 tenant-based vouchers available for foreclosure protection	- 2016: 40 leased - 2015: 35 leased - 2014: 26 leased - 2013: 24 leased - 2012: 24 leased - 2011: 25 leased - 2010: 25 leased	No

Challenges or Changes

Demand for the PBVs was not sufficient and therefore vouchers were reallocated to areas of greater demand. In FY 2011, 10 of the 25 PBVs were reallocated to a Tenant-Based Program for Supportive Housing for the Homeless and seven were leased up. Five PBVs were reallocated and awarded as PBVs for Supportive Housing for the Homeless, but none were leased. There were no changes made to these allocations during FY 2016.

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

Approved in FY 2008 and implemented in FY 2009

Description and Status

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

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

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

Impact

Since the initiative began, 80 HCV participants have leased up in non-impacted areas. In FY 2016, nine additional households leased-up in low-poverty areas.

Outcomes

HUD-Required Metrics

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

Annual number of incremental households leased-up in low poverty areas* as a result of the activity	0 (2008)	10	- 2016: 9 - 2015: 14 - 2014: 11 - 2013: 10 - 2012: 7 - 2011: 7 - 2010: 13	No
Annual number of incremental households with exception rents approved due to <u>bedroom size issue</u> as a result of the activity	0 (2008)	n/a	- 2016: 0 - 2015: 2 - 2014: 0 - 2013: 0 - 2012: 0 - 2011: 1 - 2010: 7 - 2009: 1	N/A. There is no benchmark for this activity.
Annual number of incremental households with exception rents approved due to an <u>accessibility issue</u> as a result of the activity	0 (2008)	10	- 2016: 0 - 2015: 0 - 2014: 0 - 2013: 0 - 2012: 0 - 2011: 0 - 2010: 1 - 2009: 2	N/A. There is no benchmark for this activity.

**Low poverty areas include the following U.S. Census Tracts: 1410, 1411, and 1428*

Challenges or Changes

No changes were made to this activity.

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

Approved in FY 2010 and implemented in FY 2011

Description and Status

Under ECC/HANH's MTW Agreement with HUD, ECC/HANH was authorized to develop its own Leased Housing Program through exceptions to the standard HCV program, for the purposes of creating a successful program with stable landlords, high-quality properties, and mixed-income neighborhoods.

In FY 2011 ECC/HANH reallocated 10 of the existing 25 project based vouchers set aside for Foreclosure Protection to a Tenant Based Program for Supportive Housing for Homeless. Preference in the tenant selection process was given to persons and families that are homeless or are at risk of becoming homeless. ECC/HANH entered into a Memoranda of Understanding with organizations that provide housing for homeless with supportive services.

In FY 2015, HANH increased the number of vouchers set-aside for this program to 110, broken down as follows:

Number of Vouchers	Program	Program Details

24	New Reach	Preventing homelessness for families
15	CCA	Preventing homelessness for families
3	COC	Ending chronic homelessness
3	Rapid Results	Ending chronic homelessness
10	Department of Mental Health and Addiction Services (DMHAS) Housing First Program	Supportive housing
10	DMHAS FUSE Program	Supportive housing
10	Permanent Enrichment Program	Supportive housing
15	Family Options	Supportive housing
20	Reunification	Preventing homelessness for families involved with child protection agency

Impact

In FY 2015, there were 37 HCV participants leased through the initiative for supportive housing for supportive services. In 2016, the average total household income for households affected by this policy was $2,854.

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	- 2016: $2,854 - 2015: $10,145 - 2014: $12,599	No
SS #5: Households Assisted by Services that Increase Self-Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of homeless households enrolled in program receiving supportive services	0 (2010)	100% receiving supportive services	- 2016: 0 - 2015: 14 - 2014: 7 - 2013: 5 - 2012: 10 - 2011: 7	No, but benchmark has been met all other years.

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	- 2016: 42 - 2015: 14 - 2014: 7 - 2013: 5 - 2012: 10 - 2011: 7	Yes. Benchmark will be reevaluated in 2017.

Challenges or Changes

The weak job market in New Haven has made it difficult for households to increase their incomes. ECC/HANH has also experience challenges with outreach in regards to their self-sufficiency programs. ECC/HANH is determined to target this problem in FY 2017.

Initiative 1.8 – Farnam Courts Transformation Plan

Approved in FY 2010 and implemented in FY 2011

Description and Status

ECC/HANH progressed in FY 2015 with Farnam Courts and closed the on-site and off-site portions of the project in FY 2016. ECC/HANH was awarded a $4 million grant from the state of Connecticut. ECC/HANH has also submitted tax credit applications with the Connecticut Housing Finance Authority for Farnam Phase II.

As one of the older, blighted developments in our portfolio, Farnam Courts is an ideal center focus towards initiating a transformation plan. The development sits on a little over one acre of land and has a highly dense population, housing 240 families and individuals. Farnam Courts is located in a severely distressed neighborhood with higher than average vacancy rates and a higher than average concentration of extremely low-income persons. With Interstate I-91 abutting the northern boundaries and limited city streets within the community, Farnam is an attraction for crime and illegal drug transactions.

As part of the transformation plan, ECC/HANH proposes not only a redevelopment of the housing units at Farnam Courts but transformation of the surrounding Mill River community into a community that supports the long-term economic sustainability of our residents, as well as the long-term economic sustainability of Mill River and the City of New Haven. Through collaboration with other community partners, including the Economic Development Corporation, City of New Haven, the Board of Education and many more, ECC/HANH anticipates to redesign the infrastructure to create more traffic flow through the community, redesign the housing units to be more spacious, remove barriers that individuals and families are facing by providing supportive services, and other critical components as they arise throughout the planning process. The supportive services may include but are not limited to improved access to jobs, high quality early learning programs, public assets, public transportation, and high quality public schools and education programs. In FY 2013, the off-site component of the Farnam Transformation Plan, Fair Haven, was awarded 9% tax credits. In FY 2015, ECC/HANH continued to make progress with planning the Transformation Plan for Farnam Courts. In FY 2016, ECC/HANH closed on Fair Haven and the Farnam Courts Phase I.

Impact

In FY 2015, there were 37 HCV participants leased through the initiative for supportive housing for supportive services. In 2016, the average total household income for households affected by this policy was $2,854.

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	- 2016: 2,310 units - 2015: 2,447 units - 2014: 2,447 units - 2013: 2,613 units	Yes

Internal Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	See "REAC Scores" table below	No. Only one of seven properties inspected in 2016 obtained a REAC score of 88 or above.
Internal Metric #6: Utility expenses per unit*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Reduction of utility expenses per unit, pre and post redevelopment – Electric	Valley Waverly: $10,800 per unit in 2012.	5% reduction. Electric utility expenses would reach approximately $10,300 per unit.	- 2016: WT Rowe—$105.46 per unit per month 2016: Eastview Terrace—$75.07 per unit per month - 2012: Eastview Terrace—$9,863 per unit; Quinnipiac Terrace—$5,685 per unit	Yes
Reduction of utility expenses per unit, pre and post redevelopment – Gas	Valley Waverly: $730 per unit in 2012.	5% reduction. Gas utility expenses would reach approximately $790 per unit.	- 2016: WT Rowe—$6.02 per unit - 2016: Eastview Terrace—$7 per unit per month - 2012: Eastview Terrace—$333 per units ; Quinnipiac Terrace—$415 per unit	Yes
Internal Metric #7: Crime rate				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47.	10% reduction in number of major crimes.	William T Rowe: 1 major crime in 2016 Eastview: 1 major crime in 2016 Quinnipiac Terrace: 3 major crimes in 2012, 4 in 2014, 2 in 2016 West Rock (122 Wilmot, Brookside I and II): 7 major crimes in 2014 West Rock (122 Wilmot, Brookside I and II) 25 major crimes in 2012	Yes

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

Challenges or Changes

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

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

Approved in FY 2013 and implemented in FY 2014

Description and Status

This authorization allows for the continued redevelopment efforts of the underperforming developments as well as increase housing choices for our residents. It allows ECC/HANH to use its vouchers to pool monies together in order to leverage funds for redevelopment efforts. During FY 2014, ECC/HANH utilized 14%t of its budget authority. Among other things, this authority will allow ECC/HANH to pay debt service on private loans taken out to support redevelopment projects.

The increased voucher authority is integral in the redevelopment of the LIPH aging stock. The ability to use up to 25% of the voucher authority allows ECC/HANH to address its aging stock more expediently with outcomes that include leveraged funding and increased housing choices. ECC/HANH closed on Ribicoff 9% and Ribicoff 4% in FY 2015, and closed on Farnam Phase I, Fair Haven, and Farnam Phase II in FY 2016.

Impact

In FY 2016, ECC/HANH preserved 2,310 units for households at or below 80% AMI that would otherwise not be available.

Outcomes

HUD-Required Metrics

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

CE #4: Increase in Resources Leveraged				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Brookside I	1.7	2.0	2016: 2.3 2015: 2.3	Yes
Brookside II	1.7	2.0	2016: 7.5 2015: 7.5	Yes

Rockview I	1.7	2.0	2016: 4.6 2015: 4.6	Yes
122 Wilmot Road	1.7	2.0	2016: 3.2 2015: 3.2	Yes
Brookside Homeownership	1.7	2.0	2016: 1.7 2015: 1.6	Yes
Ribicoff I	1.7	2.0	2016: 6.1 2015: 6.1	Yes
Ribicoff II	1.7	2.0	2016: 1.2 2015: 1.2	No
Quinnipiac Terrace I	1.7	2.0	2016: 5.5 2015: 5.5	Yes
Quinnipiac Terrace II	1.7	2.0	2016: 8.6 2015: 8.6	Yes
Quinnipiac Terrace III	1.7	2.0	2016: 4.2 2015: 4.2	Yes
Eastview I	1.7	2.0	2016: 0.6 2015: 0.6	No
Rowe	1.7	2.0	2016: 4.5 2015: 4.5	Yes

**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 – Ribicoff 9% Redevelopment Fees	$0	$0	2016: $2,000,000	Yes
Increase in Agency Revenue – Ribicoff 4% Redevelopment Fees	$0	$0	2016: $2,077,570	Yes
Increase in Agency Revenue – Fair Haven Redevelopment Fees	$0	$0	2016: $2,905,743	Yes
Increase in agency revenue - Rowe redevelopment fees	$0	$0	2014: $893,374	Yes
Increase in agency revenue - Brookside Phase 1 redevelopment fees	$0	$0	2014: $1,081,094	Yes
Increase in agency revenue - Brookside Phase 2 redevelopment fees	$0	$0	2014: $725,704	Yes
Increase in agency revenue - Rockview Phase I redevelopment fees	$0	$0	2014: $744,389	Yes
Increase in agency revenue - 122 Wilmot Road redevelopment fees*	$0	$0	2014: $1,419,767	Yes
Internal Metric #12: HCV budget authority for the Agency that is permitted to project base				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Overall HANH percentage of PBV/HCV**	11% (FY 2013)	25%	- 2016: 18% - 2014: 14%	N/A

* 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.

*** HANH calculated the percentage as follows: FY 2014, figures from MTW 2015 Annual Plan, (664 – 96 RAD)/ (4,147 – 96 RAD) = 14%. FY 2013, figures from MTW Report 2013, 387 / 3,319 = 11%.*

Challenges or Changes

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

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

Approved in FY 2013 and implemented in FY 2014.

Description and Status

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

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

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

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

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

Impact

The use of MTW block funds have produced over 1,100 quality affordable housing units. The ability to reposition the aging LIPH stock utilizing MTW Block funds allows for cost effectiveness from leveraged dollars, additional income from developer fees, and the production of quality housing. In 2016, 335 additional new housing units were made available, including 185 LIPH units at Farnam Courts, 95 PBV units at Ribicoff Cottages, and 55 PBV units at Fair Haven, Chatham, and East View. In 2016, agency revenue increased by $6,983,313 due to Ribicoff and Fair Haven's redevelopment fees.

Outcomes

HUD-Required Metrics

HC #1: Additional Units of Housing Made Available				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of new housing units made available for households at or below 80% AMI as a result of the activity (increase)	0 units	109 units	2016: - Farnam Courts: 185 LIPH units - Ribicoff Cottages: 95 PBVs - Fair Haven/Chatham/Eastview: 55 PBVs	Yes
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	- 2016 2,310 units - 2015: 2,447 units - 2014: 2,447 units - 2013: 2,613 units	Yes

CE #4: Increase in Resources Leveraged				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Brookside I	1.7	2.0	2016: 2.3 2015: 2.3	Yes
Brookside II	1.7	2.0	2016: 7.5 2015: 7.5	Yes
Rockview I	1.7	2.0	2016: 4.6 2015: 4.6	Yes
122 Wilmot Road	1.7	2.0	2016: 3.2 2015: 3.2	Yes
Brookside Homeownership	1.7	2.0	2016: 1.7 2015: 1.6	Yes
Ribicoff I	1.7	2.0	2016: 6.1 2015: 6.1	Yes
Ribicoff II	1.7	2.0	2016: 1.2 2015: 1.2	No
Quinnipiac Terrace I	1.7	2.0	2016: 5.5 2015: 5.5	Yes
Quinnipiac Terrace II	1.7	2.0	2016: 8.6	Yes

			2015: 8.6	
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

**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 – Ribicoff 9% Redevelopment Fees	$0	$0	2016: $2,000,000	Yes
Increase in Agency Revenue – Ribicoff 4% Redevelopment Fees	$0	$0	2016: $2,077,570	Yes
Increase in Agency Revenue – Fair Haven Redevelopment Fees	$0	$0	2016: $2,905,743	Yes
Increase in agency revenue - Rowe redevelopment fees	$0	$0	2014: $893,374	Yes
Increase in agency revenue - Brookside Phase 1 redevelopment fees	$0	$0	2014: $1,081,094	Yes
Increase in agency revenue - Brookside Phase 2 redevelopment fees	$0	$0	2014: $725,704	Yes
Increase in agency revenue - Rockview Phase I redevelopment fees	$0	$0	2014: $744,389	Yes
Increase in agency revenue - 122 Wilmot Road redevelopment fees*	$0	$0	2014: $1,419,767	Yes

* ECC/HANH has created a new stream of revenue from redevelopment activities. The redevelopment fees are paid by investors and compensates ECC/HANH for administrative costs.

Challenges or Changes

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

Initiative 1.15 – RAD Finance Development for Rockview Phase II Rental

Approved in FY 2014.

Description

ECC/HANH has undertaken an aggressive modernization program that includes the submission of an application for RAD funding for several sites, including Westville Manor. This initiative is part of the Westville RAD submission for the creation of replacement public housing units. ECC/HANH intends to demolish a total of 26 units at Westville Manor and will create replacement units at Rockview Phase II Rental. Rockview Phase II Rental is relying on the MTW authorizations for alternative TDCs and commingling of funds.

ECC/HANH anticipates applied for a 9% Tax Credit Application in November 2016. As such, the anticipated closing will be the fall of 2017. Architectural drawings are being completed for Rockview Phase II Rental. Because this property is not inhabited, there are no outcomes.

Impacts

Because this property is not inhabited, there are no impacts.

Outcomes

HUD-Required Metrics

HC #1: Additional Units of Housing Made Available				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of new housing units made available for households at or below 80% AMI as a result of this activity (increase)	0 units	109 units	N/A	N/A
HC #2: Units of Housing Preserved				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of new housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 (frozen 2001 base)	2,529	N/A	No
HC #3: Decrease in Wait List Time				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average applicant time on wait list in months (decrease)	N/A	N/A	N/A	N/A

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

Initiative 1.17 – Westville Manor Transformation Plan

Approved in FY 2016

Description and Status

It is the intent of ECC/HANH to redevelop the Westville Manor development in the West Rock neighborhood pursuant to RAD. With ECC/HANH investing in the redevelopment of Brookside Phase I and II, Rockview, 122 Wilmot Road, it only seems logical of the ECC/HANH to reinvest in the remaining public housing property to wholly transform the West Rock Neighborhood. This transformation plan includes replacement units on the Westville Manor site as well as the Rockview Phase II parcel.

ECC/HANH began the work and planning for a tax credit application for the Rockview II site to be submitted in November of 2016. No work began during FY 2016.

Impact

In FY 2016, 151 units were preserved for households at or below 80% AMI that would otherwise not be available.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available (increase).	151 units	143 units	2016: 151 units	Yes

Challenges or Changes

None.

Development of Housing Choice Voucher Units with MTW Block Grant Funds

Approved in FY 2010.

Description and Status

ECC/HANH has been very active in redeveloping and repositioning its aging housing stock by leveraging private investment through the mixed-finance/RAD process and replacing demolished units (or, in some instances, rehabilitating units) with a variety of affordable housing types, including public housing units, project-based voucher units and other "Affordable Units" (defined as units below 80% of Area Median Incomes). ECC/HANH has also been at the forefront of using its MTW authority creatively to complement and enhance these efforts. During FY 2010, ECC/HANH obtained a broader use of funds approval authorizing the use of funds under section (8)(o) for any purposes permissible under Section 9(e)(1).

For FY 2016, ECC/HANH has accounted for the full number of units in its replacement housing portfolio by ensuring that all public housing units, housing choice voucher units and other Affordable Units constructed in mixed finance and RAD developments with MTW block grant funds are reflected in the housing choice voucher units count, since the majority of the construction funds utilized to construct those units are derived from housing choice voucher funds. ECC/HANH pursued this initiative at the sites reflected below.

Essentially, ECC/HANH has used and will continue to use MTW block grant funds to assist with the development of buildings and developments that include public housing units, housing choice voucher units and other Affordable Units through a mixed-finance and RAD process. The funds which ECC/HANH uses for this development activity are drawn primarily from Section 8 Housing Choice Voucher component of the MTW block grant. Thus, it is important to accurately reflect ECC/HANH's utilization of those funds. The units will be operated either as public housing units, housing choice voucher units or other Affordable Units in accordance with their respective financing requirements. However, for the purpose of appropriately reflecting the MTW block grant funds utilized to support these efforts, ECC/HANH will revise required forms to provide for this mix of applicable rules and seek any necessary HUD approvals. This money that was used to fund these ACC units came from the excess Section 8 reserve generated from our existing MTW voucher pool, therefore, these units should not be added to the denominator for the purposes of calculating the lease-up rate. Additionally, all future RAD developments as detailed herein will utilize the broader use of funds.

To date, the applicable transactions include the following:

Development Name	# PH Units	# PBV	Total # of Assisted Units	# of Market Rate Units
Eastview Terrace	53	49	102	0
Quinnipiac Terrace I	58	23	81	0
Quinnipiac Terrace 2	56	23	79	0
Quinnipiac Terrace 3	17	16	33	0
Brookside Phase I	50	50	100	0
Brookside Phase II	50	51	101	0
Rockview Phase I	30	47	77	0
William T. Rowe	46	32	78	26
Wilmont Crossing	34	13	47	0
Monterey Place 1	42	0	42	0
Monterey Place 2	7	0	7	0
Monterey Place 3	45	0	45	0
Monterey 4	42	0	42	0
Monterey 5	17	0	17	0

Monterey Phase 2R	28	0	28	0
William Griffin	4	0	4	0
Edith Johnson Towers	95	0	95	0
Ribicoff Cottages	0	95	95	11
Fair Haven/Chatham Sg/Eastview	0	55	55	0
Farnam Courts	185	0	185	0
TOTAL	**859**	**454**	**1313**	**37**

Impact

In FY 2016, ECC/HANH held 1,313 assisted units, up from 1,168 assisted units in FY 2015.

Outcomes

HUD-Required Metrics

HC #1: Additional Units of Housing Made Available				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of assisted units	N/A	N/A	2016: 1,313 units 2015: 1,168 units	N/A

Challenges or Changes

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

Activities to Encourage Self-Sufficiency

Initiative 2.1 – Family Self-Sufficiency (FSS) Program

Approved and implemented in FY 2007

Description and Status

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

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

ECC/HANH continues to provide classes and trainings to residents who are experiencing barriers to employment. Classes include, but are not limited to: Pre-GED, GED; Literacy; Financial Literacy; basic, intermediate and advanced computer training. Prior to applying for jobs, ECC provides Job Skills/Life Skills classes. We know that providing these classes, as well as other trainings, increase their employment options.

Impact

During FY 2016 a total of 71 residents (47 households) participated in FSS. Of those participants, 69 were enrolled in educational programs, 15 were enrolled in job training, and 34 obtained employment. All six Adult Basic Education participants achieved a 7th grade reading level. While the number of participants taking computer and vocational classes decreased from FY 2015 to FY 2016, the number of participants who moved on to the intermediate class increased from six to nine participants.

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	- 2016: $23,544 - 2015: $21,543 - 2014: $3,823	Yes
SS #3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
FSS Program Participants: (1) Employed Full- Time***	<u>2014</u> - Employed FT: 22	Steady increase in full-time	<u>2016</u> - Employed FT: 21	No

(2) Employed Part- Time (3) Enrolled in an Educational Program (4) Enrolled in Job Training Program (5) Unemployed (6) Other	- Employed PT: 93 - Enrolled in Education: 228 - Enrolled in Job Training: n/a - Unemployed: 113 - Other: n/a	employment for FSS participants	- Employed PT: 13 - Enrolled in Education: 69 - Enrolled in Job Training: 15 - Unemployed: 8 - Other (Elderly/Disabled): 6 - Self-employed: 1 <u>2015</u> - 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	- 2016: 45 - 2015: 178 - 2014: 310	No

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

** Average earnings include wages and other wagers. Note that 50% of FSS participants had zero income in FY 2014 vs. 52% in FY 2013.

*** Full-time employment if earned income (wages + self-employment) equate to 30 hours/week at CT minimum wage; unemployed assumes no wages. All FSS participants in FSS Log considered to be enrolled in educational program.

**** Number of participants who received FSS referrals.

Internal Metrics

FSS Classes Metrics

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Literacy course (Adult Basic Education) participants and average reading level	<u>2014</u> - 12 participants - Range from 1st through 3rd grade reading level	Participants will reach average of 7th grade reading level	**<u>2016</u>** - 6 participants - 6 graduates at 7th grade level **<u>2015</u>** - 6 participants - 0 graduates at 7th grade level	Yes
Computer course graduates for basic and intermediate levels	<u>2014</u> Basic: 18 Intermediate: 5	10 intermediate course graduates annually	**<u>2016</u>** Basic: 9 Intermediate: 1 **<u>2015</u>** Basic: 6 Intermediate: 1	No

GED graduates by years in GED course	2013 1 year or less: 2 1–2 years: 2 More than 2 years: 4	Steady increase in course participants receiving GED in less than 2 years	**2016** 1 year or less: 0 1–2 years: 2 More than 2 years: 0 **2015** 1 year or less: 0 1–2 years: 0 More than 2 years: 0 **2014** 1 year or less: 0 1–2 years: 2 More than 2 years: 1	No
Job skills class graduates and their earned income	2014 Graduates: 0 Average earned income: n/a	10 graduates of the job skills class annually with earned income of at least 30 hours per week at minimum wage	**2016** Graduates: 3 Average earned income: n/a **2015** Graduates: 33 Average earned income: n/a	No

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

Challenges or Changes

ECC/HANH will continue to work to improve data reporting on these metrics and to increase awareness of its self-sufficiency programs.

Initiative 2.2 – Incremental Earned Income Exclusion

Approved and implemented in FY 2008

Description and Status

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

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

Impact

While incomes did increase from FY 2015 to FY 2016, the number of individuals enrolled in the Earned Income Exclusion program decreased dramatically. During FY 2016, ECC/HANH saw a decline in its FSS program participation, and many other programs as well. Through FY 2017 and beyond, ECC/HANH will work to elevate awareness of the FSS program, Earned Income Exclusion program, and associated programs to boost participation and resident involvement.

Outcomes

HUD-Required Metrics

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average income of households affected by this policy in dollars	$15,363 (2008)	Steady increase in average household income	**2016** $28,423 **2015** $15,946	Yes
SS #3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Report the following information separately for each category: (1) Employed Full- Time* (2) Employed Part- Time (3) Enrolled in an Educational Program (4) Enrolled in Job Training Program (5) Unemployed (6) Other	**2008** - Employed FT: 27 - Employed PT: n/a - Enrolled in Education: n/a - Enrolled in Job Training: n/a - Unemployed: 10 - Self-Employed: 1	Steady increase in the percentage of participants who are employed full-time	**2016** - Employed FT: 8 - Employed PT: 3 - Enrolled in Education: 0 - Enrolled in Job Training: 0 - Unemployed: 0 - Other: 3 **2015** - Employed FT: 30 - Employed PT: n/a - Enrolled in Education: n/a - Enrolled in Job Training: n/a - Unemployed: 12 - Self-Employed: 0	Yes
SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households enrolled in Earned Income Exclusion	57 (2008)	Steady increase from previous year.	**2016** 14 **2015** 90	No

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

Challenges or Changes

ECC/HANH is working with a new program evaluator and will have data collection mechanisms in place to track this activity in FY 2017.

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

Approved in FY 2012 and implemented in FY 2013

Description and Status

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

Prior to signing a lease at the newly redeveloped Brookside Phase II Rental site, all residents will have a pre-orientation that will explain the CARES Program. At the end of the 72-month limit receiving rental assistance, the rent will be adjusted to Flat rent (public housing) or Market rent (PBV), less prorated assistance for household members who are seniors, 18 years of age or under, disabled or otherwise exempt, as described in the plan.
We recognize that there are individuals who due to no fault of their own will not be able to achieve self-sufficiency on their own. Non-exempt individuals who have an Individual Service Plan (ISP) and case manager, and show progress towards the goals of the plan will continue to be able to receive assistance as long as they continue to make progress towards their goals. Out of the 101 units developed in the Brookside Phase II Rental project, 72% of the residents have been assessed and are required to enroll in the CARES program.

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

Residents and participants are incentivized to enroll in the CARES program because of the intensive supportive services offered, the escrow payment and the increased control over the use of their funds (including subsidy dollars). Also, the intensive supportive services for a 24-month period over the 72 months, residents will receive a lump sum of the equivalent to the subsidy payments in the final year of the program deposited into an escrow account (REEF) released upon graduation from CARES. The funds in the REEF at year three may be used to cover the following costs; a hardship (as defined under the Hardship Policy and Guidelines), purchase of a vehicle to attain or maintain employment (a onetime payment not to exceed $3,000 after all other options have been exhausted), start a small business (a onetime payment not to exceed $2,500 after all other options have been exhausted), purchase a computer, or enroll in higher education, subject to the approval of ECC/HANH. The monthly subsidy payment will be pre-determined at an initial assessment conducted prior to lease up in a manner consistent with the Authority's Rent Simplification Program. While the most intensive supportive services are provided during the first two years of the program, all participants continue to be able to avail themselves of the support as needed. It is anticipated that as barriers and service needs are addressed, the need for such intensive support will wane. This policy and procedural change has resulted in modifications to the MTW Plan, ACOP and Administrative Plan.

Impact

In the Full CARES Program, residents are averaging $32,000 in earned wages per year, and all participants are employed full time. In the Transition CARES Program, residents average $ 14,450 in earned wages per year and are primarily employed part time. Each fiscal year, residents continue to increase income working toward a benchmark of $45,000.00 per year. In 2015 28 residents matriculated from Transition to Full CARES.

Currently, 143 residents are enrolled in CARES: 83 residents in Transition CARES and 60 residents are Full CARES. Residents employed part time continue to decrease in number and more residents are taking advantage of employee related training programs. Also, 5 residents are attending four year institutions and 2 are in graduate school. Lastly, in fiscal year 2015, 31 residents attended training programs related to their jobs.

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)	**2016** Brookside Phase II Transition: $14,000 Brookside Phase II Full CARES: $32,000 Rockview Phase II Transition: $14,450 Rockview Phase II Full CARES: $30,000 **2015** Transition CARES: $14,200 Full CARES: $31,500 **2014** Transition CARES: $15,300 Full CARES: $29,200	N/A. Program will not be completed until the end of year six for first group of participants. However, there has not been a consistent increase in income over these first 3 years of the program.
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	TBD	- **2016:** Average savings: $850 to $1000; $700 for Rockview Average Escrow: $8,000; $3,000 for Rockview - **2015:** $8,100 per participant** **- 2014:** $0 - **2013:**	N/A – benchmark will be revisited in FY 2017

			$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	**2016** - 35 participants total - 6 participants in classes - 8 participants in training - 6 participants in 4-year colleges or graduate school (2 in 4-year online college; 2 in 4-year traditional college; 2 in graduate school) - 2 participants in adult education **2015** - 21 participants in classes - 20 participants in training - 6 participants in 4-year colleges or graduate school **2014** - 36 participants in classes - 31 participants in training - 5 participants in 4-year colleges **2013** - 26 participants in classes - 0 participants in training - 0 participants in 4-year colleges	Yes

SS #4: Households Removed from Temporary Assistance for Needy Families (TANF)				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Percentage of households receiving TANF assistance	2013: 4 (11% of Transition CARES)	Reduction by 20% of prior year households receiving TANF	**2016** - Brookside Phase II: 7 residents (8.5% of Transition CARES) - Rockview: 10 residents (12% of Transition CARES)	No

			2015 - 8 residents (9% of Transition CARES) **2014** - n/a	

SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of participants receiving services aimed to increase self-sufficiency (participants who have completed CARES action plans)	Zero	10% annual increase	- 2016: 139 - 2015: 175 - 2014: 117 - 2013: 62	No

SS #8: Households Transitioned to Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households who receive zero subsidy at the end of year six	Zero	12 by the end of the program. Estimated length of the program is six years in total	N/A	TBD once program reaches the end of year six. Note that 2 participants did "graduate" in FY 2015.

* Weighted income figures across Brookside and Rockview participants

**Note: $1.415 million has been set aside on ECC/HANH's balance sheet as accounts payable related to RACES REEF accounts in FY 2015. ($8,100 avg. REEF is derived from $1.415M/175 participants)

Internal Metrics

Enrollment				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of Full CARES participants	Zero	25% Increase In Full CARES	- 2016: 56 - 2015: 83 - 2014: 48 - 2013: 24	No
Number of Transition CARES participants	Zero	25% Reduction in Transition CARES	- 2016: 82 - 2015: 92 - 2014: 68 - 2013: 38	No

Non compliant with program requirements				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of participants compliant with the program's requirements	Zero	60% of new participants will remain compliant	- 2016: 64 (46%) - 2015: 158 (90%) - 2014: 80 (98%) - 2013: 62 (83%)	No

Challenges or Changes

The lack of employment options in New Haven makes it difficult for participants to increase their incomes. However, ECC/HANH is still working towards the initial benchmark of $45,000 in resident income.

Initiative 2.4. Teacher in Residence

Approved and implemented in FY 2015.

Description and Status

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

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

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

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

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

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

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

Program dollars are limited in terms of the ability to pay for such on-site services. By offering the incentive of housing, we are able to access these services without an additional outlay of cash. Efforts to ensure the academic success of young people reduce the likelihood that they become the next generation of subsidized housing recipients.
HUD granted ECC/HANH MTW approval for the program in the FY 2015 plan and has identified two units. A teacher has moved into the first unit, and ECC/HANH is seeking a teacher for the second unit.

Impact

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

Number Days Absent Grouped by Development Site							
	Number Students				**Percent Students**		
Property	0 Days	1-14 Days	15+ Days	Total	0 Days	1-14 Days	15+ Days
McConaughy Terrace	10	82	44	136	7.4%	60.3%	32.4%
Waverly Townhouses	2	12	17	31	6.5%	38.7%	54.8%
Total	12	94	61	167	7%	56%	37%

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	N/A	- 2016: N/A	N/A

Internal Metrics

Teachers in Residence Metrics

Increase attendees over the course of the school quarters

Goal: 15-20 kids at each session	*In progress—results will be determined at the end of the school year. By the end of the first quarter of the program we will have 10 young people attending on a regular basis.*
Minimum of 40 students over the course of a year	*In progress—results will be determined at the end of the school year.*
Increase student achievement in literacy	
Goal: students will make a year's growth in reading (4 reading levels or more) [NOTE: Reading levels are indicated on the BAS which is given in Dec/Jan and May/June.	*In progress—results will be determined at the end of the school year.*
Increase student achievement in mathematics	
Goal: students will make incremental gains in math [NOTE: Achievement will be determined by the administration of the IXL Math program.]	*In progress—results will be determined at the end of the school year.*

Challenges or Changes

One of two teachers has moved in by the end of FY 2016 and baseline data is being gathered. Implementation of this new program will continue into FY 2017.

Activities to Increase Cost Effectiveness

Initiative 3.1 – Rent Simplification

Approved in FY 2007 and implemented in FY 2008.

Description and Status

ECC/HANH utilizes EIV for all third-party verifications. In FY 2009, ECC/HANH implemented the multi-year recertification cycles with "work-able" families recertified every two years and elderly/disabled families recertified every three years.

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

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

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

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

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

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

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

- **Rationale**: Excessive resources are dedicated to verifying deductions for childcare, medical and disability allowances. Third-party verifications of these amounts are difficult to accomplish and the agency more often than not relies upon second- and first-party verifications of these deductions. Obtaining verification data also places an undue burden on the resident.

- **Expected Impact:** Administrative savings, simplified process for residents/participants and fewer recertification appointments are expected. Also, rent tiers have been built to minimize impact on residents during the initial years and to phase in rent increases over time. Residents will not experience an overwhelming rent burden, yet will be incentivized to increase their earnings over time as their rent gradually increases. The impact on income has been tracked.

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

- **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.

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

Impact

After providing training for staff and implementing quality-control reviews, ECC/HANH was able to decrease the rent calculation error rate from 24% in FY 2015 to just 1% in FY 2016.

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 recertifications	$0	($133,000)	- 2016: $189,479 - 2015: $163,572 - 2014: $158,808 - 2013: $154,182 - 2012: $149,691 - 2011: $145,332 - 2010: $141,099 - 2009: $136,990 - 2008: $133,000	Yes. Elimination of HCV director position (salary + benefits) in 2008.

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

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

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Average earned income of households affected by this policy in dollars*	- 2007 All HCV: $8,246 - 2007 All PH: $5,791	Annual increases greater than federal CPI	-2016 All HCV: $16,017 - 2016 All PH: $13,546 -2015 All HCV: $8,494 - 2015 All PH: $6,034	Yes

* Earnings includes Federal Wages, Military Wages, Other Wages, PHA Wages and Self-Employment; 2007 data from internal report (total wages)

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	- 2016: 78 approved/78 applications - 2015: 42 approved/111 applications - 2014: 40 approved/213 applications - 2013: 54 approved/195 applications	No
Number of families on minimum rent	- 28 (HCV - 2010) - 170 (PH - 2007)	Decrease in minimum rent households	-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	- 2016: 2,497 - 2015: 1,551 - 2014: 1,539 - 2013: 1,363 - 2012: 1,967 - 2011: 1,598 - 2010: 1,196 - 2009: 1,364 - 2008: 1,140	No

Challenges or Changes

Hardship requests have exceeded expected levels and incomes have been rising slowly. Some of this is attributed to the weak job market in New Haven, but ECC/HANH continues to monitor these factors.

Initiative 3.5 – HCV Rent Simplification/Cost Stabilization Measures

Approved in FY 2014.

Description

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

This activity has three components:

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

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

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

- **Rationale**: Currently, approximately 860 inspections are required due to a fail for items that are not health and safety related. The cost of these inspections is approximately $61,000.00.

- **Expected impact**: The number of re-inspections related to minor fails that are not health and safety related is expected to be reduced.

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

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

Impact

While ECC/HANH did not see the expected cost savings associated with the inspection components of this initiative, the Agency did realize a reduction in costs, including a savings in staff time, associated with biennial/triennial rent increases.

Outcomes

HUD-Required Metrics

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

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

* 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

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	- 2016: $32,453 - 2015: $300,000 - 2014: $573,000	Yes
CE #2: Staff Time Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Annual staff time (hours) spent processing landlord rent increases	401 hours (2014)**	0 hours	- 2016: 232 hours - 2015: 210 hours	Yes

* ECC/HANH processed 401 annual landlord rent increases in FY 2014 with average annual HAP increase of $1,429 ($119 per month). ECC/HANH processed 210 HCV landlord rent increases in FY 2015.

** ECC/HANH processed 401 annual landlord rent increases in FY 2014. 2014 time study found that landlord rent increases take an average of one hour to process.

Internal Metrics

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

Challenges and Changes

HCV special inspections significantly increased over this fiscal year. ECC/HANH is reviewing this increase, as well as the increase in inspection scheduling hours, and expects to develop plans and processes in FY 2017 to explore these two issues.

Activities on Hold

Initiative 1.16 – Crawford Manor Transformation Plan

Approved in FY 2016.

Description and Status

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

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

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

Impact

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

Outcomes

HUD-Required Metrics

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

Challenges or Changes

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

Fulton Park Modernization

Approved in FY 2011.

Description

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

Status

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

Closed Out Activities

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

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

Approved in FY 2009, the development was completed and occupied in September 2013.

Outcomes

HUD-Required Metrics

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

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

* Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace 2

Internal Metrics

Redevelopment Metrics

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

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

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

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

Initiative 1.3 – Fungibility

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

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

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

Initiative 1.14 – Redevelopment of 99 Edgewood Avenue (Dwight Gardens) ECC/HANH will use MTW Block Grant Banks to develop housing through a mixed finance process

Approved in FY 2013, but never implemented.

Initiative 3.2. – UPCS Inspections

Approved and implemented in FY 2008, but MTW authorization no longer required.

Outcomes

HUD-Required Metrics

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

Internal Metrics

UPCS Inspection Metrics

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

Initiative 3.3 – Revised HQS Inspection Protocol

Approved and implemented in FY 2011, but replaced with Initiative 3.5.

Outcomes

HUD-Required Metrics

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

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

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

Approved and implemented in FY 2010, but no longer requires MTW authorization.

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

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

V. SOURCES AND USES OF FUNDS

Annual MTW Report
V.3.Report.Sources and Uses of MTW Funds
A. MTW Report: Sources and Uses of MTW Funds

Actual Sources and Uses of MTW Funding for the Fiscal Year

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

Describe the Activities that Used Only MTW Single Fund Flexibility

PHAs shall provide a thorough narrative of each activity that used only the Single Fund Flexibility in the body of the Report. In the narrative, PHAs are encouraged to provide metrics to track the outcomes of these programs or activities. Activities that use other MTW waivers in addition to Single Fund Flexibility do not need to be described in this section because descriptions of these activities are found in either Section (III) Proposed MTW Activities or Section (IV) Approved MTW Activities.

V.4.Report.Local Asset Management Plan
B. MTW Report: Local Asset Management Plan

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

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

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

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

V.5.Report.Unspent MTW Funds

V.5.Report.Unspent MTW Funds

C. MTW Report: Commitment of Unspent Funds

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

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

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

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

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

Community and Economic Development

	FY 2016 Actual Total	Capital Grants	MTW	ROSS	Developer Fees	Other	Tax Credit Equity	DECD	Bank Loan	Other
Supportive Housing Salaries/Administrative	$1,753,396		$1,614,745	$138,651						
SEHOP	$28,327		$28,327							
CARES	$12,389		$12,389							
Family and Youth Coordinator	$105,941		$105,941							
Eastview Terrace Youth Services	$156,613		$156,613							
McQueeney Supportive Services	$208,363		$208,363							
Crawford Manor Supportive Services	$240,439		$240,439							
Ruopplo Manor	$98,338		$98,338							
Robert T. Wolfe	$149,995		$149,995							
William T. Rowe	$53,000		$53,000							
Winslow Celentano	$1,787		$1,787							
Westville Manor	$178,850		$178,850							
Quinnipiac Terrace	$141,894					$141,894				
Various AMPs	$126,676		$113,971			$12,705				
Total CED	**$3,256,007**	**$0**	**$2,962,756**	**$138,651**	**$0**	**$154,599**	**$0**	**$0**	**$0**	**$0**

Development Costs **Glendower Group**										
	FY 2017 Project Total	**Capital Grants**	**MTW**	**ROSS**	**Developer Fees**	**Other**	**Tax Credit Equity**	**DECD**	**Bank Loan**	**Est Total Project Cost**
Development										
Monterey RAD	$ 100,000		$ 100,000							$ 100,000
Eastview Terrace I RAD	$ 100,000		$ 100,000							$ 100,000
Wilmont Road RAD	$ 100,000		$ 100,000							$ 100,000
Fulton Park RAD	$ 100,000								$1,411,240	$1,411,240
Farnam Courts Phase I RAD	$31,611,552		$ 13,510,339			$1,092,000	$15,343,002	$4,000,000	$8,138,000	$42,083,341
Fair Haven (Farnum off-site) RAD	$1,000,000		$ 100,000			$ 916,300	$10,974,034	$ 1,664,912	$5,890,190	$9,545,436
Valley Townhouses RAD	$ 100,000		$1,367,000						$2,222,659	$3,589,659
Waverly Townhouses RAD	$ 100,000								$4,941,504	$4,941,504
Constance Baker Motley RAD	$ 100,000								$1,667,640	$ 166,640
Chamberlain Courts RAD	$ 100,000		$ 107,460							$ 107,460
Fulton Park RAD	$ 100,000								$1,411,240	$1,411,240
Katherine Harvey Terrace RAD	$ 100,000		$1,027,420							$1,027,420
Newhall Gardens RAD	$ 100,000		$ 1,509,910							$ 105,910
Prescott Bush RAD	$ 100,000								$1,038,560	$1,038,560
Robert T. Wolfe RAD	$ 100,000		$2,182,993						$ 2,325,000	$4,507,993
Winslow-Celetano RAD	$ 100,000		$ 3,123,163						$800,000	$3,923,163
Matthew Ruppolo Manor RAD	$ 100,000		$ 3,466,151				$ 1,727,000		$4,100,000	$ 9,293,151
Fairmont Heights RAD	$ 100,000								$2,866,896	$ 2,866,895
McQueeney Towers RAD	$ 100,000		$ 142,200				$ 5,591,000		$8,057,320	$13,790,520
Westville Manor RAD	$ 100,000		$200,000							TBD
Rockview Phase III	$ 100,000									TBD
Rockview Community Center	$ 100,000		$ 100,000							$ 100,000
Brookside I Rental CFFP Bond	$ 906,138	$906,138								$ 906,138
GAP Financing	$1,500,000		$1,500,000							$1,500,000
Commercial Space										
Total Development Projects	**$ 37,017,690**	**$ 906,138**	**$ 28,636,636**	**$ -**	**$ -**	**$2,008,300**	**$33,635,036**	**$5,664,912**	**$44,870,249**	**$112,616,270**

Description of Activities that Used Only MTW Single Fund Flexibility

The following initiatives require MTW funding flexibility only:

Description	MTW Objective	Status
Initiative 1.9 – Increase the Allowed Percentage of Project-Based Voucher Units from 75 Percent to 100 Percent in a Mixed Financed & RAD Development	Increase Housing Choice	Ongoing
Project Modernization – Various Projects	Increase Housing Choice	Ongoing
Vacancy Reduction – Various Projects	Increase Housing Choice	Ongoing
Major Redevelopment Efforts at West Rock • Brookside Phase I • Brookside Phase II • Brookside Homeownership • Rockview Phase I • Ribicoff 4% • Ribicoff 9% • **Wilmot** • Rockview Phase II • Westville Manor	Increase Housing Choice	 • Closed • Closed • Closed • Closed • Ongoing • Ongoing • Ongoing • Not Implemented • Not Implemented
Resident Owned Business Development Support Initiative	Increase Family Self-Sufficiency	Ongoing
SEHOP Capital Improvement Program	Increase Family Self-Sufficiency	Ongoing
Community Re-entry Program	Increase Family Self-Sufficiency	Ongoing
Resident Services – Elderly/Disabled Development	Increase Family Self-Sufficiency	Ongoing
Cap on Project-Based Units in a Project	Cost-Effectiveness	Closed

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

Approved in FY 2012 and implemented in FY 2013.

Description and Status

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

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

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

Attachment C. Section D. (e) (see Appendix 5) authorizes ECC/HANH to determine the percentage of housing voucher assistance that it is permitted to project base. Section D (e) waives certain provisions of Section 8(o) (13) of the Act that prohibits the Agency from awarding not more than 25 percent of the dwelling units in any building with project-based assistance. In those cases in which project-based units are needed to ensure viability of mixed finance projects, ECC/HANH, under its 2010 Plan, received authorization to project base up to 75 percent of the units in the development, provided the project leverages non-public housing authority investments and increases housing choices for low-income families. ECC/HANH continues to use its authorization to project base up to 100 percent of the units in a public housing development that is disposed of in connection with the submission of a Section 18 disposition application to HUD.

ECC/HANH will limit the amount of project-based units in non-mixed finance projects to no more than 50 percent of the units in the project, provided that the agency may project base up to 75 percent of the units in such project if (1) the project will provide replacement units for public housing units lost as a result of demolition or disposition, (2) the project is undertaken in an area where significant investments are being made, (3) the project will help to reduce the concentration of very low-income families, or (4) the project is located in areas that provide increased access to transportation or employment opportunities. Under the prior MTW Demonstration Agreement, ECC/HANH was specifically authorized to provide assistance up to 50 percent of the units in a project. This authorization has been essential with helping to promote increased housing opportunities, as well as to leverage private funds.
ECC/HANH closed on in FY 2015 Ribicoff 9% and Ribicoff 4%, and closed on Farnam Phase I, Fair Haven, Farnam Phase II in FY 2016.

Impact

ECC/HANH provides for the ability to leverage additional dollars to build quality affordable housing, deconcentrate poverty, and promote integration within the community. ECC/HANH has a development pipeline that will utilize this initiative. ECC/HANH exceeded the benchmark for leveraged dollars (a 2 to 1 ratio) and decrease in crime (10 percent).

Outcomes

HUD-Required Metrics

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

**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 – 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 are paid by investors and compensates ECC/HANH for administrative costs.

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.	William T Rowe: 1 major crime in 2016 Eastview: 1 major crime in 2016 Quinnipiac Terrace: 3 major crimes in 2012, 4 in 2014, 2 in 2016 West Rock (122 Wilmot, Brookside I and II): 7 major crimes in 2014 West Rock (122 Wilmot, Brookside I and II) 25 major crimes in 2012	Yes

Challenges or Changes

The benchmarks were either achieved or on track to be achieved, and no changes were made to this activity.

Project Modernization

Description of Activity

ECC/HANH's ambitious modernization program is made possible by the funding flexibility of the MTW program and has enabled or is currently enabling improvements at the following developments: Ruoppolo Manor, McQueeney Towers, Crawford Manor, Winslow-Celentano, McConaughy Terrace, C.B. Motley, Fairmont, Prescott Bush, R.T. Wolfe, Westville Manor and various vacancy reduction and UFAS compliance initiatives agency wide. This flexibility also supports the architectural and engineering services required by these activities and the abatement testing, remediation and monitoring associated costs.

UFAS compliance is ongoing. During FY 2012 the project at Fulton Park was deferred due to capacity issues and continues to be deferred. Vacancy reduction initiatives have allowed ECC/HANH to continue to show improvement from the baseline vacancy rate of 10%. Completion of long-term capital improvements projects resulted in lease up of long-term vacant units at Ruoppolo Manor, Robert Wolfe and Westville Manor in FY 2014. Also during FY 2014, the mold remediation at C.B. Motley and the agency wide environmental remediation tasks were completed, as well as the replacement/repair of onsite sewers at Prescott Bush. During FY 2015, ECC/HANH continued to address hazardous material remediation, long-term vacancies and modifying units for UFAS compliance. The updated Green PNAs became available for planning in FY 2015.

During FY 2016, ECC/HANH made significant strides in its ongoing effort to reduce vacancies and improve occupancy agency wide. ECC continued to supplement its own staffing efforts with abatement and renovation contractors to bring vacant units back online and expended over $365,000 in CFP funds and $61,000 in MTW funds. ECC also expended $44,704 in CFP funds to make accessibility improvements in a vacant Waverly unit. In FY 2016, ECC continued kitchen, bathroom and interior upgrades in units and building upgrades at the McQueeney development and expended approximately $695,000 in CFP funds and $56,000 in MTW funds. Using CFP, ECC expended funds on the following activities: HVAC riser upgrades at C.B. Motley—($373,919); Farnam fire stairs—($31,913); Prescott Bush sanitary sewer line repairs—($189,341); implementation of boiler replacements at Winslow-Celentano—($468,415) and at Crawford Manor—($789,100) with work continuing into FY 2017; continuation of Agency wide physical needs assessments—($144,070); completion of Ruoppolo balcony terrace wall repairs—($98,400); architectural/engineering and environmental consulting services—(approximately $481,775); Administration costs salaries-benefits (CFP only)—($227,014); CFFP bond debt payment—($1,065,587.50) RHF and CFP funds.

- **Rationale:** There is an ongoing effort to remediate items identified in the 2014 PNA.
- **Impact:** This initiative will enable ECC/HANH to reduce vacancy and increase operational efficiency of its housing inventory.

HUD-Required Metrics

Housing Choice Metrics

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

Internal Metrics

Redevelopment Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	See "REAC Scores" table below	No
Internal Metric #3: Average work order				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Work orders per property	N/A	Brookside Phase I: 1,000 (10 work/year) Brookside Phase II: 1,000 QT1: 560 QT2: 580 QT3: 170 Eastview: 1,020	See "Work Orders" table below	Yes
Internal Metric #6: Utility expenses per unit*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Reduction of utility expenses per unit, pre and post redevelopment – Electric	Valley Waverly: $10,800 per unit in 2012.	5% reduction. Electric utility expenses would reach approximately $10,300 per unit.	- 2016: WT Rowe—$105.46 per unit - 2012: Eastview Terrace—$9,863 per unit; Quinnipiac Terrace—$5,685 per unit	Yes
Reduction of utility expenses per unit, pre and post redevelopment – Gas	Valley Waverly: $730 per unit in 2012.	5% reduction. Gas utility expenses would reach approximately $790 per unit.	- 2016: WT Rowe—$6 per unit - 2012: Eastview Terrace—$333 per unit ; Quinnipiac Terrace—$415 per unit	Yes
Internal Metric #7: Crime rate				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13 West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47	10% reduction in number of major crimes	William T Rowe: 1 major crime in 2016 Eastview: 1 major crime in 2016 Quinnipiac Terrace: 3 major crimes in 2012, 4 in 2014, 2 in 2016 West Rock (122 Wilmot, Brookside I and II): 7 major crimes in 2014 West Rock (122 Wilmot, Brookside I and II) 25 major crimes in 2012	Yes
Internal Metric #8: Occupancy				
Outcome	**Benchmark Achieved?**	**Outcome**	**Benchmark Achieved?**	**Outcome**
Occupancy	In FY 2001, Brookside Phase I: 85% In FY 2001, Brookside Phase II: 0 In FY 2001, Quinnipiac I: 83% In FY 2001, Quinnipiac II: 0 In FY 2001, Quinnipiac III: 0 In FY 2008, Rowe: 76%	95%	Brookside Phase I: 100% (FY 2013), 97% (FY 2014), 100% (FY 2016) Brookside Phase II: 100% (FY 2013), 98% (FY 2014), 100% (FY 2016) Quinnipiac I: 96% (FY 2013), 100% (FY 2016) Quinnipiac II: 97% (FY 2013), 92.86% (FY 2016) Quinnipiac III: 97% (FY 2013), 100% (FY 2016) Quinnipiac total: 98.5% (FY 2014) Rowe: 99% (FY 2013), 100% (FY 2014), 95.65% (FY 2016)	Yes. The overall occupancy for all ECC/HANH properties was 95.07%. (See all occupancy rates on page 32)

* 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.

REAC Scores	Work Orders
- **Brookside Phase I:** 92 (2015) - **Brookside Phase II**: 95 (2015) - **Constance Motley:** 90 (2015) - **Crawford Manor**: 88 (2013), 69 (2016) - **Edith D Johnson Towers:** 95 (2015) - **Eastview Terrace:** 95 (2012) - **Harvey Terrace**: 95 (2014) - **Farnum Courts:** 56 (2016) - **McConaughy Terrace:** 70 (2009), 58 (2010), 78 (2011), 82 (2012) - **McQueeney:** 54 (2009), 85 (2010), 59 (2011), 64 (2012), 70 (2016) - **Monterey 1**: 96 (2014) - **Monterey 2**: 92 (2014) - **Monterey 4:** 92 (2014) - **Monterey 5:** 91 (2014) - **Newhall Gardens:** 96 (2016) - **Prescott Bush Mall:** 97 (2015) - **Quinnipiac Terrace Phase I**: 89 (2012), 98 (2013), 88 (2015) - **Quinnipiac Terrace Phase II**: 85 (2015) - **Quinnipiac Terrace Phase III:** 85 (2016) - **Ribicoff Cottages -EXT:** 91 (2009), 68 (2010), 82 (2011), 82 (2012) - **Robert T Wolfe:** 51 (2009), 80 (2010), 49 (2011), 82 (2012), 85 (2015) - **Rockview Phase I:** 96 (2015) - **Ruoppolo/Fairmont**: 56 (2009), 61 (2010), 65 (2011), 79 (2012), 86 (2013) - **Val Macri:** 94 (2015) - **Westville Manor:** 90 (2009), 35 (2010), 51 (2011), 47 (2012) - **Wilmot Crossing:** 93 (2014) - **Winslow Celentano:** 53 (2009), 72 (2010), 74 (2011), 71 (2012), 84 (2013), 70 (2016) - **WT Rowe:** 99 (2015) - **Scattered Sites III:** 61 (2016)	- Brookside Phase I and Brookside Phase II: 1,311 (2013) - Brookside Phase I, Brookside Phase II, and Rockview Phase I: 1,562 (2014) - Brookside Phase II: 2 (2016) - Charles T. McQueeney: 1,312 (2016) - Constance B Motley: 573 (2016) - Eastview Terrace Phase I: 287 (FY 2013), 284 (FY 2014), 625 (2016) - Essex Townhouses: 190 (2016) - Fairmont Heights: 1,024 (2016) - Farnam Courts: 1,002 (2016) - George Crawford: 1,076 (2016) - Katherine Harvey Terrace: 132 (2016) - Matthew Ruoppolo: 607 (2016) - McConaughy Terrace: 1,612 (2016) - Newhall Gardens: 360 (2016) - Prescott Bush: 464 (2016) - Quinnipiac Terrace 1: 104 (2013) - Quinnipiac Terrace 2: 273 (2013) - Quinnipiac Terrace 3: 289 (2013) - Quinnipiac Terrace 1, 2, and 3: 1,351 (2014) - Ribicoff Cottage: 122 (2016) - Robert T. Wolfe: 465 (2016) - Rockview: 48 (2016) - Scattered Site Homes West: 90 (2016) - Scattered Site Homes East: 252 (2016) - Scattered Site Multi-Family: 648 (2016) - Valley Townhouses: 574 (2016) - Waverly Townhouses: 896 (2016) - Westville Manor: 1,206 (2016) - William T. Rowe: 649 (2016) - Wilmot Crossing: 175 (2016) - Winslow-Celentano: 765 (2016)

Vacancy Reduction

Implemented in FY 2008.

Description of Activity

ECC/HANH will continue to show improvement from the baseline FY 2008 vacancy rate of 10%. Efforts in this area continued in FY 2016.

Impact Analysis

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

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	- 2016: 2,310 units - 2015: 2,447 units - 2014: 2,447 units - 2013: 2,613 units	Yes

Internal Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	See “REAC Scores” table below	No. In 2016, only one of seven inspected properties obtained a score of 88 or above.
Internal Metric #3: Average work order				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Work orders per property	N/A	Brookside Phase I: 1,000 (10 work/year) Brookside Phase II: 1,000 QT1: 560 QT2: 580 QT3: 170 Eastview: 1,020	See “Work Orders” table below	Yes
Internal Metric #8: Occupancy				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Occupancy	In FY 2001, Brookside Phase I: 85%	95%	Brookside Phase I: 100% (FY 2013), 97% (FY 2014),	Yes. The overall occupancy for all

	In FY 2001, Brookside Phase II: 0% In FY 2001, Quinnipiac I: 83% In FY 2001, Quinnipiac II: 0% In FY 2001, Quinnipiac III: 0% In FY 2008, Rowe: 76%		100% (FY 2016) Brookside Phase II: 100% (FY 2013), 98% (FY 2014), 100% (FY 2016) Quinnipiac I: 96% (FY 2013), 100% (FY 2016) Quinnipiac II: 97% (FY 2013), 92.86% (FY 2016) Quinnipiac III: 97% (FY 2013), 100% (FY 2016) Quinnipiac total: 98.5% (FY 2014) Rowe: 99% (FY 2013), 100% (FY 2014), 95.65% (FY 2016)	ECC/HANH properties was 95.07%. (See all occupancy rates on page 32)

REAC Scores	Work Orders
- **Brookside Phase I:** 92 (2015) - **Brookside Phase II**: 95 (2015) - **Constance Motley:** 90 (2015) - **Crawford Manor**: 88 (2013), 69 (2016) - **Edith D Johnson Towers:** 95 (2015) - **Eastview Terrace:** 95 (2012) - **Harvey Terrace**: 95 (2014) - **Farnum Courts:** 56 (2016) - **McConaughy Terrace:** 70 (2009), 58 (2010), 78 (2011), 82 (2012) - **McQueeney:** 54 (2009), 85 (2010), 59 (2011), 64 (2012), 70 (2016) - **Monterey 1**: 96 (2014) - **Monterey 2**: 92 (2014) - **Monterey 4:** 92 (2014) - **Monterey 5:** 91 (2014) - **Newhall Gardens:** 96 (2016) - **Prescott Bush Mall:** 97 (2015) - **Quinnipiac Terrace Phase I**: 89 (2012), 98 (2013), 88 (2015) - **Quinnipiac Terrace Phase II**: 85 (2015) - **Quinnipiac Terrace Phase III:** 85 (2016) - **Ribicoff Cottages -EXT:** 91 (2009), 68 (2010), 82 (2011), 82 (2012) - **Robert T Wolfe:** 51 (2009), 80 (2010), 49 (2011), 82 (2012), 85 (2015) - **Rockview Phase I:** 96 (2015) - **Ruoppolo/Fairmont**: 56 (2009), 61 (2010), 65 (2011), 79 (2012), 86 (2013) - **Val Macri:** 94 (2015) - **Westville Manor:** 90 (2009), 35 (2010), 51 (2011), 47 (2012) - **Wilmot Crossing:** 93 (2014) - **Winslow Celentano:** 53 (2009), 72 (2010), 74 (2011), 71 (2012), 84 (2013), 70 (2016) - **WT Rowe:** 99 (2015)	- Brookside Phase I and Brookside Phase II: 1,311 (2013) - Brookside Phase I, Brookside Phase II, and Rockview Phase I: 1,562 (2014) - Brookside Phase II: 2 (2016) - Charles T. McQueeney: 1,312 (2016) - Constance B Motley: 573 (2016) - Eastview Terrace Phase I: 287 (FY 2013), 284 (FY 2014), 625 (2016) - Essex Townhouses: 190 (2016) - Fairmont Heights: 1,024 (2016) - Farnam Courts: 1,002 (2016) - George Crawford: 1,076 (2016) - Katherine Harvey Terrace: 132 (2016) - Matthew Ruoppolo: 607 (2016) - McConaughy Terrace: 1,612 (2016) - Newhall Gardens: 360 (2016) - Prescott Bush: 464 (2016) - Quinnipiac Terrace 1: 104 (2013) - Quinnipiac Terrace 2: 273 (2013) - Quinnipiac Terrace 3: 289 (2013) - Quinnipiac Terrace 1, 2, and 3: 1,351 (2014) - Ribicoff Cottage: 122 (2016) - Robert T. Wolfe: 465 (2016) - Rockview: 48 (2016) - Scattered Site Homes West: 90 (2016) - Scattered Site Homes East: 252 (2016) - Scattered Site Multi-Family: 648 (2016) - Valley Townhouses: 574 (2016) - Waverly Townhouses: 896 (2016) - Westville Manor: 1,206 (2016) - William T. Rowe: 649 (2016) - Wilmot Crossing: 175 (2016) - Winslow-Celentano: 765 (2016)

- Scattered Sites III: 61 (2016)	

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

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

Description of Activity

This project includes Brookside Phase I and II, Homeownership, 122 Wilmot and Rockview. During FY 2014, the Rockview Rental Phase I was completed and leased up.

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

The project will be carried out in multiple phases. The revitalization of the Brookside site will consist of two rental phases and one homeownership phase. The revitalization of the Rockview site will be carried out in two rental phases and two homeownership phases. The estimated cost of the revitalization of all three sites is $150–$200 million. ECC/HANH has partnered with Michaels Development Company, a nationally known developer of affordable housing with a large portfolio, to redevelop the Rockview and Brookside public housing sites. Brookside, Rockview and the commercial space located at 122 Wilmot Road have all been demolished. During FY 2010, construction began on the infrastructure necessary for the Brookside rental and homeownerships phases.

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

In FY 2014, Initiative 1.13 – Creation of a Commercial Business Venture at 122 Wilmont Road – has been combined into this initiative. The following paragraphs describe the additional activities formerly included in Initiative 1.13.
The Glendower Group, Inc., or an affiliate thereof, has developed a mixed-use facility at 122 Wilmot Road in accordance with 24 CFR 941, Subpart F and ECC/HANH's MTW Agreement Attachment C, Section 14 of the Amended and Restated MTW Agreement (see Appendix 5). The 122 Wilmot Road is a part of the West Rock Redevelopment efforts of ECC/HANH. The mixed-use facility will provide the Glendower Group Inc., or an affiliate thereof, an opportunity to develop one or more cooperative ventures to facilitate economic growth and create wealth in the West Rock community.

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

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

Impact Analysis

ECC/HANH successfully completed Brookside Phase 1, Brookside Phase 2, Rockview Phase 1 and Brookside Homeownership. ECC/HANH closed on the Ribicoff 4% and Ribicoff 9% development deals and both are occupied. The Rockview Phase II development will be an off-site component of the Westville Manor redevelopment. ECC/HANH anticipates applying for a 9% Tax Credit Application in November 2016 with a closing in the fall of 2017. This redevelopment effort will also include the redevelopment of the community center.

Outcomes

HUD-Required Metrics

HC #2: Units of Housing Preserved				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	- 2,965 units (frozen 2001 base)	Decrease of 5% from previous year	- 2016: 2,310 units - 2015: 2,447 units - 2014: 2,447 units - 2013: 2,613 units	Yes
HC #6: Increase in Homeownership Opportunities				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households that purchased a home as a result of the Brookside Homeownership Program	Zero at program's inception	By the end of the program, HANH expects that 20 first-time homebuyers will be homeowners. The program has been in place for 2 years. By the end of FY 2013, HANH expected that 12 units would be built.	In FY 2016, the actual number of homeownership units built is 0 units and 0 units have been purchased. In FY 2014, the actual number of homeownership units built is 12 units and 2 units have been purchased in October 2014. In FY 2013, actual number of homeownership units built is 10 units and 5 units have been purchased.	Yes

Internal Metrics

Redevelopment Metrics

Internal Metric #2: REAC Scores				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	- **Wilmot:** 93 (2014) - **Rockview I**: 96 (2015) - **Brookside I**: 92 (2015) - **Brookside II**: 95 (2015)	N/A. None of the affected properties were inspected in 2016.
Internal Metric #3: Average work order				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Work orders per property	N/A	Brookside Phase I: 1,000 (10 work/year) Brookside Phase II: 1,000 QT1: 560 QT2: 580 QT3: 170 Eastview: 1,020	See "Work Orders" table below	Yes
Internal Metric #6: Utility expenses per unit*				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Reduction of utility expenses per unit, pre and post redevelopment – Electric	Valley Waverly: $10,800 per unit in 2012.	5% reduction. Electric utility expenses would reach approximately $10,300 per unit.	- 2016: WT Rowe—$105.46 per unit per month 2016: Eastview Terrace—$75.07 per unit per month - 2012: Eastview Terrace—$9,863 per unit; Quinnipiac Terrace—$5,685 per unit	Yes

Reduction of utility expenses per unit, pre and post redevelopment – Gas	Valley Waverly: $730 per unit in 2012.	5% reduction. Gas utility expenses would reach approximately $790 per unit.	- 2016: WT Rowe—$6.02 per unit - 2016: Eastview Terrace—$7 per unit per month - 2012: Eastview Terrace—$333 per units ; Quinnipiac Terrace—$415 per unit	Yes
Internal Metric #7: Crime rate				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in FY 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in FY 2005: 47.	10% reduction in number of major crimes.	William T Rowe: 1 major crime in 2016 Eastview: 1 major crime in 2016 Quinnipiac Terrace: 3 major crimes in 2012, 4 in 2014, 2 in 2016 West Rock (122 Wilmot, Brookside I and II): 7 major crimes in 2014 West Rock (122 Wilmot, Brookside I and II) 25 major crimes in 2012	Yes
Internal Metric #8: Occupancy				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Occupancy	In FY 2001, Brookside Phase I: 85% In FY 2001, Brookside Phase II: 0% In FY 2001,Quinnipiac I: 83% In FY 2001, Quinnipiac II: 0% In FY 2001, Quinnipiac III: 0% In FY 2008, Rowe: 76%	95%	Brookside Phase I: 100% (FY 2013), 97% (FY 2014), 100% (FY 2016) Brookside Phase II: 100% (FY 2013), 98% (FY 2014), 100% (FY 2016) Rockview Phase I: 100% (FY 2016) Wilmot: 94.12% (FY 2016)	Yes. The overall occupancy for all ECC/HANH properties was 95.07%. (See all occupancy rates on page 32)

* 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.

Work Orders
- Brookside Phase I and Brookside Phase II: 1,311 (2013)

- Brookside Phase I, Brookside Phase II, and Rockview Phase I: 1,562 (2014)
- Brookside Phase II: 2 (2016)
- Charles T. McQueeney: 1,312 (2016)
- Constance B Motley: 573 (2016)
- Eastview Terrace Phase I: 287 (FY 2013), 284 (FY 2014), 625 (2016)
- Essex Townhouses: 190 (2016)
- Fairmont Heights: 1,024 (2016)
- Farnam Courts: 1,002 (2016)
- George Crawford: 1,076 (2016)
- Katherine Harvey Terrace: 132 (2016)
- Matthew Ruoppolo: 607 (2016)
- McConaughy Terrace: 1,612 (2016)
- Newhall Gardens: 360 (2016)
- Prescott Bush: 464 (2016)
- Quinnipiac Terrace 1: 104 (2013)
- Quinnipiac Terrace 2: 273 (2013)
- Quinnipiac Terrace 3: 289 (2013)
- Quinnipiac Terrace 1, 2, and 3: 1,351 (2014)
- Ribicoff Cottage: 122 (2016)
- Robert T. Wolfe: 465 (2016)
- Rockview: 48 (2016)
- Scattered Site Homes West: 90 (2016)
- Scattered Site Homes East: 252 (2016)
- Scattered Site Multi-Family: 648 (2016)
- Valley Townhouses: 574 (2016)
- Waverly Townhouses: 896 (2016)
- Westville Manor: 1,206 (2016)
- William T. Rowe: 649 (2016)
- Wilmot Crossing: 175 (2016)
- Winslow-Celentano: 765 (2016)

Resident-Owned Business Development

Implemented in FY 2011.

Description of Activity

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

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

- Provide assistance in the outreach, recruitment, and potential contractor’s capacity assessment.

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

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

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

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

Impact Analysis

During FY 2016, eight ROBs participated in the program, with several additional residents expressing interest in starting a new business. Three of the participants have construction businesses; one provides tax credit monitoring; one operates a cupcake/food truck service; one provides childcare; one provides professional transportation services and one operates a temporary services agency. Four of the ROBs have some earned income for FY 2016, which averaged $15,679. This represents an increase of nearly $3,000 from FY 2015. Average gross income for the year is $11,636, with all but one household reporting some form of income. At the end of FY 2016, only one outstanding loan existed.

Outcomes

HUD-Required Metrics

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average earned income of households or individuals affected by this policy in dollars	$38,785 (2014)	$24,850*	2016: $15,679 2015: $12,880	No
SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**

Number of households receiving consultation and/or technical assistance	7 (2012)	10	- 2016: 11 - 2015: 3 - 2014: 5 - 2013: 5	Yes
Number of households receiving training**	7 (2012)	10	- 2016: 8 - 2015: 3 - 2014: 5 - 2013: 5	No

* The benchmark represents a 30% AMI published by HUD for a household of 4 individuals living in New Haven, CT.

** Training includes topics such as cost estimating, owning a business, business planning, financial management, contracts and proposals, etc.

Internal Metrics

Resident-Owned Business Metrics

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

Amount under contract with HANH ($ revenue)	$2,250,000 (2012)	$2,925,000	- 2016: $0.00 - 2015: $0.00 - 2014: n/a - 2013: $7,800,000	No

SEHOP Capital Improvement Program

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

Description of Activity

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

- **Rationale**: Capital improvements will increase the livability of homes recently purchased.
- **Expected impact**: Increased value in recently purchased home.

Impact Analysis

In FY 2015, ECC/HANH had 43 homeowners, two individuals waiting to close and two individuals looking for homes. The amount of funds in the capital improvement allowance account was $155,407.24 and was accessed by one homeowner.

In FY 2016, 30 homeowners were enrolled in SEHOP, all of which had successfully closed on their homes. The participants' home prices ranged from $105,000 to $254,600, with a median home price of $160,000. The median home value in the city of New Haven is estimated to be $153,000.

HUD-Required Metrics

SEHOP Home Improvement Metrics

HC #6: Increase in Homeownership Opportunities				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households that receive the capital improvement allowance to make capital improvements to their homes*	0 (2009)	TBD	- 2016: 30 - 2015: 29 - 2014: 22 - 2013: 22 - 2012: 23 - 2011: n/a - 2010: n/a	Although 30 households are receiving the allowance, only one received a disbursement in FY 2016 for capital improvements.

* Allowance comes from ECC/HANH's general fund.

Prison/Community Reentry

Implemented in FY 2010.

Description of Activity

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

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

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

Impact Analysis

There is a maximum capacity of 16 units for the Community Re-entry Pilot Program to house participants at any point of time. In January 2016, 15 participants were enrolled in the Prison/Community Reentry Program, all of which were successfully leased in homes.

The employment component of the program is made increasingly more difficult by the high proportion of disabled participants (11 of the 15). Nevertheless, by the beginning of 2016, two disabled participants had overcome barriers and gained employment. Of the four non-disabled participants, only one was employed in the beginning of 2016, but HANH continues to work diligently to improve the chance of employment all participants.

As of January 2016, and since its inception in 2010, the Prison/Community Reentry program has served 27 former prisoners, all of which were successfully leased in homes. Two participants graduated from the program before leaving, one of which was evicted 20 months after graduation. Only one other participant received violations while in the program.

Challenges

While this program is relatively new, it has been a challenge to meet ECC/HANH's benchmark of 50% of the residents becoming employed. In FY 2015, 80% of the Reentry Residents were disabled, so the percentage of residents able to work was only 20%. However, many took self-sufficiency classes to obtain the skills needed in today's current work force. In FY 2016, 73% of the Reentry Residents were disabled, increasing the percentage of residents that were able to work to 27%. Only one resident who was able to work did not work. ECC/HANH continues to experience challenges such as funding and staffing. Despite the challenges, in FY 2015, ECC/HANH increased the number of housing units available for the reentry population to 16. Expansion of ECC/HANH case management services will occur as resources are secured.

Outcomes

HUD-Required Metrics

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

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

** ECC/HANH includes in "referred for services" services such as computer training, job-skill/employability training, mental health and or drug and alcohol counseling.

*** An Individual Service Plan (ISP) identifies skills that a resident needs to reinforce with training programs and employment search coaching. This plan also addresses the individual's physical, emotional, social and personal development needs. Compliance with the ISP means that the individual is meeting the plan's objectives.

**** ECC/HANH defines self-sufficiency or graduation in the context of this program as an individual's capacity to supply for his or her own needs without external assistance.

Internal Metrics

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

Resident Services for Elderly/Disabled

ECC/HANH implemented its Resident Services for Elderly/Disabled Initiative in one building in 2003 and extended to an additional three sites in 2007.

Description of Activity

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

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

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

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

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

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

Impact Analysis

Enrollment in the program has remained relatively constant—between 92 and 98 participants—since the program's expansion in FY 2013. The enrolled residents receive frequent service. Other residents in the facilities have access to the services, but typically use the services on a much less frequent basis. The assistance received helps the residents to remain in ECC/HANH facilities and not face eviction or being moved to a higher level of care.

In FY 2014, an average of 126 outreach efforts were made per month. In FY 2015, the efforts increased to 227 per month. In FY 2016, the efforts increased even further, to 361 per month. These efforts include movie nights, trips to events or local attractions and holiday events. The programs also offer group meetings. In 2014, the average number of group meetings was 118 per month per program. In 2015, the average number per month was 151. In 2016, the average number of group meetings increased to 170 per month. These groups included supports for managing substance abuse, financial responsibility and budgeting, chair yoga, and a range of other topics. The program staff will also engage the residents in individual sessions to assist with their needs.

As inputs per participant, that is the number of meetings and outreach efforts, have increased, so too have the positive outcomes of the program. Compliance with Action Plans increased from 95% in FY 2015 to 99% in FY 2016, while employment rates increased from 3% in FY 2015 to 11% in FY 2016. Self-sufficiency, a primary goal of the MTW program, saw the greatest increase, from 2% of FY 2015 participants to 21% of FY 2016 participants. This is a major accomplishment considering that participants are all either elderly or disabled.

Outcomes

HUD-Required Metrics

SS #3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Currently employed full-time and part-time	23 employed (2012)	22	- 2016: 11 employed - 2015: 3 employed - 2014: 6 employed - 2013: 26 employed	No. HANH will revisit the benchmark for this metric in 2017.
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	- 2016: 96 - 2015: 92 - 2014: 98 - 2013: 105	No
Average number of outreach efforts conducted per month	62 (2013)	85	- 2016: 361 - 2015: 227 - 2014: 126	Yes
Average number of group meetings held per month	128 (2013)	85	- 2016: 170 - 2015: 151 - 2014: 118	Yes
SS #8: Households Transitioned to Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households transitioned to self sufficiency*	0 (2012)	TBD	- 2016: 20 - 2015: 2 - 2014: 0 - 2013: 0	HANH will establish a benchmark in 2017.

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

Internal Metrics

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

**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.*

Closed Out Activities that only Required MTW Funding Flexibility:

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

Cap on Project-Based Units in a Project

Outcomes

Internal Metrics

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

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

Single fund flexibility is made possible by the MTW program. It enables ECC/HANH to make improvements at some of its developments, enables vacancy prep which increases occupancy, enables major redevelopment efforts, and enables provision of services to our residents through the SEHOP Capital improvement program as well as resident services for elderly/disabled. See narrative on page 13 and 14.

VI. ADMINISTRATIVE

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

Voluntary Compliance Agreement – Fair Housing and Equal Opportunity

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

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

Voluntary Compliance Agreement – Americans with Disabilities Act

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

B. Results of Agency-Directed Evaluations of Demonstration.

In 2015, ECC/HANH has contract with an outside evaluator, Seasholtz Consulting, Inc., to assess its MTW program and the effectiveness of MTW initiatives. Seasholtz Consulting, Inc., determined that the MTW program implemented through ECC/HANH has been successful. ECC/HANH has used its MTW flexibilities related to fungibility, income limits, project-based vouchers, and development and construction cost limits 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 also successfully used MTW flexibilities to implement activities that have saved 40,000 hours of staff time and over $500,000 in costs. 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.

The Executive Summary and Recommendations of the full evaluation can be found in Appendix 6.

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

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

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

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

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

ECC/HANH has served considerably more families since achieving MTW status primarily through its modernization and redevelopment efforts made possible by MTW flexibility. During FY 2016, ECC/HANH served 43.76% more families than at baseline.

Families Served FY 2016 Compared to Baseline	
Baseline number of families to be served (total number of families)	4,101
Total number of families served this fiscal year (HCV: 3,762; LIPH: 2,134)	5,896
Numerical Difference	1,795
Percentage Difference	43.76%

ECC/HANH (CT004)	FY 01	FY 02	FY 03	FY 04	FY 05	FY 06	FY 07	FY 08
Families Served through MTW Public Housing	1,970	2,086	1,895	1,737	1,640	1,553	1,531	2,359
Families Served through MTW Vouchers	2,857	2,889	2,997	3,176	3,454	3,312	3,106	3,030
Other Families Served through MTW	0	0	0	0	0	0	0	0
NUMERATOR – Families Served Total	**4,827**	**4,975**	**4,889**	**4,913**	**5,094**	**4,865**	**4,637**	**5,389**
Number of Families (Public Housing)	1,970	2,086	1,895	1,737	1,640	1,553	1,531	2,359
Incremental Increase to Baseline	0	116	0	0	0	0	0	389
Incremental Decrease to Baseline	0	0	75	233	330	417	555	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	33	137	319	597	455	249	173
Incremental Decrease to Baseline	0	0	0	0	0	0	0	0
TOTAL	**4,857**	**4,975**	**4,889**	**4,913**	**5,094**	**4,865**	**4,637**	**5,389**
% TOTAL	**100%**	**103%**	**101%**	**102%**	**106%**	**101%**	**96%**	**111%**

ECC/HANH (CT004)	FY 09	FY 10	FY 11	FY 12	FY 13	FY 14	FY 15	FY 16
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 – Families Served Total	**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	211	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	533	905
Incremental Decrease to Baseline	0	0	0	0	0	0	0	0
TOTAL	**4,940**	**5,092**	**5,383**	**5,136**	**5,913**	**5,479**	**5,591**	**5,896**
% TOTAL	**102%**	**105%**	**111%**	**106%**	**122%**	**113%**	**115%**	**121%**

Incremental Increases/Decreases to Baseline			
Reason for Change	**Program**	**Year of Change**	**Change Amount**
Voucher Baseline – HANH gives "Section 8 Participant Demographics" on page 184 of its FY 2002 Annual MTW Report. This number is given as of the beginning of FY 2002 (which would be October of 2001). This is very close to when HANH signed its MTW Agreement. Best number available.	HCV	FY 2001	2,857
Public Housing Baseline – HANH gives public housing households served as 1,146 (families) and 824 (elderly) at the beginning of FY 2002 (which would be October of 2001). This is very close to when HANH signed its MTW Agreement. Best number available.	PH	FY 2001	1,970
Public Housing - 154 actual units demo/dispo in 2002. Pulled from Demo/dispo report on PIC data page, pulled on April 6, 2011.	PH	FY 2002	-154
Public Housing - 36 HOPE VI public housing units added in 2002. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY 2002	36
Vouchers - 77 Enhanced Vouchers became part of MTW program on August 1, 2002.	HCV	FY 2002	77
Public Housing - 277 actual units demo/dispo in 2004. Pulled from Demo/dispo report on PIC data page, pulled on April 6, 2011.	PH	FY 2004	-277
Vouchers - Housing Conversion for Ethan Gardens (28 in January 2005). Housing Conversion for Eastview Terrace (30 in May 2005).	HCV	FY 2005	58
Public Housing - 143 actual units demo/dispo in 2005. Pulled from Demo/dispo report on PIC data page, pulled on April 6, 2011.	PH	FY 2005	-143
Vouchers - Housing Conversion for Canterbury Gardens (34 in December 2005).	HCV	FY 2006	34
Public Housing - 58 HOPE VI public housing units added in 2006. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY 2006	58
Public Housing - 153 actual units demo/dispo in 2007. Pulled from Demo/dispo report on PIC data page, pulled on April 6, 2011.	PH	FY 2007	-153
Public Housing - 28 HOPE VI public housing units added in 2007. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY 2007	28
Public Housing - 90 actual units demo/dispo in 2008. Pulled from Demo/dispo report on PIC data page, pulled on April 6, 2011.	PH	FY 2008	-90
Public Housing - 28 HOPE VI public housing units added in 2008. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY 2008	28
Public Housing - 53 new units brought online at Eastview Terrace.	PH	FY 2009	53
Public Housing - 295 actual units demo/dispo in 2009. Pulled from Demo/dispo report on PIC data page, pulled on April 6, 2011.	PH	FY 2009	-295
Vouchers - Housing Conversion for 77-79 Orchard Street Apartments (6 in August 2010).	HCV	FY 2010	6
Vouchers - William T. Rowe Apartments (9 in July 2011).	HCV	FY 2011	9
Public Housing - ADJUSTMENT - Demo/dispo report for FY 2010 was updated to show one actual unit demolished.	PH	FY 2011	-1
Vouchers	HCV	FY 2012	188
Public Housing	PH	FY 2012	191
Vouchers	HCV	FY 2013	466
Public Housing	PH	FY 2013	640
Vouchers due to PBV vouchers	HCV	FY 2014	481
Public Housing	PH	FY 2014	171
Vouchers	HCV	FY 2015	533
Public Housing	PH	FY 2015	211
Vouchers	HCV	FY 2016	905
Public Housing	PH	FY 2016	164

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

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

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

Baseline Family Sizes Served by ECC/HANH							
Baselines	**1 person**	**2 people**	**3 people**	**4 people**	**5 people**	**6+ people**	**Total**
Ratio of family sizes to be maintained	32%	24%	20%	13%	6%	5%	100%
Number of families served by family size	2,337	1,354	1,065	645	302	193	5,896
Ratio of families served by family size	40%	23%	18%	11%	5%	3%	100%
Percentage Difference	8%	-1%	-2%	-2%	-1%	-2%	0

Certificate of Compliance

OMB Control Number: 2577-0216
Expiration Date: 5/31/2016

Form 50900: Elements for the Annual MTW Plan and Annual MTW Report

Attachment B

Certifications of Compliance

Annual Moving to Work Plan
Certifications of Compliance

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

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

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the Annual Moving to Work Plan for the PHA fiscal year beginning **10/01/2016**, hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

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

2. The PHA took into consideration public and resident comments (including those of its Resident Advisory Board or Boards) before approval of the Plan by the Board of Commissioners or Board of Directors in order to incorporate any public comments into the Annual MTW Plan.
3. The PHA certifies that the Board of Directors has reviewed and approved the budget for the Capital Fund Program grants contained in the Capital Fund Program Annual Statement/Performance and Evaluation Report, form HUD-50075.1.
4. The PHA will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
5. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.

6. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
7. The PHA will affirmatively further fair housing by examining its programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.

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

13. The 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.

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

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

16. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.

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

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

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

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

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

Elm City Communities, Housing Authority of New Haven
PHA Name

CT004
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

Chairman
Title

Signature

12/22/2016
Date

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

To: Board of Commissioners

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

Date: December 20, 2016

RE: Approval of MTW Annual Report for FY 2016

ACTION: Recommend that the Board of Commissioners adopt Resolution Number 12-146/16-R

TIMING: Immediately.

DISCUSSION: As a Moving to Work ECC/ HANH is required to submit to HUD an annual MTW Plan and an Annual MTW Report. The MTW Annual Report is prepared at the end of each fiscal year. It reports HANH's progress and challenges in achieving the objectives established in the Annual Plan for the year. The MTW Annual Report must be submitted to HUD within 90 days after the end of the fiscal year

Attached is a copy of HANH's proposed MTW Annual Report for Fiscal Year 2016.

This resolution requests the Board's authorization for the Executive Director to submit to the U.S. Department of Housing and Urban Development (HUD) the MTW Annual Report for FY 2016, and all required and related certifications, documents and HUD forms.

STAFF: Leasley Negron, Performance Auditor

Housing Authority of the City of New Haven

Resolution Number 12-146/16-R

APPROVING THE SUBMISSION OF ECC/HANH'S MTW REPORT FOR FY 2016

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

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

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

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF COMMISSIONERS OF THE HOUSING AUTHORITY OF THE CITY OF NEW HAVEN that the Board Authorizes the Executive Director to take such actions and execute such documents as necessary to finalize and submit to the U.S. Department of Housing and Urban Development HANH's MTW Annual Report for Fiscal Year 2016, 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 20, 2016.

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

12-20-16
Date

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

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

Appendix 1

Documentation of Public Hearing and Public Comment Period

Elm City Communities/Housing Authority of The City of New Haven
Public Hearing: 2016 Moving to Work Annual Report
Monday, December 5, 2016 @ 4:00 P.M.
360 Orange Street, New Haven, CT 06511

Those present included:
Leasley Negrón, ECC
Monique Moore, ECC
Yesica Hernandez-Perez, ECC
Maza Rey, ECC
Nakitta Brown, ECC
Teena Bordeaux, ECC
Catherine Hawthorne, ECC

The public hearing was called to order at 4:04 p.m. by Leasley Negrón.

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

Section VII (A)(f)(ii) of the Authority's Moving to Work Agreement (the "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 (the "HUD") that it must conduct a public hearing, consider comments from the hearing on the proposed amendments, obtain approval from the Board of Commissioners, and submit the amendments to HUD. Pursuant to said Section
VII (A)(f)(ii) ,the Authority will conduct a public hearing on Monday**, December 5, 2016 at 4:00 PM, in the 3rd floor Board of Commissioners Conference Room at 360 Orange Street, New Haven, CT 06511** to receive comments and recommendations.

A copy of the Plan will be available for review starting **Monday, October 31, 2016** on the Authority's website at www.elmcitycommunities.com or can be picked up at the front desk in the main lobby area at 360 Orange Street. You are invited to provide written comments addressed to HANH MTW 2016 Report, Attn: Maza Rey, P.O. Box 1912, New Haven, CT 06509-1912. Any individuals requiring a reasonable accommodation to participate in the hearing may call Teena Bordeaux, Reasonable Accommodations Coordinator for HANH at 498-8800 extension 1507 or at the TDD Number 497-8434.

At 4:08 p.m., the meeting was opened to take public comments.

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

Adjournment
Ms. Negron thanked the participants and the public hearing was adjourned at 4:19 p.m.

Appendix 2

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

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

HANH/ELM CITY COMMUNITIES TDC 2013								
		0	**1**	**2**	**3**	**4**	**5**	**6**
Detached		$ 228,356.69	$ 291,789.97	$ 342,408.21	$ 405,464.41	$ 476,082.62	$ 521,291.12	$ 563,900.08
Row House		$ 185,556.06	$ 243,917.71	$ 288,527.99	$ 351,621.68	$ 418,022.08	$ 460,885.17	$ 501,067.76
Walk Up		$ 170,120.98	$ 230,789.37	$ 293,672.84	$ 384,451.85	$ 477,581.46	$ 537,876.94	$ 597,377.37
Elevator		$ 178,470.14	$ 249,858.09	$ 321,246.04	$ 428,328.23	$ 535,410.42	$ 606,798.37	$ 678,186.32

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

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

Appendix 3

Local Asset Based Management:

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

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

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

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

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

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

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

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

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

Appendix 4

MTW Expenditures and Voucher Costs for PBVs:

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

PBV	Number	2013 MTW	2013 Voucher	Number	2014 MTW	2014 Voucher

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

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

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

Appendix 5

"Attachment C" of MTW Agreement: Exception to HCV Regulations

Topic	Regulatory Provision	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 does not exceed $50,000. 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% of any incremental earnings from wages or salaries earned by any family member, 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. . 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 exclusion thereafter. In no event shall the family receive the exclusion provided for under this subparagraph during the same period said family member is receiving a disregard from earned income (Earned Income Disregard) as set forth in 24 CFR Part 5.617.In addition, the total number of months that a family may receive the exclusion provided for under this subparagraph and under the EID may not exceed 48 months.
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.	HANH will continue to implement the Earned Income Disregard (EID). The maximum amount of time a family may participate in the program combined with the Family Self Sufficiency Program (FSS) is 48 months. After 24 months, when the EID is exhausted, the family member may enter the FSS Program and 50% of their earnings may be excluded. They will then continue to exclude 25% in the fourth year and 0% thereafter. This will allow more families to enter and benefit from the program.

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Housing Choice Voucher 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 ttendant care and auxiliary apparatus expenses for each member of the family who is a person with disabilities **(4)** Any reasonable childcare expenses necessary to enable a member of the family to be employed or to further his or her education.	Eliminate all mandatory deductions.
Additional (Exception) Expenses Deductions	24 CFR 5.611	None	Families with verifiable deductions that or exceed of $2,000 will be allowed to request that these additional expenses be used in determining TTP. These verifiable deductions must equal or exceed $2,000 and shall be the sum of: Mandatory Deductions determined in accordance with Section 5.611 (a), plus non-reimbursed utility expenses (except telephone).
Total Tenant Payment	24 CFR 5.628	Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (a) 30 percent of the family's monthly adjusted income; (b) 10 percent of the family's monthly income; (c) If the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (d) The minimum rent, as determined in accordance with Sec. 5.630.	TTP to be based upon (1) income-tiered TTP structure or the minimum TTP $50 for a family with income of up to $2,500 annually
Hardship Provision	24 CFR 5.630(b)	A family may be exempt from minimum rent as follows: (i) When the family has lost eligibility or is waiting an eligibility determination for a Federal, State, or local assistance program, including a family that includes a member who is a non-citizen; (ii) When the family would be evicted because it is unable to pay the minimum rent; (iii) When the income of the family has decreased because of changed circumstances, including loss of employment.	A family whose shelter expenses, plus un-reimbursed medical, childcare and disability expenses exceed 40 % of annual income or whose medical, childcare or disability expenses exceed $6,000 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.

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
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 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. HANH will do UIV and submit a 50058 annually.
Interim Reexamination	24 CFR 982.516	A family may request an interim reexamination of family income for any changes since the last annual reexamination. 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.
Verification of Wages, Salaries and Assets below $5,000 and Assets below $50,000	24 CFR 5.659	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. HANH will continue to conduct EIV or UIV.
Determination of Tenant Total Payment (TTP)	24 CFR 5.628	Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (1) 30 percent of the family's monthly adjusted income; (2) 10 percent of the family's monthly income; (3) if the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (4) The minimum rent	TTP based upon income-tiered approach. No family shall be subject to an increase in TTP greater than $25.00 a month during the second year family is of the Rent Simplification Policy. The increase in TTP during the third year of the Rent Simplification Policy shall not exceed $50 a month. The increase in TTP during the fourth year of the Rent Simplification Policy shall not $75 a month. The increase in TTP 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.**

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
Annual Inspections	24 CFR Part 982.405(a)	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.)	HANH will no longer inspect every unit every year, but will instead inspect units every two years, unless the first unit inspection conducted after the implementation of the Rent Simplification Policy shows that the unit; (1) failed an inspection, or (2) the unit had a failed inspection in the three years prior to the implementation of the Rent Simplification Policy. A unit must have three consecutive years without a failed inspection to qualify for the bi-annual inspection. **Units for which landlords are requesting increases in HAP payment will also be inspected prior to 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, 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). HANH will no longer inspect every unit every year, but will instead inspect a unit every two years unless the unit's inspection history indicates a need for an annual inspection as set forth above.
Waiver of SEMAP Indicator	24 CFR Part 985.3 (n)		**Lease-Up**. This indicator shows whether or not HANH enters HAP contracts for the number of units reserved under ACC for at least one year. HANH currently has a waiver of this provision and request that it be extended until September 30, 2008

Appendix 6

ECC/HANH MTW Evaluation

Executive Summary

HANH entered HUD's Moving to Work (MTW) program in 2001 and has held true to the spirit of MTW by creating and implementing initiatives that have attempted to advance its three main goals: increase housing choice, enhance self-sufficiency for families with children, and improve cost effectiveness in the use of federal funds.

Most of the MTW activities evaluated in this project were implemented in 2007 or later, with a large number of them implemented in the last five years. Over that timeframe, some initiatives have been completed and/or closed.
MTW has been used extensively by HANH to assist in redeveloping many of its properties. Various MTW flexibilities related to fungibility, income limits, project-based vouchers;and development and construction cost limits have been used to help redevelop over 800 affordable units. Through these projects HANH was also able to earn nearly $5 million in developer fees.

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

Through its MTW program, HANH has implemented some creative self-sufficiency initiatives which are funded through MTW fungibility (approximately $3M annually). Whereas many of these initiatives such as CARES have shown promise, others such as Resident Owned Businesses and Specialized Training are under subscribed and have relatively high costs to administer per participant. Overall, incomes for HANH's work-able families are down in real terms since 2008.

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

HANH's MTW tiered rent model and biennial reexam schedule for work-able families provide incentives for increasing earned income, but incomes in real terms have been down slightly for work-able families since it was implemented in 2008.

Program evaluation has been hampered by a lack of available data on key metrics, inconsistent application of metric definitions (for example, gross income versus earned income), and questions about the integrity of data due to manual collection efforts.

HANH has an opportunity to build on its successes and learn from its challenges to further advance the goals of MTW and service its clients and the community. Recommendations include the following:

- Improve the effectiveness of self-sufficiency programs by focusing on core case management functions, streamlining the number of programs, and reviewing service alternatives.
- Establish an overall data management strategy for MTW tracking, review underlying administrative processes, and implement an agency-wide case management application that links to Elite data. In the short-term, ensure participants for each MTW program are flagged in Elite.
- Continue to generate staff time and cost savings by reducing the drivers of administrative tasks (including interims, moves, and in-person reexams); simplify forms and move them online.
- Continue to engage staff in the MTW process and include MTW goals in management performance reviews.

- Consider changes to MTW rent policy including higher minimum rents and mandatory case management that might provide greater motivations for work-able families to work.

Recommendations

Improve Core Self-Sufficiency Activities. There is an opportunity for HANH to focus attention on the building blocks of successful self-sufficiency programs.

- Case management. Nearly 300 participants were served by HANH case managers across the RSC, FSS and CARES programs.
    - Clarify ownership of clients across the RSC and FSS teams as well as internal processes related to assessments and tracking to eliminate redundancies and improve customer services.
    - Implement a feedback loop between RSCs and FSS case managers with the CARES case managers to share success stories and lessons learned.
    - Consider using one manager to oversee all case managers regardless of program.
- Classes. HANH labs at QT and Wilmot Rd. had approximately 130 class participants in FY 2015, but have capacity to serve a substantially higher number of work-able adults.
    - Conduct enhanced outreach and education with all HANH staff about class offerings and client benefits.
    - Improve coordination across case managers to increase referrals to specific classes related to building core skills and job search.
    - Consider mandatory participation in core classes such as financial literacy for work-able adults who are not working.

Streamline the Number of Self-Sufficiency Programs and Review Service Alternatives. The fragmented nature of current self-sufficiency programs distracts focus from core services and generates additional costs without clear benefits.

- Eliminate programs with relatively high costs per participant and low success rates.
    - Underperforming programs include specialized training, resident-owned business, and earned income exclusion (especially given conflicting goals with EID program). These three programs cost HANH approximately $375,000 in FY 2015 and served 101 participants.
    - Staff like the concept of specialized training for class participants looking to take the next step, but HANH may benefit from first increasing overall class participants, and later solidifying program management including recruitment and tracking.
    - Prisoner reentry is another program without a clear success story (low number of graduates) and management should discuss whether this housing is better used in the general pool.
- Evaluate alternatives for Elderly/Disabled Supportive Services.
    - Determine if elderly/disabled services could be provided by other area nonprofits or governmental agencies so that HANH does not have to directly incur the costs.
    - HANH spent approximately $675,000 on its elderly/disabled supportive services in FY 2015 and served 92 participants.
    - Currently, two vendors (Continuum of Care and Connections) provide the services for this program.

Transform MTW Data Collection and Reporting. Outcome data for programs was often not available for programs from their inception. When data did exist, it tended to reside in disparate systems including stand-alone Excel spreadsheets, Word documents, Elite downloads and reports.

- Create an overall data management plan.
    - Review and agree on MTW metrics to evaluate the success of all MTW programs (including redevelopment projects) as well as desired end states and costs.
    - Determine how long a program should run before adequate data exists to make a decision on whether it should continue.

    - Going forward, make sure all new MTW projects and programs have baseline data for MTW metrics. For example, baseline metrics for Farnam should be documented before lease-up begins.
- Streamline underlying processes.
    - Clarify data owners and make them accountable for providing timely and accurate data. Ensure data owners are aware of reporting cycles (internal management, board, and HUD).
    - Review and streamline underlying processes that impact data collection and reporting including assessments, referrals, and client contacts.
    - Implement a case management application for self-sufficiency programs.
- Implement an agency-wide case management application that allows for updates from Elite, helps with the elimination of redundancies, and improves the quality of reported data.
    - In the short-term, ensure that various program participants are flagged in Elite. Since most of HANH's self-sufficiency programs are not tracked in Elite, it is currently difficult to generate consistent reports of employment status, earned income, shelter burden, etc.

Enhance Staff Involvement in Setting and Meeting MTW Goals. There is an opportunity to create greater staff ownership of MTW activities, metrics and goals which could lead to improved tracking and feedback.

- Continue to improve awareness of MTW activities among staff and partners.
    - HANH can build on the staff involvement it began as part of the program evaluation project.
    - Facilitate semi-annual staff meetings to review and obtain feedback on MTW activities, metrics and goals. Key partners (for example, those involved in elderly/disabled supportive services and homelessness prevention) could also be invited to these meetings.
    - Communicate the connection between HANH's overall agency strategic goals (from strategic plan) and MTW goals.
- Link manager performance goals to MTW benchmarks.
    - Given the day-to-day duties of managers to keep the agency running, MTW tracking and evaluation are often an afterthought.
    - Introduce MTW goals for specific activities into annual management performance setting and reviews.
    - Solicit feedback on current activities and ideas for new activities in these exercises.

Continue to Streamline Administrative Processes. HANH has experienced success at implementing MTW activities that reduce costs and staff time, particularly in its HCV department.

- Continue to simplify the drivers of administrative tasks.
    - Evaluate other drivers of administrative tasks, such as interims and moves, and use MTW flexibility to limit and/or simplify their use.
    - Last year, HANH started mail-in reexams for its elderly/disabled families who are on triennial reexam schedules. Expand mail-in reexams to work-able households in order to save additional staff time associated with in-person interviews and scheduling.
- Streamline reexam packets
    - There is an opportunity for HANH to streamline the forms and content that are included in its reexam packet.
    - This would allow HANH to save staff time spent on processing the forms, make the reexam process easier for clients, and reduce postage costs.
- Move forms online.
    - Once forms have been vetted and streamlined, they should be placed on the HANH web site for client download or eventually online completion and submission.

Evolve MTW Rent Policy to Enhance Motivations for Work-Able Families to Work. There has been very little positive change in overall employment and earnings for work-able families since HANH's MTW rent simplification model was implemented in 2008. Slightly more than half of work-able families have some earned income.

- Increase minimum rent for work-able families.
  - Some MTW agencies have had success introducing higher minimum rents and/or time limits on subsidies to encourage work-able families to work and become more self-sufficient. HANH's current minimum rent of $50 may not be sufficient to motivate work-able adults to start working.
  - Any new minimum rent could take into account the condition of the local job market, minimum wage, and reasonable weekly work schedule.
- Consider mandatory case management for work-able families.
  - Once the case management structure has been improved (see recommendation #1), HANH should consider requiring an adult from each work-able family to complete an assessment of their needs, short- and long-term goals for becoming self-sufficient, and a budget.
  - Case managers would attempt to address significant barriers to working, such as childcare, foundational job skills, and transportation.
- Revise the hardship application and review process.
  - The composition of the hardship committee could be changed to include non-HANH participants from community nonprofits and other organizations that serve similar clients. This would encourage greater community participation and reduce the administrative burden on HANH staff.
  - Active participation in FSS activities such as classes, follow-through on referrals, etc. should be considered as a key consideration by the hardship committee in its review process.

Raise Awareness of MTW Programs with Clients and Partners. Many of HANH's MTW programs are not being fully utilized by clients or partners. Examples include FSS classes, homeless prevention vouchers, SEHOP capital improvement, and deconcentration.

- Train staff to promote programs with clients.
  - Hold ongoing training sessions with staff to build their awareness of all MTW programs. They understand the unique needs of clients and can promote relevant programs through their direct interactions.
  - Hold open houses for clients, partners, landlords and other stakeholders.
  - Hold open houses with clients and external stakeholders to review all programs and their benefits. Include staff or partners who provide the direct client service as presenters in the sessions.
- Leverage existing resources to promote programs.
  - Promote specific FSS classes (job skills, computer skills, job search, etc.) using posters, pamphlets and other collateral in Public Housing properties and labs.
  - Prominently feature different programs on the home page of the HANH web site.
- Send reminders to those already enrolled in specific programs.
  - Consider using a variety of communication methods (letters, phone calls, emails, text messages) to send reminders to clients who are already enrolled in a specific program (such as SEHOP capital improvement) in order to encourage additional participation.