

HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

2011 MOVING TO WORK ANNUAL PLAN



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I. Introduction

A. Overview of Agency's Goals and Objectives

In 2001, the Housing Authority of the City of New Haven (HANH) was awarded Moving to Work (MTW) status as part of the federal MTW Demonstration Program. HANH is one of over thirty housing authorities nationwide selected for participation in the MTW Demonstration Program. During HANH's MTW term, in lieu of the standard PHA Annual Plan and Five-Year Plan documents, HANH is required to develop and submit to HUD MTW Annual Plans that articulate HANH's key policies, objectives, and strategies for administration of its federal housing programs to most effectively address local needs, in accord with the terms of HANH's MTW Agreement.

This MTW Annual Plan states HANH's MTW goals and objectives, our current status toward achieving these goals and objectives, and our planned activities and objectives for FY 2011 (October 1, 2010 to September 30, 2011).

Congress established the MTW Demonstration Program in 1996. The MTW Demonstration Program is a pilot project that provides greater flexibility to HUD and to MTW PHAs to design and test innovative local approaches for housing assistance programs that more effectively address the housing needs of low income families in our local communities. The purpose of the MTW Program, as established by Congress, is to identify innovative local approaches for providing and administering housing assistance that accomplish 3 primary goals:

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

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

allocate resources according to local determinations of the most effective use of funds in order to address local needs.

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

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

According to the MTW Agreement, HANH's MTW program does *not* include HUD grant funds committed to specific grant purposes, namely: HANH's HOPE VI grants for Monterey Place, HANH's HOPE VI grants for Quinnipiac Terrace/Riverview, any future HOPE VI Revitalization grants and other competitive grant funds awarded for specific purposes. These grant funded programs committed to specific purposes require HANH to provide periodic reports to HUD. Although these grant funded programs are not included in HANH's MTW program, HANH has included information, where relevant, regarding these grant funded programs in this MTW Annual Plan for FY 2011.

HANH's original MTW Agreement with HUD became effective retroactively to October 1, 2000. The initial seven-year term of HANH's MTW status expired on September 30, 2008. HUD proposed a new, revised MTW Agreement that would provide MTW status for 10 years. HANH executed the Amended and Restated Moving to Work Agreement on May 2, 2008. The Amended and Restated MTW Agreement governs HANH's MTW status through 2018. 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 HANH Board of Commissioners approved the Amended and Restated MTW Agreement through Resolution No. 02-22/08-R on February 26, 2008.

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, HANH engaged in a planning process in order to update and reinvigorate our agency's plans. As a result of this planning process, HANH developed a Three-Year Strategic Plan for FYs 2007-2009. This Three Year Plan forms the basis of the agency's long-term planning process. During 2009-2010, HANH again engaged in a planning process to re-evaluate and provide continuity to the original Three-Year Strategic plan. The MTW planning process provides the agency with a mechanism for updating its long-term strategy on an annual basis by enabling HANH to take stock of the progress of its on-going activities and by addressing new concerns by establishing new goals and objectives for FY 2011. The 2011 Annual MTW Plan sets forth a long-term vision for the agency for the next 10 years. The long-term vision for the agency centers on streamlining its processes to become more effective and innovative. The long-term vision also calls for the agency to enhance its efforts to promote the economic self-sufficiency of its residents and to increase the housing choices for them and its program participants, as well. The agency recognizes that its long-term viability rest with the economic well being of its residents and the variety of housing choices that it is able to provide them. The long-term 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.

HANH's 2011 MTW Annual Plan was made available for public review on April 28, 2010 and a public hearing was held on May 26, 2010. On June 15, 2010, the Board of Commissioners passed Resolution #06-113/10-R approving the 2011 MTW Annual Plan.

Amendment #1 to the 2011 MTW Annual Plan was made available for public review on September 14, 2010 and a public hearing was held on September 23, 2010. On November 9, 2010, the Board of Commissioners passed Resolution #11-218/10-S approving the Amendment #1 to the 2011 MTW Annual Plan. This Amendment made clear HANH's intention to apply for HOPE VI Funding during FY 2011 for the redevelopment of Brookside, Rockview and 122 Wilmot Road.

B. Initiatives for FY 2011

During FY 2011 HANH proposes several additional new initiatives designed to increase the efficiency and cost effectiveness of the program, increase

resident/participant self sufficiency and to increase participant's housing choices. HANH proposes the following new initiatives which are more fully described in "Section III: NON-MTW Related Housing Authority Information and Section IV: Proposed MTW Activities":

- *Increase project based voucher cap to 100% in developments that are undergoing voluntary conversion (non MTW- seeking other approvals)*
- *HANH will serve as co-partner in a development deal with local developer to redevelop Dwight St. Cooperative subsequent to HUD foreclosure. HANH will commit 40 project based vouchers to this project in an effort to maintain affordable housing choice*
- *Rockview Phase 3 Rental. HANH's continued efforts to revitalize the West Rock community through redevelopment of the former Brookside and Rockview public housing developments will continue during FY2011 with the Rockview Phase 3 Rental project.*
- *Retain 100% of Savings Achieved through Electric and Gas Generation rate reduction initiative in order to self finance energy conservation measures. HANH negotiated favorable electric generation rates through a competitive procurement. HANH proposes to retain 100% of the savings, escrow this amount and self-finance HANH's energy conservation measures (ECMs) previously identified by HANH's energy audit. (Non-MTW- seeking other approvals)*

C. Ongoing Initiatives

HANH continues to make progress toward the following MTW initiatives:

Increase housing choice:

- Design Guidelines, TDC and HCC Waivers. HANH has implemented its revised design guidelines and will continue to use. TDC and HCC alternatives have been submitted to HUD and approved.
- Inspections. HANH is evaluating the impact of the transition to 20% LIPH unit inspection schedules and alternative HCV unit inspection schedule for high performing landlords.
- HCV Initiatives. During FY08 HANH introduced direct deposit for landlords. We continue to market this service and enroll additional landlords. Additionally, we have introduced a foreclosure protection program and issued our first vouchers under this program during FY10. Activities that support Expanded Choice in Family Moves will continue during FY11. Additionally, HANH has increased its PBV program as outlined in this and previous plans and continues its planned allocation of PBV units during FY11. HANH implemented its Security Deposit Guarantee Program during FY2010.
- LIPH Initiatives. Implementation of the marketing initiatives for Higher Income Eligible families began during FY09 with the development of marketing materials. Outreach will continue during FY11. Additionally the re-entry pilot implementation was delayed, during FY2010 the policies and procedures were established and revisions to the Admission and Continued Occupancy Policies were implemented and now during FY2011 we expect to bring the initial residents into the program.
- Rent simplification. HANH has fully implemented its Rent Simplification initiative and all activities will continue during FY2011.

Increase family self sufficiency

- SEHOP Capital Improvement Program. HANH launched the Capital Improvement Program during FY2010 and will continue this program during FY2011. This program supports new homeowners with necessary capital improvements that arise after being in the home for a minimum of three years.

Cost effective and efficient service delivery

- Rent simplification. HANH's rent simplification program offers a standardized rent tier table with deductions included, alternate year recertifications, alternate year inspections for high performing landlords. Due to Rent Simplification, LIPH and HCV residents are not required to come in for annual recertification interviews on an annual basis. This reduces administrative costs such as staff time and mailings. Customer service is improved for residents who do not have to come in and supply information to HANH annually, unless it is a change initiated by them.
- Revised Inspection protocols for LIPH and HCV units. Alternative HCV unit inspections for high performing landlords reduce the administrative and staff costs for conducting inspections and it provides an incentive for landlords to ensure that the units are up to Housing Quality Standards.
- Local Asset Based Management Program. Under the First Amendment to the MTW Agreement 10-15-08, HANH is permitted to design and implement its own Local Asset Based Management Program so long as the HANH and HUD agree that the principles and understanding outlined in the Amendment are adhered to. HANH developed a program during FYs 2009 and 2010. HANH anticipates continuing this approach during FY 2011.
- Mandatory Direct Deposit. Direct Deposit alleviates the cost to print paper checks and mailing costs associated with them and it guarantees that HAP payments will be electronically deposited a lot quicker than mailing a check to the landlord.

The following projects will continue during FY2011 and require MTW funding flexibility ONLY:

- Broader use of funds authority. 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, HANH has

executed the Second Amendment to its Restated and Amended Moving to Work Agreement with HUD which clarifies such authority.

- Major redevelopment efforts at William T. Rowe; Quinnipiac Terrace III; and West Rock (Brookside, Rockview and 122 Wilmot Road)
- Project Modernization. During FY11 the modernization projects will be completed at McConaughy, McQueeney, Crawford Manor and Ruoppolo Manor.
- Vacancy Reduction. HANH will continue to show improvement from the baseline FY08 vacancy rate of 10%. The FY11 vacancy rate is expected to be 5%.
- Energy Performance Contracting. HANH is in the process of contracting with ESCO to pursue energy saving improvements. HANH expects to execute a contract during FY11 and begin implementation.
- Supportive Services. All planned supportive service initiatives have been implemented and will continue during FY11 including: Resident Services for families, Resident services for Elderly/Disabled, Supportive Services Contracts in E/D buildings, FSS program, Section 3 Employment and Training and SEHOP.
- Deconcentration of Poverty - By providing participants with additional information to aid their housing search in areas of low-poverty, HANH may facilitate participant's expanded housing search. HANH will utilize real estate consultants to assist in the identification of units in areas of low poverty and link participants to these units. During FY 2011, this initiative will continue to be measured by assessing the lease up rates in areas of low poverty.
- Specialized Training Opportunities for HANH's FSS families. HANH provides specialized training in areas where there are employment opportunities such as health care, auto mechanics, retail sales, entry level banking positions and customer service.
- Business Development Support Program – HANH will provide educational, training, financial management and administrative support services to start up and existing resident owned businesses to enhance their internal capacity and ability to compete in competitive procurement. HANH's goal is to create three new businesses during FY 2010.
- Section 3 Employment Initiatives- HANH has partnered with the City of New Haven's Commission on Equal Opportunity (CEO) to offer a construction workforce training program. Residents trained through this program have the opportunity to train under union personnel in the building trades. Students complete the course and practical training and are hired as apprentices and can progress to full union membership. Additionally, students are matched to contractors seeking to fulfill their Section 3 hiring goals. HANH also sponsors a specialized training program that offers training opportunity for residents and participants interested in careers with hiring opportunities.

Finally, this report summarizes the following non-MTW initiatives to be undertaken by HANH during FY2011:

- ARRA Funded Initiatives (CFRC based grants). HANH will utilize its competitive ARRA funds for the Brookside, Quinnipiac Terrace, William T. Rowe redevelopment projects and Ruoppolo Manor UFAS conversions. The use of these funds is included and referenced herein as non-MTW initiatives.
- Property Disposition. HANH anticipates disposition of: 620 Grand Ave. (Warehouse).
- Research and Evaluation. HANH will undertake a research and evaluation study of its MTW program.
- Section Eight Homeownership Program (SEHOP). HANH continues its successful SEHOP program that assists LIPH and HCV residents and participants with achieving their homeownership goals.
- Project based voucher program. HANH will continue to utilize its ability to project base vouchers to support goals of supportive housing, deconcentration of poverty and to support housing choice goals.
- Capital Fund Financing Program. During FY2010, HANH submitted to HUD for review and consensus its proposal for CFFP. During FY2011, HANH intends to move forward with CFFP bond issuance in support of two redevelopment projects: William T. Rowe and West Rock redevelopment (Brookside and Rockview).
- Resident Opportunity and Self Sufficiency (ROSS) Grants. HANH is the recipients of ROSS grants supporting supportive services in our family developments and supporting the Family Self Sufficiency Program.
- Energy Performance Contracting. HANH is in the process of contracting with ESCO to pursue energy saving improvements. HANH expects to execute a contract during FY11 and begin implementation.

II. General Housing Authority Operating Information

A. Who we serve?

HANH serves approximately 4,900 families through its low income public housing and housing choice voucher programs. The vast majority of these families fall in the Extremely Low Income category with 77% of LIPH and 73% of HCV families in this income category. Twenty-eight percent of LIPH families and thirty-six percent of HCV families earn wages. Less than 5% of all families report no income. Eighty percent of households in both programs range from 1 person to 3 person families. The following table summarizes the population demographics.

At baseline, HANH served a total of 4,827 families. Current numbers reflect an increase of 155 families or 2% indicating that HANH is increasing the number of families being served.

HANH Population Demographics					
	LIPH		HCV		Total
Total households	1929	39%	2977	61%	4906
Total individuals	3833	34%	7603	66%	11436
Average income	\$ 14,239.00		\$ 15,554.00		
Average TTP	\$ 306.00		\$ 347.00		
No income	66	3%	136	5%	
Extremely low income	1494	77%	2171	73%	
Very low income	284	15%	562	19%	
Low income	67	3%	201	7%	
Above low income	84	4%	43	1%	
Households with wages	540	28%	1086	36%	
Households with public assistance	93	5%	157	5%	
Households with social security	1029	53%	1169	39%	
Households with other non-wages	208	11%	434	15%	
Minority households	1385	72%	1772	60%	
Non-minority	544	28%	1205	40%	
Elderly families	583	30%	487	16%	
Disabled families	913	47%	1015	34%	
1 member	1006	52%	920	31%	
2 members	382	20%	690	23%	
3 members	278	14%	649	22%	
4 members	148	8%	405	14%	
5 members	73	4%	201	7%	
6 members	28	1%	76	3%	
7 members	8	0%	22	1%	
8+ members	6	0%	14	0%	

B. Housing Stock Information

HANH's LIPH housing stock as of September 30, 2009 of 2,422 units reflects a reduction of more than 500 units since the beginning of HANH's MTW status, when HANH's housing stock included 2,965 total units. The vast majority of this reduction is due to units demolished for redevelopment. However, as indicated above, HANH has continued to serve the same number of eligible families through its LIPH and HCV programs, and additionally has added affordable units through its mixed income developments.

The following table provides actual counts of units for FY2010 and projections for FY2011. HANH has budget authority for 4,379 Housing Choice Vouchers. HANH has leased 3,082 Housing Choice Vouchers. HANH also administers 80 single room occupancy vouchers and 35 Veterans Administration Supportive Housing (VASH) vouchers for a total count of 3,197 vouchers. (The SRO and VASH vouchers are not included in the MTW program).

HANH plans to maintain utilization of HCVs during FY11. A significant portion of the remaining HCV funds will be used towards the construction of new units i.e.101 units at Brookside and 104 units at William T. Rowe creating 205 additional housing units. The table below provides detailed information.

A. Housing Stock Information:	
Number of public housing units at the beginning of the year:	HANH has a public housing stock of 2,422 public housing units. This includes 1,029 site-based family units; 920 Elderly/Disabled units; 289 Elderly only units and 184 Scattered Site units.
General description of any planned significant capital expenditures by development;	<p>HANH anticipates capital expenditures of \$5,495,655 during FY2011. This includes capital fund dollars of \$4,257,000, HCV surplus dollars used via MTW flexibility and ARRA funds.</p> <ul style="list-style-type: none"> • Crawford Manor: completion of façade repair (ARRA formula based stimulus project) Agency wide UFAS conversion (Scattered Sites units are identified for UFAS conversion): \$100,000 • Agency wide Vacancy Reduction (Westville Manor, McConaughy Terrace, Ruoppolo Manor and Valley Townhouses): \$385,000 • McConaughy Terrace Boiler replacement: \$216,000 • McConaughy Terrace interior repairs: \$440,000 • Ruoppolo Manor modernization (window and sliding glass door replacement, and associated hazardous materials abatement): \$960,000 • McQueeney Tower modernization (HVAC replacement 1st through 3rd floors, associated asbestos abatement): \$585,000 • Waverly Townhouse boiler replacement: \$425,000 • Valley Townhouse boiler replacement: \$350,000 • Westville Manor erosion control Phase I: \$211,000 • Robert T. Wolfe (weatherproofing building, UFAS conversion, restoration of masonry and flashing to the exterior of the building, 504 upgrades to common areas): \$1,823,655 <p>Additionally, \$9,245,831 in dollars used fungibly through the MTW program and remaining balance of CFRC funds (\$10 m for William T. Rowe, \$5 m for QT III and \$4 m for Brookside infrastructure) will leverage a total of \$41,306,963 that will be obligated for major redevelopment projects during FY2011. Planned FY2011 expenditures include:</p> <ul style="list-style-type: none"> • Quinnipiac Terrace III: \$2,017,071 • William T. Rowe: \$894,400 • Brookside Homeownership: \$582,000

<p>Description of any new public housing units to be added during the year of development (specifying bedroom size, type, accessible features, if applicable);</p>	<p>No changes.</p>
<p>Number of public housing units to be removed from the inventory during the year by development specifying the justification for the removal.</p>	<p>11 units will be removed at Ruoppolo Manor due to the ARRA funded conversion of 22 existing units to 11 UFAS compliant units.</p> <p>17 units at Valentina Macri are planned for disposition.</p> <p>If any units are vacated at William T. Rowe, they will be removed from inventory in lieu of the major redevelopment underway.</p>
<p>Number of MTW Housing Choice Vouchers (HCV) units authorized;</p>	<p>HANH has budgetary authority for 4,379 housing choice vouchers.</p>
<p>Number of non-MTW HCV units authorized; and</p>	<p>HANH administers 80 Single Room Occupancy vouchers; and 35 VASH vouchers that are not included in the MTW program.</p>
<p>Number of HCV units to be project-based during the Plan year, including description of each separate project.</p>	<p>During FY2011, HANH anticipates issuing a project based voucher RFP yielding an additional 15 project based vouchers and anticipates awarding 6 homeownership vouchers for a total of 389 project based vouchers.</p>

B. Housing Stock Information (cont'd.)

<p>B. Leasing information, Planned – this information is estimated and may be subject to change during the Plan year.</p>	
<p>Anticipated total number of MTW PH units leased in the Plan year;</p>	<p>HANH expects to end FY2010 with an occupancy rate of 95% representing 1870 leased units. HANH plans to maintain that occupancy rate during FY2011.</p>
<p>Anticipated total number of HCV units leased in the Plan year;</p>	<p>HANH expects to end FY2010 with 3,097 leased HCV –MTW units. During FY 2011 HANH will add an additional 15 project based units. HANH anticipates maintaining this lease up rate during FY2011.</p>
<p>Anticipated total number of non-MTW PH units leased in plan year</p>	<p>HANH does not have non-MTW PH units in inventory</p>
<p>Anticipated total number of non-MTW HCV units leased in the Plan year; and</p>	<p>The agency anticipates 100% lease up rate for its 80 non-MTW SRO and 35 VASH vouchers.</p>
<p>Description of anticipated issues relating to any potential difficulties in leasing units (HCV or PH).</p>	<p>Completion of long term capital improvement projects will result in lease up of long vacant units at: Ruoppolo Manor, Essex Townhouses, Robert T. Wolfe, Farnam Courts and Westville Manor.</p> <p>Anticipated lease up difficulties anticipated at Valentina Macri due to capital improvement needs at this poor performing asset.</p> <p>No further lease up anticipated at William T. Rowe due to planned redevelopment that will be completed in FY2012.</p>

C. Waiting List Information	
Description of anticipated changes in waiting lists (site-based, community-wide, HCV, merged); and	HANH does not anticipate changes with its waiting list during FY2011. The accessible unit, Elderly only and Elderly/Disabled waitlists are anticipated to remain open during FY2011.
Description of anticipated changes in the number of families on the waiting list(s) and/or opening and closing of the waiting list(s).	HANH does not anticipate changes to the Accessible, Elderly Only or Elderly/Disabled waiting lists and they will remain open. HANH will monitor the availability of units for the Site-Based Family developments and will open the waiting lists if necessary.

Low income Public Housing

Housing Program & Type	Current	Units to Be Removed During FY 2011	Units to Be Added During FY 2011	Planned FY 2011
Low Income Public Housing				
Site Based Family	1029	0	0	1029
Elderly/Disabled	920	11	0	909
Elderly	289	0	0	289
Scattered Sites	184	0	0	184
Public Housing Subtotal	2,422	-11	0	2,411

HANH was awarded ARRA funds to be used for UFAS conversion at Ruoppolo Manor. HANH will convert all common areas to ADA compliance. Additionally, HANH will convert 22 existing units into 11 UFAS compliant units. This reduction of 11 units is note in the Elderly/Disabled count above.

While HANH is making significant progress on its redevelopment projects, no further expected changes in inventory are anticipated during FY2011.

HANH has requested HUD's approval to remove and to dispose of William T. Rowe as part of a Swap Agreement with Yale New Haven Hospital and as part of a mixed finance proposal. These units will not be removed from the inventory until FY 2012. The reason for the time delay between approval and removal is that the mixed finance plan calls for the new development to be constructed before the residents will be required to relocate.

HANH proposes to add 50 public housing units at Brookside Phase 1 during FY2012. Brookside is a Mixed-Finance Development with a projected completion date of November 30, 2011. Brookside Phase I will yield 101 one to four bedroom units of which 14 are accessible. The development consists of a mixture of flat and townhouse style buildings. The accessible unit breakdown is as follows: (6) one bedroom, (4) two bedrooms, (3) three bedrooms, (1) four bedrooms. Some accessible features are flush door transitions, accessible turning radiuses, accessible work spaces, lower vanity and kitchen counters.

Housing Choice Voucher Program

Housing Program & Type	Current	Units to Be Removed During FY 2011	Units to Be Added During FY 2011	Planned FY 2011
Housing Choice Voucher				
Project Based Vouchers				
Foreclosure (PBV RFP)	25			25
PBV Fellowship I	18			18
PBV Fellowship II	5			5
PBV Also Cornerstone	6			6
PBV Norton Court	10			10
PBV QT Phase 1	23			23
PBV QT Phase 2	23			23
Park Ridge	60			60
Eastview	49			49
West Village	15			15
Casa Otonal	12			12
Mutual Housing Existing	10			10
CUHO Existing	18			18
Frank Nasti Existing	11			11
Shartenburg	20			20
CUHO New Construction	8		0	8
Dwight St. Cooperative redevelopment	40		0	40
2010 PBV RFP award	15			15
2011 PBV RFP award			15	15
2011 Brookside Homeownership			6	6
PBV Subtotal	368		+21	389
Tenant Based Vouchers				
Tenant Based Vouchers	2669			2669
Tenant Based DHMAS Supportive	20			20
Foreclosure (tenant based)	25			25
TENANT BASED VOUCHERS SUBTOTAL	2714			2714
HCV MTW SUBTOTAL	3082		+21	3103
Non-MTW – VASH	35			35
Non-MTW – SRO	80			80
NON-MTW SUBTOTAL	115			115
Housing Choice Voucher Subtotal	3197		+21	3218
HANH Total	5619		+21	5629

HANH anticipates issuing an RFP for 15 additional project based vouchers during FY2011. HANH anticipates completion and sale of the first 6 subsidized homeownership units at Brookside resulting in utilization of 6 additional vouchers.

HANH proposes to maintain the current utilization rate for tenant based vouchers by maintaining a 1 to 1 ratio of end of participations to new lease ups during FY2011.

HANH projects that it will enter into a HAP contract for 32 PBV units at Rowe in FY 2012. Construction completion is expected November 2011.

HANH expects to enter into a HAP contract for 16 units at Quinpiac Terrace Phase 3 in FY 2012. Construction completion is expected in November 2011.

Supportive Housing

HANH provides project based voucher support for community based supportive housing programs.

Housing Choice Voucher Program-Supportive Housing

Number of Units	Units of Supportive Housing	Description
18	Fellowship I	13 SRO
		1 Handicapped Efficiency Apt
		2 unit with 1 bedroom
		2 units with 2 bedroom
5	Fellowship II	2 units are 1 bedroom
		3 units are 2 bedrooms
10	Norton Court- Also Cornerstone	All units are 1 bedroom
6	Also Cornerstone	2 units are 2 bedroom
		4 units are 3 bedroom
20	DMHAS Intensive Case Management	
TOTAL 59		

Non-MTW Voucher utilization

Number of Units	SRO Moderate Rehab Program	Description
80 ¹	52 Howe Street	<p>All units are single room dwellings 80 of 80 units are leased</p>
35	VASH	<p>Vouchers for veterans supportive housing program</p>

Single Room Occupancy (SRO)

The Single Room Occupancy Program provides rental assistance for homeless individuals. HANH currently has 80 vouchers issued to 52 Howe Street who also provides rehabilitation services specific to the residents needs. Currently there are less than 10 individuals on this wait list. All units are leased.

Veterans Administration Supportive Housing. HANH receives \$355,357 to administer 35 VASH vouchers. All are anticipated to remain leased during FY2011.

¹ Please note: SRO and VASH vouchers are not included in HANH's MTW program.

C. Lease Up Information

Low Income Public Housing (LIPH)

Description of Development	Total LIPH Units	Total LIPH Units Available for Lease	Current units leased	Anticipated to be Leased	Anticipated Issues in Leasing Units
ELDERLY ONLY					
Katherine Harvey Terrace	9	8	8	0	No anticipated Issues. Fully occupied.
Newhall Gardens	16	16	16	0	No anticipated issues.
Prescott Bush	50	50	50	0	No anticipated issues. Fully occupied.
Constance Baker Motley	17	16	16	0	No anticipated issues.
Edith Johnson Towers	96	96	96	0	No anticipated issues.
William Griffin	4	4	4	0	No anticipated issues.
Monterey 3	45	45	45	0	No anticipated issues.
	237	235	235	0	
SITE BASED FAMILY					
Farnam Courts	240	236	236	0	No anticipated issues
County & Henry Streets	7	6	6	0	No anticipated issues.
Essex Townhouses	35	34	34	0	No anticipated issues
Valley Townhouses	40	39	39	0	No anticipated issues.
Waverly Townhouses	52	49	49	0	No anticipated issues.
McConaughy Terrace	201	190	190	0	No anticipated issues
Westville Manor	151	145	140	5	Leasing up long term vacancies. Complete Capital improvement projects. Improve marketing of the development to be addressed through new proposed MTW marketing initiative.
Monterey I	42	42	42	0	No anticipated issues
Monterey 2	7	7	7	0	No anticipated issues
Monterey 4	42	42	42	0	No anticipated issues
Monterey 5	17	17	17	0	No anticipated issues
Monterey Place Phase 2R	28	28	28	0	No anticipated issues
Quinnipiac Terrace	58	58	58	0	No anticipated issues
Quinnipiac Terrace Phase 2	56	56	56	0	No anticipated issues

Eastview Terrace	53	53	53	0	No anticipated issues
Description of Development	Total LIPH Units	Total LIPH Units Available for Lease	Current units leased	Anticipated to be Leased	Anticipated Issues in Leasing Units
	1029	1002	997	5	

Description of Development	Total LIPH Units	Total LIPH Units Available for Lease	Current units leased	Anticipated to be Leased	Anticipated Issues in Leasing Units
ELDERLY/DISABLED					
Winslow Celentano	65	63	63	0	Leasing up long term vacancies. Complete capital improvement projects
George Crawford Manor	109	107	104	3	Units pending HUD off-line approval for Supportive Services offices.
Abraham Ribicoff Cottages and Abraham Ribicoff Cottages Extension	100	92	76	16	Capital improvement projects
Robert T. Wolfe	93	84	72	12	Leasing up long term vacancies. Complete capital improvement projects
Valentina Macri Court	17	17	14	3	Capital improvement project/Possible disposition
Charles T. McQueeney	150	139	139	0	No anticipated issues.
Matthew Ruoppolo Manor	105	105	105	0	No anticipated issues
William T. Rowe	172	50	50	0	Redevelopment underway.
Fairmont Heights	98	95	95	0	No anticipated issues.
Katherine Harvey Terrace UFAS	8	8	8	0	No anticipated issues
Newhall Gardens UFAS	10	10	10	0	Capital improvement project to be completed in FY2011.
Constance B. Motley UFAS	28	28	28	0	No anticipated issues
Prescott Bush UFAS	6	6	6	0	No anticipated issues
	961	804	770	34	
SCATTERED SITE	184	183	183	0	No anticipated issues
GRAND TOTAL	2411	2224	2185	39	

MTW Project Based Housing Choice Voucher Lease Up Information

	Current Number of MTW Housing Choice Vouchers (HCV)	Units removed during FY2011	Units added during FY2011	Anticipated Issues in Leasing Units
	4,379			HANH anticipates challenges related to identifying accessible units and units in non-impacted areas.
Foreclosure Protection program	25	0	0	No anticipated issues
Fellowship I 13 SRO 1 Handicapped Efficiency Apt 2 units with 1 Bedroom 2 units with 2 bedrooms	18	0	0	No anticipated issues
Fellowship II 2 units are 1 bedroom 3 units are 2 bedroom	5	0	0	No anticipated issues
Also Corner Stone 2 units are 2 bedroom 4 units are 3 bedroom	6	0	0	No anticipated issues
Norton Court All units are 1 bedroom	10	0	0	No anticipated issues
Quinnipiac I	23	0	0	No anticipated issues
Quinnipiac II 18 units are 2 bedrooms, 3 units are 3 bedrooms, 2 units are 4 bedrooms	23	0	0	No anticipated issues
Park Ridge All 60 units are 1 bedroom for Elderly or Disable	60	0	0	No anticipated issues
Eastview Terrace 1 unit is 1 bedroom 10 units are 2 bedrooms 31 units are 3 bedrooms 7 units are 4 bedroom	49	0	0	No anticipated issues .
West Village	15	0		
RFP for PBV ²	74	0	0	No anticipated issues
Shartenberg	20	0	20	Construction completion on

² Includes: Casa Otonal (12 units); Mutual Housing (10); CUHO (18); Frank Nasti (11); CUHO (8); and 2010 PBV RFP

				schedule
Dwight Street Cooperative Redevelopment	40	0	40	No anticipated issues
2011 RFP for PBV			15	No anticipated issues
PBV SUBTOTAL	368	0	+15	

MTW Tenant Based Housing Choice Voucher Lease Up Information

Description of Tenant Based Voucher	Current Number of Tenant Based Housing Choice Vouchers (HCV)	Units removed	Units to be added	Anticipated Issues in Leasing Units
Foreclosure Protection	25	0	0	No anticipated issues
DHMAS Supportive Housing	20	0	0	No anticipated issues
Tenant Based Vouchers	2669	0	0	No anticipated issues
TENANT BASED SUBTOTAL	2714	0	0	
TOTAL MTW HOUSING CHOICE VOUCHERS	3,082	0	0	
FY 2010 Utilization	Total MTW Budget Authority	Net changes during FY2011	Anticipated Lease Ups FY2011	
3,082	4,379	15	3,097	

D. Waiting List Information

NOTE THAT THE WAIT LIST DATA PROVIDED INCLUDES DUPLICATION OF INDIVIDUALS WHO ARE ABLE TO APPLY FOR MULTIPLE SITE BASED LISTS. CURRENTLY THE WAIT LIST HAS APPROXIMATELY 8,200 APPLICATIONS ON VARIOUS LISTS. THE ACTUAL INDIVIDUAL/FAMILY APPLICANT WITHOUT DUPLICATION IS APPROXIMATELY 3,400.

(1) HANH's Waiting Lists

HANH maintains the following categories of waiting lists for admission to its Public Housing and Section 8 (HCV) programs:

Public Housing Accessible Units

- This waiting list remains open for applications, and HANH does not anticipate it closing during FY 2011. HANH maintains a separate waiting list for admission to its accessible public housing apartments. This waiting list is not site based and applicants will be offered an accessible unit as it becomes available in any development in the agency. It has been HANH's practice to keep this waiting list open, given the significant housing needs of persons who require accessible housing. To ensure that persons who need accessible units are aware that HANH has a separate waiting list for Accessible units, HANH will conduct affirmative marketing to inform eligible households of the availability of these units, HANH will market these units by placing advertisements in local newspapers and by working with the disability advocates, tenant resident leaders, community groups and other interested parties. Fifty-two units in the five partially elderly designated developments meet Uniform Federal Accessibility Standards and remain available to both elderly and non-elderly disabled persons needing accessible units. Priority for these 52 units shall be given to persons that are mobility impaired. Currently the wait list has approximately 72 individuals/families. HANH has made a strong commitment to monitor and house individuals with accessible needs and is evaluating current housing stock to assess opportunities to provide additional units.

Public Housing Site-Based Family Waiting Lists

Currently these site based wait lists have approximately 5,000 applicants. All lists are presently closed. HANH maintains site-based waiting lists for its Sited-Based Family public housing. Site- Based Family housing is open to any qualifying family who meets standard eligibility criteria, including income eligibility. HANH's Site-Based Family housing is predominantly composed of apartments with 2 or more bedrooms, and predominantly serves families with children or other larger households. HANH's Site-Based Family waiting lists are presently closed and they have been closed since 2007. However, from April 2008 to June 2008 HANH opened five (5) site based waiting lists for 4 and 5 bedroom units only. The developments were Farnam Courts, Essex Townhouses, Valley Townhouses, Waverly Townhouses and Westville Manor. During FY2010 HANH opened selected waitlist on January 25, 2010 and they remain open. These lists included: 4 and 5 bedroom units agency-wide and 3 bedroom at Farnam Court.

Public Housing Elderly/Disabled Site-Based

Waiting Lists

- All lists are presently open. HANH maintains site-based waiting lists for its Elderly/Disabled public housing. Eligibility for Elderly/Disabled housing is limited to persons who are elderly (age 62+) or persons with disabilities. HANH's Elderly/Disabled housing is predominantly composed of efficiency and one-bedroom apartments, and predominantly serves single-person households or couples. There are a small number of two-bedroom apartments which predominantly serve persons requiring live-in aides. The Elderly/Disabled waiting lists have remained open for several years, and continue to remain open at present. The Elderly/Disabled waiting list was last purged in December 2007. **Currently** the Elderly/Disabled site based wait list has approximately 2,300 applicants.

Public Housing Elderly-Designated Site-Based

Waiting Lists

- All lists are presently open. HANH maintains site-based waiting lists for its elderly only designated public housing. The four (4) site-based elderly only waiting lists are Constance B. Motley, Katherine Harvey Terrace, Newhall Gardens and Prescott Bush. Eligibility for elderly designated housing is limited to persons who are elderly (age 62+). When there are insufficient senior families, near-elderly families will be admitted to designated properties. Because of the bedroom size of apartments (predominantly efficiencies and one-bedrooms), HANH's elderly-designated housing predominantly serves single persons and couples. These four (4) site based waiting lists are currently open for applications, and HANH does not anticipate that they will close during FY 2011. HANH has conducted a purge of the waiting list in December 2009. Currently the elderly designated wait list has approximately 175 applicants

Public Housing Supportive Housing Programs

- HANH has developed supportive housing programs on-site in three of its Elderly/Disabled developments and maintains separate site-based waiting lists for new admissions to its public housing supportive housing programs. Eligibility for HANH's supportive housing programs is limited to persons with disabilities who elect to, and are eligible to receive the supportive services provided by the supportive housing program. The supportive housing program waiting lists are presently open, and

HANH does not anticipate that they will close during FY 2011. (Applicants who do not elect to, or are not eligible to, receive the supportive services may apply for housing at these and any other Elderly/Disabled sites through HANH's site-based Elderly/Disabled waiting lists.) Because of the significant number of residents and applicants with behavioral health disabilities, HANH intends to expand its supportive housing programs to additional Elderly/Disabled developments. HANH will establish additional program-specific supportive housing waiting lists for new admissions as additional supportive housing programs are established. More detailed information about HANH's public housing supportive housing programs is provided in this MTW Annual Plan section on Resident Programs. Currently the supportive housing wait list has less than 10 applicants.

HANH anticipates that these waitlist numbers will decrease as HANH's vacant units are returned on line due to vacancy reduction initiatives described in later sections. Utilizing these funds, HANH will bring 84 units that were currently off line to active status. It is anticipated that these units will be available for lease up March, 2011.

Section 8 (HCV) Tenant-Based and Project Based Assistance

- HANH maintains a single waiting list for all applicants for tenant-based and project based voucher assistance. HANH's Section 8 (HCV) wait list is presently closed. HANH last purged the tenant based wait list on September 12, 2008. HANH does not anticipate that we will re-open this waiting list during FY 2010. Currently there are 485 applicants on the waitlist.

Section 8 (HCV) Project-Based Supportive Housing Programs.

- HANH has committed project-based Section 8 (HCV) assistance for several supportive housing programs. HANH maintains separate waiting list for each project-based supportive housing program. The project wait list was purged on December 3, 2007. These waiting lists are presently open, and HANH does not anticipate that they will close during FY 2011. Currently there are 3 applicants on the wait list.

Section 8 (HCV) Project-Based SROs

- HANH currently provides 80 vouchers and are all currently utilized.

With the exception of the Section 8 (HCV) tenant-based waiting list, all other HANH waiting lists are maintained in order by the date and time the application was received by HANH. Waiting lists may be further organized by housing type, site, and bedroom size for which the family is eligible.

The Section 8 (HCV) tenant-based waiting list is maintained according to an order previously determined by lottery.

(2) Site-Based Waiting List Procedures

HANH has established site-based waiting lists for all of its public housing developments. Under HANH's site-based waiting list procedures, a family seeking HANH public housing assistance may apply for housing at any HANH developments in which they would wish to live and for which they are eligible. When an apartment becomes available at a HANH public housing development, the apartment will be offered to the first eligible family on the waiting list for that site and requiring the appropriate bedroom size.

HUD regulations permit housing authorities to implement site-based waiting lists, in order to promote family choice of housing, provided that the housing authorities ensure that their site-based waiting lists procedures are implemented in full compliance with civil rights laws and obligations. This includes an analysis of changes in the race and ethnicity demographics of residents.

(3) Preferences

For its public housing program, HANH provides the following preferences for admission. Families are offered housing based upon income tiers consistent with Federal law. 40% of new admissions are families with incomes between 0 and 30% of AMI; 60% of admissions are for families with incomes between 31% and 80% of AMI. Applications are sorted within income tiers by wait list position. Ranking preferences are applied to persons displaced by government action and to documented victims of domestic violence. Additionally, HANH has a preference for elderly in the elderly designated units in the Elderly designated buildings. Finally, HANH includes a preference for families in need of supportive services for mental health and addiction services in its LIPH supportive housing program.

For its Section 8 (HCV) program, HANH's Administrative Plan includes a "singles preference" that provides preference for elderly persons and persons with disabilities to receive preference before other single-person applicants who are neither elderly nor disabled. Additionally, the HCV waitlist includes the above referenced preferences for families displaced by government action and documented victims of domestic violence. Preference is given to families who require the supportive services provided for mental health and addiction services for the supportive housing voucher program.

HANH includes in its Administrative Plan, fifty (50) Special Admissions vouchers for families who are enrolled in the FSS Homeownership Program.

HANH will set aside twenty-three (23) Special Admissions vouchers for homeless families. This is separate and distinct from the foreclosure protection vouchers.

HANH will set aside fifty (50) vouchers for families displaced due to foreclosure measures.

(4) Admission to Cisneros Scattered Site Public Housing

HANH owns 184 scattered site units developed under a *CCA v. Cisneros* Settlement Agreement. Admission to HANH's *Cisneros* scattered site public housing units is limited to transfers of current public housing residents. Participants in HANH's Family Self-Sufficiency Program receive preference for admission to scattered site units.

(5) Admissions Policies for Mixed Finance Developments

HANH's public housing portfolio presently includes three mixed finance HOPE VI developments: Monterey Place, Eastview Terrace and Quinpiac Terrace. The housing in both developments is owned and managed by private companies, according to management agreements, which have established their own policies for admissions and occupancy, according to the following guidelines:

The management agent of the mixed finance development must establish written policies for admissions and occupancy.

The admissions and occupancy policies for the mixed finance development must be submitted to, and approved by, HANH.

The admissions and occupancy policies for the mixed finance development must comply with HUD regulations and federal fair housing and civil rights requirements.

In addition, HANH has engaged in mixed finance redevelopment of its Rockview, Brookside, and William T. Rowe public housing developments. As part of mixed finance redevelopment, HANH or its agents may establish admissions and occupancy policies for these mixed finance developments, according to the same guidelines stated above.



William T. Rowe



Rendering of New William T. Rowe

III. Non-MTW Related Housing Authority Information

Planned Uses of other HUD or Federal Funds

HANH receives the following sources of funds that are not included in the MTW block grant funding: ARRA formula based funds, ARRA CFRC competitive grant awards and ROSS grants. The uses of these funds are detailed below.

- **ARRA funded projects- CFRC competitive grants**
 - **Ruoppolo Manor – awarded \$2,476,400 for UFAS conversion in common areas and units.** This project was initiated during FY 2010 and will be completed during FY2011. 22 units will be converted to 11 UFAS compliant units. Common area upgrades will be completed creating 504 compliant common areas.
 - **Quinnipiac Terrace III- awarded \$5,000,000 for Phase III of the redevelopment of this development.** Construction of Phase III of the redevelopment of Quinnipiac Terrace was initiated during FY2011 with a groundbreaking occurring in September 2010. Construction will be completed during FY2012.
 - **William T. Rowe- awarded \$10,000,000 for redevelopment of this development.** Construction of the redevelopment of William T. Rowe was initiated during FY2011 with a groundbreaking occurring in September 2010. Construction will be completed during FY2012.
 - **Brookside Infrastructure- awarded \$4,733,966 for infrastructure improvements related to the redevelopment of Brookside and Rockview (West Rock).** Construction of the infrastructure related to Phase I, II and Homeownership will be completed during FY 2011.
- **ARRA –Formula based.** HANH expended the majority of its formula based funds during FY2010. The remaining stimulus based project- replacing the façade at Crawford Manor –(budgeted at \$1,886,000) is underway. The remaining \$800,000 will be spent during FY2011.
- **Resident Opportunity and Self-Sufficiency (ROSS) grants** - HANH is the recipient of the following ROSS grants used for resident support services in family developments and elderly/disabled developments:
 - HANH received a grant of \$348, 223 for our family developments
 - HANH received a grant in the amount of \$58,000 for the position of FSS Coordinator
 - HANH was awarded a ROSS grant during FY2010 in the amount of \$720,000 to fund three Resident Services Coordinators in HANH's Family and Senior/Disabled developments.

Discussion of Non-MTW Activities Proposed by Agency

Non-MTW Initiatives. During FY2011, HANH is pursuing the following non-MTW related initiatives. Separate approvals will be sought where necessary.

- **Section Eight Homeownership Program.** HANH expanded its capacity to serve 150 total families in its Home Ownership Program. Each family may participate for up to 5 years and during their program enrollment, any incremental rent increases due to increased earned income are saved in escrow, on behalf of the family, which the family may use upon graduation for approved self-sufficiency purposes.
To date, 25 Residents have purchased homes. During 2011, we expect additional 5 residents to purchase homes.
- **Property Dispositions.** *HANH intends to dispose of the following properties during FY2011:*
 - **620 Grand Ave. (Warehouse) Disposition**
 - With the transition to HUD's Asset Management Model, HANH believes that maintenance of a large centralized warehouse may present management problems for project-based management, and may prove

to be unaffordable. HANH plans to dispose of its warehouse. Disposition of warehouse was begun in 2008 with efforts to negotiate the sale of this property. During FY 2009 a buyer was secured but as the closing date neared the buyer decided to attempt re-negotiations with HANH. The re-negotiated purchase price was not favorable to HANH and HANH will be placing the asset back on the real estate market. Disposition of the warehouse will result in reduced operating costs and added revenue from the sale.

- ***William T. Rowe Disposition***

- During FY 2010, HANH began construction on the new William T. Rowe which is scheduled to be completed during FY2012. At that time, HANH will dispose of the existing William T. Rowe for mixed finance redevelopment purposes. The Authority obtained approval to dispose of Rowe to Yale-New Haven Hospital via fee simple transfer as part of a Swap Agreement with the Hospital. The property will not, however, be disposed of until FY 2012. HUD approved disposition in 2010, therefore, as units become vacant HANH will remove them from our inventory. We expect that 132 units will be vacant by the end of 2011.

- ***Capital Fund Financing Program.***

- Section 9 (d) of the Act authorizes PHAs to use their Capital Fund Program to finance the development or renovation of public housing. Section 9 (1) (I) of the Act authorizes PHAs to use operating funds to pay debt service. Section 30 of the Act, subject to HUD approval, allows PHAs to mortgage their properties to secure financing. The regulatory guidance for using Capital Fund Program funds to repay debt is set forth in 24 CFR Part 905. In general a PHA may pledge up to 33 percent of its CFP funds and 50 percent (but use up to 100 percent) of its RHF to pay debt service. The regulatory guidance for Operating Funds to repay debt is set forth in 24 CFR Part 990.400. Under 990.400 PHAs are permitted to pledge cash flow in from a project in excess of three months to pay debt service. Since HANH is an MTW agency that uses its Capital, Operating and Housing Choice Vouchers funds for any of the purposes under any of these programs, HANH proposed to use and pledge its excess HCV funds to pay debt service for the redevelopment of Brookside, Rockview, William T. Rowe and 122 Wilmot Road pursuant to 24 CFR part 990.400, HANH proposed to use excess cash flow from its Operating and HCV program that exceeds three months operating expenses.
- The CFFP plan was submitted to HUD for review and consensus could not be obtained regarding use of the HCV excess funds for this purpose. HANH reconsidered and has developed an alternative plan that is more consistent with traditional CFFP applications. This plan has been submitted to HUD for approval. HANH pledged its CFP and RHF funds with no pledge of HCV funds. As such, HANH's bonding capacity was reduced and HANH no longer anticipates funding 122 Wilmot Road development with the proceeds of the CFFP.
- HANH was reviewed and rated by Standard and Poors and received a AA- rating. Bond documents have been developed.
- As redesigned, proposal no longer requires MTW flexibility and is therefore reported on in in Section III. Non MTW Related Activities.

- ***Research and Evaluation.*** During FY2010, HANH conducted a competitive procurement to obtain a consultant for evaluation services to determine the effectiveness of HANH's MTW Initiatives. HANH selected a vendor and began statistical analysis and documentation of its initiatives. During FY11, HANH will continue this partnership and begin to document the results in presentations at conferences, papers and articles.

- ***Project Based Voucher Program.*** In its Administrative Plan, HANH has established site and neighborhood standards to ensure that HANH's project based voucher program promotes statutory and local goals of deconcentrating poverty and expanding housing and economic opportunities. HANH has set forth its PBV Goals in the Administrative Plan and has determined that the use of PBV's shall serve to "increase housing choice for low income families". HANH's existing project based vouchers program i.e. Fellowship Place, ALSO Cornerstone and Continuum of Care and Park Ridge Associates, was expanded in FY09 through the competitive award and the completion of Eastview Terrace which includes PBV. Of those awarded, contracts and lease up occurred during FY09 and FY10. Additional PBV lease ups anticipated during FY11 are those related to Brookside Phase I and Homeownership.

- *Amend Legacy Attachment to Allow 100 Percent Project Based Units in Case of Voluntary Conversion:*

Section 22 of the Housing Act of 1937 allows PHAs to convert any public housing development to tenant based assistance based on the requirements set forth in this Section. Under Attachment D, HANH is allowed to request community-specific authorization upon review by HUD or as a result of public comments and the public process. HANH has completed a Project Needs Assessment of its entire portfolio. The PNA shows that over the next 20 years that HANH's needs will 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). Therefore, HANH will pursue an Amendment to its Attachment D to modify Section 22 of the Act to allow the Agency to voluntarily convert certain public housing developments to Project Based Assistance rather than to tenant based assistance as currently allowed.

HANH will pursue a waiver of 22(b)(2) regarding the timing of the analysis and the timing of conversion. HANH will conduct a new analysis in accordance of Section 22. In addition, HANH seeks to waive Section 22(d) as it does not wish to convert to tenant based assistance but rather seeks to convert to project based assistance. HANH also seeks to waive the requirement of one-year tenancy which will allow participants greater flexibility in housing options.

Attachment C. Section D. (e) authorizes 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 where project base units are needed to ensure viability of mixed finance projects, 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. HANH now seeks authorization to Project Based up to 100% of the units in a public housing development that is voluntarily converted to PBV under this initiative.

- *HANH to Retain 100% of Savings Achieved through Electricity Generation Rate Reduction Initiative in order to Self Finance Energy Conservation Measures:*

HANH has strategically procured a generation rate reduction of electricity and natural gas commodities in a deregulated market to support its efforts in the energy conservation. HANH successfully obtained a rate reduction through a competitive procurement process which has developed a reduction in its energy operating expenditures. Under current program regulations, HANH may propose to retain 50% of the savings obtained. Using MTW flexibility, HANH proposes to retain 100% of the savings generated. HANH will place 100% of the savings into an escrow account which will be utilized to self finance energy conservation measures. Proposed ECMs have been identified by an energy audit that HANH had completed by an energy consulting firm, AMERESCO. Retaining the savings and investing in ECMs would greatly assist HANH is achieving its energy interests and goals and reduce overall operating costs.

IV. Long-Term MTW Planning

MTW Goal	Description of Long Term (10 Years) Strategic Plan
<p>1. Reduce cost and achieve greater cost effectiveness in Federal expenditure.</p>	<ul style="list-style-type: none"> • Streamline administrative functions in LIPH and HCV program operations through transition to paperless systems and electronic files. • Continued process 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.
<p>2. Give incentives to families with children whose heads of household are either working, seeking work or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self sufficient</p>	<ul style="list-style-type: none"> • 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. • Create linkages with local school system to support children’s academic progress and attainment.
<p>3. Increase housing choices for low income families</p>	<ul style="list-style-type: none"> • Complete final revitalization effort of HANH’s LIPH housing stock through revitalization/redevelopment or disposition of remaining poor performing assets , e.g., Valentina Macri and Ribicoff Cottages and Extension. • 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

MTW Goal	Description of Long Term (10 Years) Strategic Plan
	through use of housing choice vouchers to create mixed income, mixed finance viable housing opportunities for participants.

V. Proposed MTW Activities

All of HANH's Proposed MTW Initiatives for FY2011 relate to Improving Housing Choice.

1. *Preserving Affordable Housing through Rehabilitation of Dwight Cooperative:*

For the purpose of preventing the loss of affordable housing, the Authority will partner with a local non-profit organization to rehabilitate an 80-unit HUD foreclosed property into a mixed income development. HANH will serve as co-partner and will allocate up to 40 project based vouchers. The Dwight Cooperative has been foreclosed on by the U.S. Department of Housing and Urban Development and the City of New Haven is in process of obtaining approval from the agency to dispose of the property to the an affiliate of the First National Development, LLC. The First National Development, or an affiliate thereof, will redevelop the development as an 80 unit mixed income development at a cost of about \$10.5 million, with up to \$1.0 million of these funds being provided by the City of New Haven to help ensure long-term affordability and feasibility.

Up to 40 of the 80 units will be affordable to families with income at or below 60 percent of area median income. To ensure the long-term viability of these units the City and the developer have requested that HANH provide up to 40 project based vouchers, of which up to 15 percent may be used to assist families between 50 and 60 percent of AMI. Under Attachment C (D)(7) of its MTW agreement HANH may project base such owned units.

Towards meeting the objectives of Attachment C (D)(7), HANH, through an affiliate of will have an ownership interest in the ownership entity, thereby enabling the agency to provide Project Based Assistance to the development to help ensure long-term affordability. HANH would also serve as a consultant and provide relocation services earning revenue of \$1,200 per household.

B. MTW Statutory Objective	Section 204(a) of the 1996 Appropriations Act 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 increases housing choices for low-income families.
C. Anticipated Impacts	Using the Agency's authority to project base more than 25 percent of the units in a development will help to increase the supply of affordable housing in areas that promote de-concentration of poverty, provide housing in areas that are accessible to employment, schools, shopping and transportation, and help promote investments in areas where other significant investments are being made. Increasing the cap will also increase the number of affordable units by increasing the amount of private debt a project can afford to pay.
D. Baseline & Benchmarks	The metrics for increasing housing choices are as follows: <ul style="list-style-type: none"> • number of units developed and preserved for extremely low, very low and low-income families <p>Baseline data for comparison:</p> <ul style="list-style-type: none"> • 40 units occupied by extremely low; very low and low income families
E. Data Collection on metrics & protocols	. Unit breakdown data will come from project development pro forma.
F. Authorization Cited	Section D.1.e and D.7 of Attachment C authorizes the Agency to set its own limit in spite of the 25 percent cap under Section 8(o) (13) of the Act.
G. Hardship Policy, if rent reform	<i>N/A</i>
H. Implementation Plan	HUD subsidy layering by October 1, 2010 Obtain financing by October 2010 Close by June 2011 Begin construction by July 15, 2011

2. *Rockview Phase 3 Rental:*

HANH is in the midst of a redevelopment of the West Rock neighborhood which includes two former public housing

developments- Brookside and Rockview. During FY2009 and 2010 HANH initiated the following phases: Brookside I rental, Brookside II rental and Brookside Homeownership. During FY2011, HANH plans to commence Rockview Phase 3 rental. The Revitalization Plan calls for HANH to provide 77 units of housing as Phase 3 of the overall West Rock Revitalization Plan. Ten percent of these units will be UFAS compliant. Units will be town-house type development. Construction of these units will provide employment and contracting opportunities for Section 3 employers.

HANH seeks HOPE VI funding for this development and plans to submit a HOPE VI application during FY2011.

B. MTW Statutory Objective	Section 204(a) of the 1996 Appropriations Act 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 increase housing choices for low-income families.
C. Anticipated Impacts	The impact of the completed project shall promote housing choice for low income families by reducing density therefore improving the quality of housing and making the development more marketable to low income families.
D. Baseline & Benchmarks	The metrics for providing increased housing choices for low income families are as follows: <ul style="list-style-type: none"> • number of units developed for extremely low; very low and low income families; • At baseline, no units exist
E. Data Collection on metrics & protocols	. Unit breakdown data will come from project development pro forma.
F. Authorization Cited	Attachment C.B.1 .b.ii permits HANH to commingle any of its Section 8(o), Section 9(d) and Section 9(e) to use for any of the purposes under any of these statutes.
G. Hardship Policy, if rent reform	N/A
H. Implementation Plan	<p>Approval of Legacy Amendment in June 2010</p> <p>Obtain financing by October 2011</p> <p>Close by June 2012</p> <p>Begin construction by July 15, 2012</p>

VI. On-Going MTW Activities

Increased Housing Choice

1.1 Development of Commercial Property at 122 Wilmot: Implemented FY2010

The Authority has purchased a site at 122 Wilmot that is slightly more than one acre. The site had a deteriorated structure that was approximately 15,000 square feet. The structure has been demolished. The Authority plans to redevelop the site as a mixed use facility with 11,000 square feet of commercial and community space and between 37 and 47 units of housing with supportive services to allow elderly persons to age in place. The agency contemplates financing a portion of the cost of this project using an accumulation of Replacement Housing Funds to leverage other funds or using these funds under the Capital Fund Financing Program (CFFP). This initiative will develop quality affordable housing for seniors with supportive services and will develop commercial space providing much needed amenities for the community and job opportunities in a remote area of the City that services four public housing developments.

B. MTW Statutory Objective	Section 204(a) of the 1996 Appropriations Act 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 increase housing choices for low-income families.
C. Anticipated Impacts	The housing part of the development will increase quality housing opportunities for low income families as well as provide the supportive services that will enable them to live independently; while the retail portion of project will provide employment for area residents and an opportunity for residents to start resident owned businesses and provide needed community amenities in an isolated part of the City.
D. Baseline & Benchmarks	Increased housing choice will be measured by number of units developed. At baseline, no units exist. Quality housing will be assessed by vacancy rate and turnover rate. No housing currently exists at this site so there is no baseline data. Goal is a vacancy rate of less than 3 %.
E. Data Collection on metrics & protocols	HANH will measure number of units created. Units created will be tracked through Project Development pro forma.
F. Authorization Cited	Section C.14. authorizes the Agency to enter into commercial business ventures to promote its neighborhood stabilization goals. Attachment C. Section B.b.ii authorizes the Agency to use its flexibility to use it Section 8(o) funds to develop assisted living and commercial facilities, including the acquisition of property.
G. Hardship Policy, if rent reform	N/A
H. Implementation Plan	Development Proposal Submission – 12/30/2009 Closing - 03/30/2010 Construction Start - 04/01/2010 Construction Completion - 10/01/2011

1.2 *Implement Local Total Development Cost (TDC) Limits:* **Implemented during FY2010**

HANH has determined that HUD's standard TDC limits do not reflect the local marketplace conditions for development and redevelopment activities. HUD's TDC cost limits reflect industry average with the quality of products being specified as average or good. HANH has identified the need to specify products that are of a higher level of quality so that it can reduce maintenance cost, increase durability and enhance the quality of life of the residents and remain marketable and competitive in the local rental market. Developing housing that addresses these objectives raises the costs of construction. Additionally, HANH's TDCs address the fact that the families served are relatively larger, our turnover rate is higher, and there are insufficient funds to perform adequate preventative maintenance. HANH prepared a TDC schedule which reflects construction and development costs in New Haven. The schedule is based on the average construction cost for a high quality two bedroom row home in the City.

HANH first submitted its revised Alternate TDC schedule as part of the Appendix to the MTW FY 2009 Report. During FY2010, HANH received HUD approval for its Alternate TDCs.

HANH's proposal was informed by the successful development that the agency has completed within the last 10 years. HANH has demonstrated a track record of recent success in redevelopment of mixed finance and mixed income revitalization of 670 units at three developments within its portfolio. Within the redevelopment, HANH demolished 718 units, and created a multi-phased development for approach in some instances. Upon completion of the mixed income revitalization in one development (Monterey Place), 392 units were constructed, of which 339 are rental units; 281 consisted of replacement public housing assisted units, 43 are for moderate-income families, and 15 units are market rate. The remaining 53 units are for sale. Public housing replacement units were constructed under Nehemiah income eligibility guidelines. In 2003, the American Institute of Architects recognized this project as the winner of its Professional Interest Area Awards for design. In addition to Monterey Place, HANH's development activity included the replacement of 176 new mixed finance and homeownership units at Quinnipiac Terrace. Finally, HANH completed 90 redeveloped units and 12 new construction units in a mixed finance development called Eastview Terrace. In total, development cost has been approximately \$195 million, of which HANH received HOPE VI funds in the amount of \$65.3 million. Approximately 33% of the funds for the mixed income revitalization were awarded to the agency, while the remaining 67% were mainly leveraged from outside private financing. The HOPE VI awarded funds were used for Monterey Place and Quinnipiac Terrace, while HANH completed the development of Eastview Terrace via a general partner/subsidiary Glendower, held separately from the authority.

This vast development experience has provided HANH with the capacity to develop a design standard that provides for projects that will be sustainable over the long term as well as stimulate community revitalization. The standards require HCC limit and TDC limit that exceed those published by HUD. Thus using the HUD 2008 HUD HCC limit and TDC limit as a point of departure we developed our own HCC and TDC cost limits. The methodology for establishing these limits are set forth below.

HANH revised its initial proposal providing clear rationale for the alternative TDCs in relation to local market conditions, justifying the need for higher finishes and larger sized dwelling units and the alternative Total Development cost Limits were approved by HUD on July 2, 2010.

The full methodology is presented in Appendix 1 of this Plan. The approved HCC and TDCs are presented in the following charts:

			Elevator Building	Low Rise/Walk-Up Building
	Source Data for Housing construction Costs (HCC).		Cost per square foot	Cost per square Foot
Step 1	2010 RS Means Repair and Modeling Cost Data @ 75th Percentile (National Standard)		\$ 137.00	\$ 111.00
Step 2	Adjust Step 1 for 99th Percentile (National Standard)		\$ 182.67	\$ 148.00
Step 3	Adjust Step 2 for Local City (New Haven) cost adjuster of 9.2%		\$ 199.47	\$ 161.62
Step 4	Adjust Step 3. to add a 5% contingency		\$ 209.45	\$ 169.70
	HOUSING CONSTRUCTION COSTS		Cost Per Unit	Cost Per Unit
Step 5	Housing construction Cost Estimate for a One Bedroom Unit		\$ 146,615.00	\$ 135,760.00
	Multiply Step 4. for an Elevator Building (\$209.45) by 700 SF for an average One Bedroom unit. ($\$209.45 \times 700 = \$146,615$) and Multiply Step 4. for a Low-Rise Walk-Up Building (\$169.70) by 800 SF for an average One Bedroom Unit ($\$169.70 \times 800 = \$135,760$)			
Step 6.	Housing Construction Cost Estimate for a Two Bedroom Unit		\$ 209,450.00	\$ 183,785.00
	Multiply Step 4. for an Elevator Building (\$209.45) by 1000 SF for an average One Bedroom unit. ($\$209.45 \times 1000 = \$209,450$) and Multiply Step 4. for a Low-Rise Walk-Up Building (\$169.70) by 1,083 SF for an average Two Bedroom Unit ($\$169.70 \times 1,083 = \$183,785$)			

TOTAL DEVELOPMENT COSTS					
Step 7.	One Bedroom Unit Total Development Cost Adjustment as Established by HUD. Multiply Step 5. HCC Cost per unit by 1.60 for Elevator Building and 1.75 for Low-Rise Walk -Up Building			\$ 234,584.00	\$ 237,580.00
Step 8.	Two Bedroom Unit Total Development Cost Adjustment as Established by HUD. Multiply Step 6. HCC Cost per unit by 1.60 for Elevator Building and 1.75 for Low -Rise Walk-Up Building.			\$ 335,120.00	\$ 321,624.00

	1 Bedroom		2 Bedroom		3 Bedroom		4 Bedroom	
	HCC	TDC	HCC	TDC	HCC	TDC	HCC	TDC
unit size SF	800	800	1083	1083	1360	1360	1575	1575
cost factor	\$ 169.70		\$ 169.70		\$ 169.70		\$ 169.70	
HUD Building type adjustment factor	1.31		1.18		1.06		1.01	
<i>HCC to TDC factor (Note: HANH used 1.65 as an adjustment factor rather than the permitted factor of 1.75)</i>								
HCC to TDC factor		1.65		1.65		1.65		1.65
New Haven MTW HCC & TDC Limits	\$ 177,846.00	\$ 293,445.00	\$216,866.00	\$ 357,830.00	\$ 244,640.00	\$403,655.00	\$269,950.00	\$ 445,418.00
unit size SF	800	800	1083	1083	1360	1360	1575	
cost factor	\$ 169.70		\$ 169.70		\$ 169.70		\$ 169.70	
HUD Building type adjustment factor	1.10		1.04		0.96		0.92	
<i>HCC to TDC factor (Note: HANH used 1.65 as an adjustment factor rather than the permitted factor of 1.75)</i>								
HCC to TDC factor		1.65		1.65		1.65		1.65
New Haven MTW HCC & TDC Limits	\$ 149,336.00	\$ 246,404.00	\$191,137.00	\$ 315,375.00	\$ 221,560.00	\$365,575.00	\$245,895.00	\$ 405,727.00
unit size SF	800	800	1083	1083	1360	1360	1575	
cost factor	\$ 169.70		\$ 169.70		\$ 169.70		\$ 169.70	
HUD Building type adjustment factor	1.00		1.00		1.00		1.00	
HCC to TDC factor		1.75		1.75		1.75		1.75
New Haven MTW HCC & TDC Limits	\$ 135,760.00	\$ 237,580.00	\$183,785.00	\$ 321,624.00	\$ 230,792.00	\$403,886.00	\$267,278.00	\$ 467,736.00
unit size SF	700		1000					
cost factor	\$ 209.45		\$ 209.45					
HUD Building type adjustment factor	1.00		1.00					
HCC to TDC factor		1.60		1.60				
New Haven MTW HCC & TDC Limits	\$ 146,615.00	\$ 234,584.00	\$209,450.00	\$ 335,120.00				

B.MTW Statutory Objective	Section 204(a) of the 1996 Appropriations Act 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.
C. Anticipated Impacts	HANH's design standards provide larger units with additional amenities. The units have materials that are higher quality than average for long-term viability and durability. These units are more marketable and expand the quality of housing for low income families. Projects that are completed using the new guidelines will provide quality space and thereby housing of choice. It is anticipated the developments will be more energy efficient, have a longer useful life and require less emergency work order requests. A secondary positive impact will be the anticipated faster lease ups and fewer turnovers. Measures of success of this initiative included assessment of the marketability and desirability of the units, REAC scores and requests for work orders. All measures show that units designed with HANH's design standards are meeting the market needs and cost less operationally
D. Baseline & Benchmarks	HANH completed redevelopment of Eastview Terrace utilizing HANH design guides, TDC and HCC limits. HANH has compared this property to a similar development Valley/Waverly Townhouses. Vacancy rate at Valley in base year was 3.8 percent, vacancy rate for Eastview is 0%; REAC score for Valley/Waverly in base year was 88 compared to 95 for Eastview in FY2009; Operating cost per unit for Valley/Waverly in base year was \$8,692.00 as compared to \$5,172 for Eastview.
E. Data Collection on metrics & protocols	Work Order comparison will be tracked on a quarterly basis through the agency's data management system. Energy consumption will be tracked through utility bills. Vacancy rates, offers and turnovers will be tracked through the agency's data management system.
F. Authorization Cited	Amended and Restated Moving to Work Agreement, Attachment C, and Section C.16 provides authorization for HANH to establish reasonable cost formulas for development and redevelopment activities.
G. Hardship Policy, if rent reform	NA
H. Implementation Plan	Approval of Alternate TDS in July 2010 will allow use of the revised TDCs for the following redevelopment projects: Brookside, Rockview, William T. Rowe and Quinnipiac Terrace III Close Brookside Phase 1 Rental, Rowe Redevelopment, QT Phase 3 and Brookside Homeownership by September 30, 2010 Begin construction of these three projects by October 1, 2010 75 percent construction completion by December 30, 2011

1.3 *Cap on Project Based Units in a Project:* Implemented FY2010

Attachment C. Section D. (e) authorizes 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 Agency from awarding not more than 25 percent of the dwelling units in any building with project based assistance. In those cases where project base units are needed to ensure viability of mixed finance projects, HANH may project base up to 75 percent of the units in the development provided the project leverage non-public housing authority investments and increases housing choices for low income families.

HANH will limit the amount of project base units in non-mixed finance projects to more than 50% of the units in the project; provided, however, that the agency may project base up to 75 percent of the units in such project if the project will provide replacement units for public housing units lost as a result of demolition or disposition, if the project is undertaken in a area where significant investments are being made, if the project will help to reduce de-concentration of very low income families, or if the project is located in areas that provide increased access to transportation or employment opportunities. Under the prior MTW Demonstration Agreement 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.

B. MTW Statutory Objective	Section 204(a) of the 1996 Appropriations Act 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. The statute also provides authorization for the agency to implement programs that promote housing choices for low income families.
C. Anticipated Impacts	Increasing the cap from 25 to 75 percent for mixed finance projects and to 50 percent in other cases, will help to increase the supply of affordable housing in areas that promote de-concentration of poverty, provide housing in areas that are accessible to employment, schools, shopping and transportation, and help promote investments in areas that where other significant investments are being made. Increasing the cap will also increase the number of affordable units by increasing the amount of private debt a project can afford to pay.
D. Baseline & Benchmarks	One metric for mixed finance projects will be the amount for private debt leveraged for each units assisted in access of the 25 percent cap. For existing projects HANH will measure the number of additional units provided for very low income families in areas that promote de-concentration of poverty, that are accessible to employment, schools, shopping and transportation, and in areas that where other significant investments are being made.
E. Data Collection on metrics & protocols	The Agency will collect data on private debt raised from each closing where more than 25 percent of the units are assisted with project based assistance. For existing units or other projects where funds are not leveraged the Agency will collect data on the additional housing units provided to families in areas that are: undergoing significant investment, provide access to employment, transportation and other amenities, where there has been a decrease in poverty level over the last five years, or that are located in employment zones.
F. Authorization Cited	Section D.1.e and D.7 of Attachment C authorizes the Agency to set its own limit in spite of the 25 percent cap under Section 8(o) (13) of the Act.
G. Hardship Policy, if rent reform	N/A
H. Implementation Plan	The Agency's Administrative Plan already establishes priorities for selecting project based voucher units. The Agency will continue to use these priorities for selecting project that request assistance for more than 25 percent of the units in a project.

1.4 *HCV Preference and set-aside for victims of foreclosures:*

New Haven, like many municipalities is facing an increasing crisis related to mortgage foreclosures. The loss of property by a landlord often threatens the housing of the HCV participant. As an effort to protect vulnerable residents, HANH proposes to establish a preference for eligible HCV participants and applicants, up to 50 tenant based and/or project based vouchers annually, to prevent homelessness among this population.

This program includes both TBV and PBV but the combined total will not exceed 50. Vouchers may 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. Tenants apply via the waitlist. Owners apply through the PBV RFP process. The program is not designed for the landlord who is in foreclosure.

PBVs would be awarded through a competitive process in partnership with the City of New Haven's Neighborhood Stabilization Program that targets foreclosed properties. TBVs would be awarded by granting a preference on the HCV waitlist similar to families who are displaced due to governmental action.

During FY09 HANH began accepting referrals for this program. During FY2010, 25 tenant based vouchers were awarded and applications for the project based vouchers were received. During FY2011, HANH intends to award the remaining vouchers.

B. MTW Statutory Objective	Section 204(a) of the 1996 Appropriations Act 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 increase Housing choices for low income families.
C. Anticipated Impacts	Preserve affordable housing opportunity for up to 50 families whose housing was otherwise threatened by foreclosure. Return foreclosed properties to operation. Cost effectiveness for participants as PBV subsidized rents assist in keeping quality units affordable
D. Baseline & Benchmarks	At baseline no families participated in this program. It is anticipated that up to 50 families will apply and be granted such assistance. During FY10 25 vouchers were utilized. During FY11 25 additional vouchers will be utilized to maintain the 50 voucher limit.
E. Data Collection on metrics & protocols	This preference will be entered into the Agency's data management system and applicants will be tracked as such. Data will be collected as to family demographics and income, lease up rates and length of assistance. Number of families utilizing TBV. Number of homes "rescued" from foreclosure due to PV award will be tracked. City tax revenue garnered from previously foreclosed property will be assessed. Rental costs at property prior to PBV award and post PBV award will be tracked.
F. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C –Section D.4. Waiting List Policies authorizes HANH to establish preferences that differ from the currently mandated program Requirements of the 1937 Act and its implementing regulations. Section D.1.e authorizes HANH to determine the percentage of housing voucher assistance that it is permitted to project-base.
G. Hardship Policy, if rent reform	N/A
H. Implementation Plan	Began implementation during FY08 During FY09 specific guidelines and standards were being developed in coordination with our community partners. Once completed, we will make them available to HUD for review and comment. Administrative Plan changes were drafted. During FY10 HANH advertised program and began to enroll families. Received first applications for PBVs. During FY11 HANH will complete award of remaining 25 vouchers.

**1.4 Promote Expanded Housing Opportunities for HCV Program:
Implemented FY2008**

Under HANH’s MTW Agreement with HUD, 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, HANH began to implement MTW Rent Standards that allow 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, HANH approved budget-based rent increases for landlords who make major capital improvements in their property, including accessibility modifications. These initiatives will continue in FY 11. Requests for MTW Rent Standards will be reviewed on a case-by-case basis. Under no circumstances may HANH approve an MTW Rent Standard above 150% without prior HUD approval. HANH will reexamine its MTW Rent Standards monthly to ensure that 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.

B. MTW Statutory Objective	Section 204(a) of the 1996 Appropriations Act 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 increase housing choice for low-income families.
C. Anticipated Impacts	HANH’s ability to approve exception rents will have the impact of expanding housing choice for low income families that otherwise have difficulty accessing housing under the HCV program. Approval of exception rents shall slightly increase the annual expenditures under the HCV program.
D. Baseline & Benchmarks	Baseline data on rental subsidy and requests for targeted units will be tracked. Metric for measurement will be the lease up rate for families in need of housing that is accessible, large unit size and in areas of low poverty
E. Data Collection on metrics & protocols	Lease up rates and number of vouchers that were not utilized will be tracked. For families who have difficulty finding an appropriate unit, the reasons will be documented. Comparison will be made between the baseline and the families who were able to lease up due to the exception rents. This data is tracked through the agency’s data management system, ELITE.
F. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C- Section D.2.a authorizes HANH to adopt and implement any reasonable policy to establish payment standards, rents or subsidy levels for tenant-based assistance that differ from the currently mandated program requirements in the 1937 Act and its implementing regulations.
G. Hardship Policy, if rent reform	
H. Implementation Plan	Implemented FY 2008 During FY2009 a Real Estate Consultant was engaged to assist in indentifying units that can be utilized by hard to house families. During FY10, 9 families accessed housing due to HANH’s exception rent policy. During FY11 HANH will continue implementing this initiative.

1.5 *Security Deposit Guarantee Program:* Implemented FY2009

Some low income families have difficulty paying the security deposit required by most landlords. Landlords are unwilling to lease a unit without a security deposit. The State of CT previously offered a security deposit guarantee program that assisted such participants. Due to fiscal constraints, in 2009 the State discontinued this needed program for Housing Choice Voucher participants. This initiative offers up to 1 month of security guarantee for eligible participants who are newly awarded a voucher and cannot afford the security deposit. Given that current voucher holders are under lease and need to maintain the unit in such condition that they would be able to retrieve their existing security deposit and use that for a future move, they are not eligible for this program. Based upon HANH's intended new voucher lease ups under the foreclosure protection program, VASH and project based voucher lease ups, it is anticipated that approximately 260 new lease ups may occur during FY11. Based upon current experience, HANH estimates approximately 10% of these individuals would have need for such a program. Eligible participants must be new lease ups, must be homeless or at-risk of homelessness and have a demonstrated inability to pay the security deposit. Eligible participants cannot be eligible for moving expenses under URA. This guarantee would cover expenses for damages made by the participant upon move out beyond normal wear and tear. Landlord would be required to submit documentation of the costs incurred. The deposit will not exceed one month rent.

B. MTW Statutory Objective	Section 204 (a) of the 1996 Appropriations Act 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 increases housing choices for low income families
C. Anticipated Impacts	It was estimated that 1% of participants are unable to find suitable housing because they are unable to provide security deposit. The impact of paying an additional 2 months subsidy for these units is estimated to be \$60,000 (30 occurrences annually x \$ 990 (average monthly subsidy) x 2months). However, it is anticipated that landlords will be willing to remain in the program and continue to provide this housing opportunity to participants thereby promoting housing choice.
D. Baseline & Benchmarks	At baseline, no families were participating in this newly designed initiative. It was anticipated that during FY2009 26 families would access the program. No families accessed due to delays in program launch. During FY10, HANH launched the program. During FY11, HANH anticipates 20 families will access the program.
E. Data Collection on metrics & protocols	HANH will track requests for assistance. Dollar amount awarded. Dollar amount denied. Success in lease arrangement (i.e. lease violations) Amount requested by landlord Amount granted to landlord Retention of landlord in HCV program (future lease ups)
F. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C- Section D. 1.d. authorizes HANH to determine a damage claim and\ or vacancy loss policy and payment policy for occupied units that differs from policy requirements currently mandated in the 1937 Act and its implementing regulations.
G. Hardship Policy, if rent reform	N/A
H. Implementation Plan	This initiative was not approved with the original MTW 2009 Annual Plan but was included as an amendment. Due to those delays, HANH implemented this during FY10. During FY11 HANH will continue to assist families and assess impact.

Increasing Family Self Sufficiency

2.1 Family Self-Sufficiency Program:

Implemented FY2007

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. In 2007, HANH revised its FSS program to include additional services to assist residents in addressing a full range of barriers to achieving self sufficiency and employment. This change has allowed HANH to provide much needed services 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 HANH has invested in Computer/Learning Labs which offers services that assist families in their move toward self-sufficiency. Finally, HANH has created a "Specialized Training" program which offers training in fields where there are employment opportunities i.e.: healthcare, auto mechanics, etc. This training should provide the skills necessary for residents to obtain employment or increase their earnings.

B. MTW Statutory Objective	Section 204(a) of the 1996 Appropriations Act 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 give incentives to families with children whose heads of households are either working, seeking work or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self-sufficient.
C. Anticipated Impacts	Residents will progress towards self-sufficiency by addressing barriers they experience. Residents will achieve economic self-sufficiency through employment. <ul style="list-style-type: none"> • Increased employment • Increased family income
D. Baseline & Benchmarks	25 residents completed the job skills/employment training program. During FY2010 32 residents participated in the job skills/employment training program. During 2011, we expect 60 residents to participate in job skills/employability training.
E. Data Collection on metrics & protocols	Monthly reports from vendors Monthly MTW reports <ul style="list-style-type: none"> • Number enrolled in classes/activities • Number of resident service referrals to FSS • Number of participants completing job skills program • Number of participants employed Number of participants employed for 6 months
F. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C- Section B. 1. b.iii authorizes HANH provide case management activities , such as housing counseling in connection with rental or homeownership assistance, energy auditing, activities related to the provision of self-sufficiency and other services , employment counseling, education, training and other services related to assisting tenants, owners, contractors, and other persons or entities participating or seeking to participate in other housing or training and educational activities assisted pursuant to this section.
G. Hardship Policy, if rent reform	N/A
H. Implementation Plan	Implemented during FY07. Program was significantly expanded during FY08 Ongoing services provided throughout FY10 Services to continue during FY11. During 2011, these classes will be offered at 2 additional developments: Quinncipiac Terrace and Eastview.

**2.2 Promoting Self-Sufficiency/Earned Income Exclusion:
Implemented FY2008**

HANH believes promoting self-sufficiency is most effectively accomplished through helping residents to access services and supports. Within that context, HANH's MTW Rent Simplification Program includes an Incremental Earnings Exclusion for families who participate in HANH's Family Self Sufficiency Program (FSS). 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 HANH will exclude from the determination of annual income 100% of any incremental earnings from wages or salaries earned by any family member during the first year.

B. MTW Statutory Objective	Section 204(a) of the 1996 Appropriations Act 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 give incentives to families with children whose heads of households are either working, seeking work or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self-sufficient.
C. Anticipated Impacts	Residents will report increase in earned income. Resident will improve credit and build income for the first four years of the program.
D. Baseline & Benchmarks	<p>At baseline: 0% of program participants showed improved credit and saved income.</p> <p>Average credit score of residents enrolled in FSS in 2008: 534</p> <p>Average credit score of residents enrolled in FSS in 2009: 587 43% of the families increased their income. Average income of residents enrolled in FSS: \$18,526</p> <p>During FY2011: 50% of program participants will show improved credit and saved income</p> <ul style="list-style-type: none"> • Average Credit score will increase by 30 points • Average Earned income will increase by 10% • Average saved income will increase by 10%
E. Data Collection on metrics & protocols	Credit Reports Record of Savings Account Earned income
F. Authorization Cited	HANH's Amended and Restated MTW Agreement Attachment C Section C.11 and Section D.2 authorizes HANH to develop alternative rent policies and term limits.
G. Hardship Policy, if rent reform	N/A
H. Implementation Plan	Implemented during FY07. Ongoing services to be provided throughout FY11

Increasing Cost Effectiveness and Efficiency

3.1 Rent Simplification: Implemented FY2008

As an MTW agency, HANH is authorized to develop and test alternate policies for more effective administration of its housing programs. . HANH's MTW authority permits HANH to develop and test alternate policies for establishing the rent contributions of families in the public housing and Section 8 (HCV) program. During FY 2007, HANH undertook an extensive planning process for establishing alternative rent policies. A primary purpose is to reduce the administrative burden of the recertification and rent calculation process. Our planning process included more than a dozen meetings with TRCs and public housing residents, a broadly-noticed meeting for Section 8 participants, which more than 300 families attended, regular ongoing consultation with the Resident Advisory Board, and regular ongoing consultation with New Haven Legal Assistance. It has also included extensive data analysis of the effects of MTW Rent Simplification Program on existing public housing residents and Section 8 participants. HANH's Rent Simplification program began in FY2008 and is now fully implemented.

HANH implemented its Rent Simplification Policy on January 1, 2008 with all families being recertified under the new system. HANH utilizes EIV for all third party verifications. In FY09 HANH implemented the alternate year recertification cycle with families recertified every two years and elderly and disabled families recertified every three years. Rent simplification includes the following aspects which are detailed in the chart that follows:

- i. Two and three year recertification cycles. Positive impacts related to less frequent recertifications are expected in administrative savings, resident/participant satisfaction and reduced need for interim recertifications. HANH will notify residents of the flat rent option and community service requirements on a cycle consistent with recertifications. However, residents/participants may request flat rent at any time outside of the recertification cycle if so desired.
- ii. Simplified Rent Tier that incorporates deductions. Positive impacts are expected in administrative savings, simplified process for residents/participants and fewer recertification appointments. Also, rent tiers have been built to minimize impact on residents during 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. Impact on income, hardship and minimum rent participation will be tracked.
- iii. Exceptional expenses. Excessive resources are dedicated to verifying deductions for child care, medical and disability allowances. Third party verifications of these amounts are difficult to accomplish and the agency more often than not relies upon second and first party verifications of these deductions. Obtaining verification data also places an undue burden on the resident. To simplify this process, HANH will eliminate standard deductions for these amounts for elderly, disabled and non-elderly households. Households with exceptional expenses may request a rent reduction. This includes large families (with more than two children). It also includes families with excessive medical, disability assistance, or childcare expenses. The amounts of expense are set in \$1,000.00 tiers. This allows HANH to move away from verifying every last dollar. Tenants are not required to provide documentation of every dollar of expense; rather, tenants need only provide documentation sufficient to meet the appropriate tier. The amount of monthly rent reduction is established at the mid-range of the tier. Households with exceptional expenses will receive a direct reduction of the monthly rent. However, no tenant's rent will be reduced below a rent of \$50.00 as a result.

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

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

. HANH anticipates positive impact on resident's move toward self sufficiency for the lowest earning families as they are incentivized to enroll in FSS. FSS enrollment rates will be tracked.

<p>B. MTW Statutory Objective</p>	<p>Section 204(a) of the 1996 Appropriations Act 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 reduce cost and achieve greater cost effectiveness in Federal expenditures and give incentives to families with children whose heads of household are either working, or seeking work; and to test initiatives that provide a more cost effective way of administering the program.</p>
<p>C. Anticipated Impacts</p>	<p>HANH's Rent Simplification Program is designed to reduce the administrative burden of administering the program thereby developing a more cost effective program. During the implementation year, FY08, all families were scheduled to be seen to establish the baseline data. During FY09 when only 1/3 of elderly/disabled families and 1/2 of all other families were seen, administrative savings are realized as staffing levels were reduced in accordance with implementation. Additionally with the simplified rent tables, it is anticipated that rent calculation errors will be decreased.</p>
<p>D. Baseline & Benchmarks</p>	<p>All incomes, previous deductions, rents and subsidies were recorded for each resident/participant prior to transition to rent simplification. All families on minimum rent must enroll in FSS (with the exception of Elderly/Disabled families). This percent will be tracked. This provides the baseline data against which change is measured. This database also provides the baseline rents that are compared to ensure that no resident/participants rent increases beyond the approved levels during years 1 through 5 of the implementation. Additionally, personnel costs were documented at the start of the implementation.</p> <p>During FY10 HANH recipients experienced a rent increase while still not exceeding the rent burden percentage established of 28.5%. HANH has determined that the simplified rent process has resulted in no increased rent burden, resulted in personnel (administrative) savings and reduced errors in rent calculation.</p> <p>HANH's administrative savings related to personnel savings over FY08 equaled \$133,000.</p> <p>FY08- Average resident/participant income was HCV- \$14,661; average TTP \$322; LIPH -\$13,100; average TTP \$275 Number of annual recertifications HCV-2947 LIPH-1514</p> <p>FY09- Average resident/participant income was \$13,392; average TTP \$220 Number of annual recertifications HCV-1888 LIPH-1009 Administrative savings realized over FY2008 \$133,000</p> <p>FY10- Average resident income \$14,239 and average TTP \$306; Average participant income \$15,554 and average TTP \$347; Number of annual recertifications HCV – 1,373 LIPH – 891 Administrative savings realized over FY2008 \$133,000</p> <p>Benchmarks Rent simplification is resulting in reduced administrative time spent on recertifications with associated fiscal savings.</p> <p>No increase in rent calculation errors</p> <p>Residents/Participants are demonstrating growth in incomes over baseline resulting in higher TTP paid, however, none exceed 28% of resident/participant income. FY 2009 – 25 completed Job Skills Employment Training FY 2010- FSS enrolled 32 residents FY 2011- FSS enrollment expected 60 residents</p>
<p>E. Data Collection on metrics & protocols</p>	<p>The following metrics are tracked through HANH's MIS system: resident income; rent paid; rent burden; recertifications; hardship</p>

	HANH's administrative savings are tracked through HANH's financial management system.
<p>F. Authorization Cited</p>	HANH's Amended and Restated MTW Agreement Attachment C Section C.11 and Section D.2 authorizes HANH to develop alternative rent policies and term limits.
<p>G. Hardship Policy, if rent reform</p>	<p>HANH has devised a system that is not only revenue neutral for the organization, but will not result in any undue hardship to the families we serve. There will be a transition period of one year from the current income based rent determination process to the new income tiered rent determination process. No family will have an increase in Total Tenant Payment (TTP) during the first year they are subject to the requirements of this Rent Simplification Policy. Please note that this hold harmless provision does not apply to increases in TTP that result from an increase in family annual income above the amount earned in the reporting period immediately preceding the family being subject to Rent Simplification. No family shall be subject to an increase in TTP of greater than \$25.00 a month during the second year that the family is subject to the Rent Simplification Policy. The increase in TTP during the third year the family is subject to Rent Simplification shall not exceed more than \$50 during the third year; \$75 a month during the fourth year; and \$100 a month above the monthly TTP in the year immediately preceding the implementation of Rent Simplification.</p> <p>The Hardship Review Committee was created to review individual cases of certain rent increases for families with extraordinary cost of living, childcare or medical expenses. The Committee shall consist of one representative from the Executive Director's office, the Chief Operating Officer or designee, the Service Center Director or designee and a member of the Family Self Sufficiency (FSS) team. At the applicant's request, the Hardship Review Committee may include one Housing Choice Voucher participant or Low Income Public Housing resident.</p> <p>Families with verifiable deductions that prior to Rent Simplification qualified as Mandatory Deductions under Section 5.611 (a), plus Tenant Rent to the owner and non-reimbursed utility expenses (except phone) that exceed 40 percent of Annual Income for the family may apply to the Hardship Committee for a Hardship exemption from the Minimum Rent. Expenses that may be included in determining if the family meets the 40 percent threshold include:</p> <p>(1) The sum of the following:</p> <ul style="list-style-type: none"> (i) Un-reimbursed medical expenses of any elderly family or disabled family; (ii) Un-reimbursed reasonable attendant care and auxiliary apparatus expenses for each member of the family who is a person with disabilities, to the extent necessary to enable any member of the family (including the member who is a person with disabilities) to be employed. This deduction may not exceed the earned income received by family members who are 18 years of age or older and who are able to work because of such attendant care or auxiliary apparatus; and (iii) Un-reimbursed child care expenses for children below 13. <p>The Hardship Review Committee will examine each family's circumstances on a case-by-case basis. The Hardship Review Committee has a choice of six remedies it can recommend (including permanent, family-specific rent caps) as it deems appropriate, to reduce a qualifying household's rent burden:</p> <ul style="list-style-type: none"> • Set rent at \$50.00 per month for a period of time not to exceed ninety (90) days or set a minimum rent as described in the zero income policy. • Give an Exception Expenses deduction if prior mandatory deduction, plus tenant rent payment and un-reimbursed utility expenses exceed \$6,000.00. • Set interim rent at Rent Simplification schedule rent closest to Pre-Rent Simplification rent for a period of time not to exceed ninety (90) days. • Phase \$25.00 per month rent increase cap out over specified period of time beyond the 5-year remedy described above.

	<ul style="list-style-type: none"> • Appropriate combination of remedies listed above. <p>If a family documents that it meets the 40 percent threshold the Hardship Committee shall be required to apply one of the above listed remedies. Moreover, the Hardship Committee shall require that all families, except elderly and disabled families, reapply to the Hardship Committee after the end of the ninety (90) day period for which the exemption is granted if the family wants the exemption to continue for more than ninety (90) days. Except for elderly and disabled families, all exemptions from the Minimum Rent shall be granted for only ninety (90) days.</p> <p>Only one exemption from the Minimum Rent shall be granted in any twelve (12) month period.</p> <p>There shall be no increases in monthly TTP resulting from the implementation of Rent Simplification during the first year a family becomes subject to this Rent Simplification Policy.</p>
<p>H. Implementation Plan</p>	<p>This initiative has been fully implemented. All families are now certified under the HANH Rent Simplification Program.</p>

3.2 LIPH Public Housing UPCS Inspection:

HUD has previously approved HANH's proposal to adjust its LIPH unit inspection protocols. HANH previously conducted UPCS inspections of 100% of units and sites each year. UPCS inspections include the entire housing stock, including vacant units.

The UPCS inspections cover all five areas covered in HUD's REAC standards: Dwelling Units, Common Areas, Site, Building Exteriors, and Building Systems. Any deficiencies identified through HANH's UPCS inspections generate work orders to correct the deficiencies. HANH has established a preventive maintenance plan with a regular periodic schedule of inspections; HANH conducts housekeeping inspections as part of all routine inspections and on an as-need basis. During FY 2009, HANH did a random sampling of no less than 20% of units based on the results of HANH's preventive maintenance program, development performance, and other management needs. This activity will continue for FY 2011.

B. MTW Statutory Objective	Section 204(a) of the 1996 Appropriations Act provides that public housing agencies that administer Section 8 and public housing shall have the flexibility to design and test various approaches for proving and administering housing assistance reduce cost and achieve greater cost effectiveness in Federal expenditures.
C. Anticipated Impacts	A comprehensive preventative maintenance program ensures that units, sites, buildings and systems receive regular inspections. Consistent oversight of work order completion rates ensures that the work that is identified is performed in a timely manner. As such, HANH has implemented a cost effective initiative that reduces the number of UPCS inspections that must be completed each year. By targeting UPCS inspections at properties most in need, HANH can maximize use of limited resources.
D. Baseline & Benchmarks	<p>FY 07 provided the baseline data during which all units were inspected. Beginning in FY08, 20% of units are selected each year for inspection. Units in developments with poorer REAC scores will be more heavily sampled for inclusion in inspection sample.</p> <p>During FY08, HANH's average agency wide REAC score was 82.11 points. FY08 Cost for inspections \$16,446.50</p> <p>During FY09, HANH's average agency wide REAC score was 79.59 points. FY09 Cost for inspections \$4,930.25</p> <p>Scores for FY10 are not available as of the writing of this plan,</p> <p>It is anticipated that REAC scores will improve as targeted inspections are used to address issues rather than wasteful inspections of 100% of units. The agency is moving toward a new work order system. The work order system will be enhanced to track UPCS collective steps. Identified by the inspection process. This metric can be tracked once software is implemented.</p> <p>During FY2011, HANH will track work orders completion by tracking number of work orders open at start of each month, number closed each month, number of days to complete fro each AMP and portfolio-wide. Cost savings to HANH \$11,516.25</p>
E. Data Collection on metrics & protocols	<p>REAC scores will be collected annually</p> <p>Percent of units that receive UCPS inspections</p> <p>Cost of performing inspections</p>
F. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C- Section C.9 authorizes HANH to develop simplified property management practices including alternative property and system inspection protocols.
G. Hardship Policy, if rent reform	N/A
H. Implementation Plan	<p>HANH selected targeted units for UPCS inspections that have a history of scoring poorly. By reducing the inspection of units that have a history of high REAC scores, HANH can make use of limited resources in more effective manner.</p> <p>This will result in higher overall agency scores and reduced costs on inspections.</p>

3.3 Housing Choice Voucher HQS Inspections:

HUD previously approved HANH's alternative MTW Voucher Program. This authorized HANH to implement alternate inspection procedures, in which property owners with a history of successful inspections will be subject to HQS inspections every two years, rather than annually. HANH's alternate inspection policy will alter only the current requirement that 100% of units are re-inspected

annually. HANH does not intend to alter policies requiring pre-inspection of every unit prior to lease-up. Nor does HANH intend to alter policies related to quality control inspections or enforcement of HQS.

HANH's MTW Agreement provides authority for HANH to develop and test alternative methods for administering its Section 8 (HCV) program.

During FY 2009, HANH's MTW Voucher Program planned to implement alternative inspection requirements: property owners with a history of successful inspections will be subject to HQS inspections every two years, rather than annually; however, implementation issues delayed the start up. HANH intends to implement during FY2011.

Under this proposal HANH will continue to conduct initial HQS inspections of 100% of proposed units, as well as follow-up Quality Control inspections of approximately 10% of these units. If inspections identify a health and safety deficiency, it must be corrected within 24 hours. When inspections identify other HQS deficiencies, these must be corrected within 30 days or HANH will abate the landlord's rent. Quality Control inspections are performed in-house by HANH staff.

HANH's routine inspections are performed, under contract, by the City of New Haven's Livable City Initiative (LCI) division, which is the City agency responsible for building code inspections and other monitoring. HANH's Section 8 (HCV) department includes staff who have been HQS certified so that HANH can assist by conducting inspections in-house.

B. MTW Statutory Objective	Section 204(a) of the 1996 Appropriations Act 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.
C. Anticipated Impacts	It is anticipated that HANH's HQS inspection initiative will reduce the administrative burden of requiring inspections annually on properties that have a proven track record with the agency of compliance. Additionally, savings are anticipated as the agency fully transitions to the new model. During FY10 all properties continued to receive annual inspections. During FY11 properties that have had two years of consistent passes will be exempted from inspection and it is anticipated that the agency's expenditures in this areas will be reduced by 30%.
D. Baseline & Benchmarks	HANH will track the pass rate for agencies and the number of agencies that are exempt. Based upon this HANH will calculate the savings on an annual basis. Resident complaints will be logged to determine any negative impact of not inspecting units. Finally, landlord and resident satisfaction surveys will be conducted. HANH anticipates administrative costs will decrease by 30%. HANH contracts for HCV inspections at a cost of \$247,000 annually. It is expected that this cost will decrease by \$70,000 due to decreased inspection during FY2011.
E. Data Collection on metrics & protocols	Data will be tracked through the agency's data management system, ELITE and through tracking logs. Survey results will be compiled and analyzed annually.
F. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C- Section D.5 authorizes HANH to develop and adopt a local policy designed to certify Housing Quality Standards
G. Hardship Policy, if rent reform	N/A
H. Implementation Plan	HANH has delayed the implementation of alternate year inspection due to the lack of reporting functionality in the agency's software system.

3.4 *Implement Mandatory Direct Deposit for Housing Choice Voucher Landlords:*

HANH believes that our ability to effectively manage our HAP payment process will be greatly enhanced by implementing mandatory direct deposit of all landlords who participates in the HCV program. This will create administrative savings in program operating costs.

B. MTW Statutory Objective	Section 204 (a) of the 1996 Appropriations Act provides that public housing agencies 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
C. Anticipated Impacts	HANH anticipates that implementation of this initiative will reward landlords with timely and accurate HAP payments. This would also increase efficiency while easing HANH's burden to accurately administer 1,300 HAP payments to landlords. It is also anticipated this initiative will minimize landlord complaints on non-payment of HAP payments and reduce administrative costs of administrating the program.
D. Baseline & Benchmarks	<p>At baseline, HANH served over 1,300 landlords and approximately 634 had authorized agreements for direct deposits, which is about 45%. Goal: HANH seeks to increase direct deposit utilization to 90%. All new owners are required to enter in Direct Deposit Agreements.</p> <p>HANH implemented a mandatory Direct Deposit Program during FY2010 in which all new landlords are enrolled in direct deposit.</p> <p>At end of FY10, HANH will have 890 of the 1,300 landlords or 68% enrolled. The cost to process one check equals \$75. During FY11, We are anticipating adding 85 landlords in the direct deposit program creating an additional cost savings of \$76,500. HANH's goal for FY11 is to enroll 75% of all landlords.</p>
E. Data Collection on metrics & protocols	Data collection will be tracked through the agency's data management system.
F. Authorization Cited	The Amended and Restated MTW Agreement Attachment C Section D.1 authorizes HANH to determine the term and content of the HAP contracts to owners during the term of the MTW demonstration
G. Hardship Policy, if rent reform	N/A
H. Implementation Plan	<p>Implemented FY08</p> <p>During FY2010, the number of landlords that have voluntarily entered into direct deposit agreements is 68% of the total landlord population.</p> <p>Additional outreach and education is planned via quarterly meetings to attract more landlords into the implementing the process.</p>

VII. Sources and Uses of Funding

A. Unaudited Financial Statements

HANH's proposed FY2011 MTW Annual Budget is as follows:

Sources and Uses	
<i>FY 2011 DRAFT BUDGET</i>	
<u>Sources</u>	
Rent	\$ 4,000,000.00
Operating Subsidy	\$ 14,600,000.00
Capital Admin	\$ 370,000.00
Other revenue	\$ 200,000.00
Development Fees	\$ 1,533,581.70
Developers Fees Eastview	\$ 182,000.00
HCV subsidy	\$ 54,778,013.00
Total sources	\$ 75,663,594.70
<u>Uses</u>	
Operations	
<i>LIPH</i>	\$ 23,275,600.00
<i>HVC</i>	\$ 2,593,995.00
HCV Expenses	
<i>HCV HAP</i>	\$ 33,840,000.00
<i>PBV</i>	\$ 398,000.00
<i>Eastview PBV</i>	\$ 746,000.00
<i>Shartenberg</i>	\$ 205,000.00
<i>Brookside Homeownership 6 units</i>	\$ 9,000.00
<i>Dwight St. Cooperative</i>	\$ 294,000.00
<i>Howe St.</i>	\$ 153,000.00
<i>Nasti</i>	\$ 72,000.00
<i>Mutual Housing</i>	\$ 102,000.00
<i>Mutual Housing-new</i>	\$ 205,000.00
<i>CUHO</i>	\$ 143,000.00
<i>CASA</i>	\$ 153,000.00
<i>Foreclosure</i>	\$ 519,000.00
Total uses	\$ 62,708,595.00
Surplus	\$ 12,954,999.69
Capital Funds	\$ 4,020,000.00
Total	\$ 16,974,999.69

HANH's Operating budget is showing a deficit of \$4.674 million. \$1.4 million of this deficit is accounted for by HANH's investment in supportive services. HANH's planned reductions over the life of the MTW contract (through FY2018) will result in a reduction of this deficit by \$3.2 million. This is achieved through maximization of revenue (rent collection, reduced vacancies and fee collection); reduced administrative expenses – COCC; asset based management and completion of capital projects.

HANH's HCV budget shows a surplus of \$14.87 million. Voucher utilization is maintained at this rate in order to fund the Operating deficit and capital improvement and modernization projects.

HANH anticipates capital funds of \$4.02 million. The net of HANH's operating deficit of \$4.4 million and HCV surplus of \$14.87 million and earned development fees yields a \$16,974,999.69 for capital investment. The following capital budget tables delineate the planned FY2011 capital fund spending.

B. Planned Sources and Expenditures by Development

The 2011 Capital Plan includes many capital activities that will be funded by CFP, CFFP, MTW, RHF and other special financing. The following tables give detail to the planned projects and the funds that HANH anticipated to be obligated during FY 2011.

<i>Capital Budget</i>	
<i>Sources</i>	\$ 16,974,999.69
<i>Uses</i>	
Robert T. Wolfe modernization	\$ 1,823,655.00
Agency wide UFAS compliance	\$ 100,000.00
Agency wide vacancy reduction	\$ 385,000.00
McConaughy Terrace-furnace and water heater	\$ 216,000.00
McConaughy Terrace- interior repairs	\$ 440,000.00
Ruoppolo Manor	\$ 960,000.00
McQueeney Tower	\$ 585,000.00
Waverly Townhouses boiler replacement	\$ 425,000.00
Valley Townhouses boiler replacement	\$ 350,000.00
Westville Manor-erosion control Phase 1	\$ 211,000.00
Development expenses	\$ 675,000.00
CFFP bond repayment	\$ 968,000.00
Contingency	\$ 3,000,000.00
Supportive Housing	
Eastview Terrace Youth services	\$ 182,000.00
McQueeney Supportive Services	\$ 153,000.00
Crawford Manor Supportive Services	\$ 219,000.00
Ruoppolo Manor	\$ 95,000.00
Robert T. Wolfe	\$ 147,500.00
William T. Rowe	\$ 78,000.00
Proposed -Winslow Celentano	\$ 138,000.00
Proposed - Fairmont	\$ 138,000.00
CEO Training	\$ 292,900.00
Clinical Social Worker	\$ 87,000.00
Development Projects	
QTIII	\$ 2,017,071.00
William T. Rowe	\$ 894,400.00
Brookside Homeownership	\$ 582,000.00
Total	\$ 15,162,526.00
Balance	\$ 1,812,473.69

The balance of \$1,812,473.69 is planned for expenses incurred during FY2012 for major redevelopment and capital projects.

During FY2010, HANH submitted its application to HUD for CFFP financing to fund portions of its major redevelopment projects. HANH's CFFP issuance is expected to raise an estimated \$15 million to be used for the Brookside and Rowe projects.

Development Projects: HANH will continue major redevelopment efforts at the following developments during FY2011: Rockview, 122 Wilmot Road; Quinnipiac Terrace III and William T. Rowe. Funds not previously obligated that will be during FY2011 are summarized in the chart below. This year's budget for development includes \$24,995,154 for Rockview Phase 3 and \$16,311,809 for 122 Wilmot Road, of which \$9,245,831 are MTW Block Grant funds.

Development	Sources	Amount	Uses	Amount	Description of Changes from FY 2010
Rockview Phase 3	Tax Exempt Bond Proceeds	\$	1408		
	MTW Block Grant	\$8,018,389	1410		
	CFRC		1430	\$7,249,713	
	State Tax Credit	\$500,000	1440		
	City Contribution	\$2,000,000	1450	\$2,000,000	
	Deferred Developer Fees		1460	\$15,550,441	
	First Mortgage	\$4,623,900	1465	\$195,000	
	Tax Credit Equity	\$9,852,865	1470		
			1475		
			1485		
		1495			
Total		\$24,995,154		\$24,995,154	
122 Wilmot Road	Tax Exempt Bond Proceeds		1408		
	MTW Block Grant	\$1,227,442	1410	\$100,700	
	CFRC		1420	\$538,300	
	DECD	\$2,299,244	1430	\$4,094,218	
	City Contribution		1440		
	Deferred Developer Fees	\$796,910	1450		
	First Mortgage	\$3,469,214	1460	\$11,403,591	
	Tax Credit Equity	\$8,518,999	1465	\$175,000	
			1470		
			1475		
		1485			
		1495			
Total		\$16,311,809		\$16,311,809	
Grand Total		\$41,306,963		\$41,306,963	

C. Description of Changes in Sources and Uses

The 2010 budget was submitted while HANH's CFFP proposal was pending. It included MTW Block Grant funds. Upon approval of the CFFP, adjustments have been made to the previously approved allocations. An additional \$14,752,902 of MTW Block Grant funds will be needed if HUD does not approve the CFFP proposal.

Changes are as follows: The 2010 budget included funding for Brookside Phase 1 Rental of \$40,118,377 of which \$2,523,943 would have been from MTW Block. FY 2010 budget also included Brookside Phase 2 Rental of \$32,785,582, of which \$8,970,957 would have been MTW Block Grant and Brookside Homeownership of \$6,582,504, of which \$2,437,858 would have been MTW Block Grant funds. Additionally the budget included \$36,140,905 for William T. Rowe of which \$3,362,927 would have been MTW Block Grant funds and \$15,010,000 for Quinnipiac Terrace Phase 3, of which \$1,591,909 would have been MTW Block. The revised allocations are indicated in the Capital Projects table above.

D. Description of How Fungibility is Planned to be Used

Use of our fungibility authority is essential to the implementation of our Annual MTW Plan and to achieving the goals and objectives of the authorizing legislation. HANH's uses Section 8(o) funds to carry out activities that are eligible under Section 9. The use of these funds is shown in the Planned Sources and Uses tables presented above.

HANH plans to use \$15.3 million of HCV funds to fund its Supportive Services and capital and major development activities.

Sources and Uses of Funds

The funding flexibility available to HANH as an MTW agency permits HANH to direct its financial resources according to and as approved in HANH's MTW agreement and Annual Plans. HANH's FY11 Annual Budget of \$23.2 million (LIPH) and \$39.9 million (HCV) is presented above. This budget takes advantage of the funding flexibility afforded under the MTW program in two major areas. HANH will transfer \$15.3 million of HCV surplus dollars created by leasing fewer HCVs to fund HANH's operating deficit, supportive services program and capital improvement programs.

Approximately \$2 million is used to fund supportive services staff and programming as outlined in the Resident Opportunities, Supportive Services, FSS, and Section 3 Business Opportunities Initiatives outlined in the previous sections.

An additional goal of HANH's MTW plan is redevelopment and major capital improvements to transform HANH's public housing stock into housing of choice. Thus a large proportion of HANH's funding is committed to development and capital improvements of its public housing. The capital budget is presented below and illustrates a \$118 million commitment over the period of time FY08 through FY11.

Reserves

HANH's goal is to maintain adequate reserves for public housing program. Currently, HANH has segregated \$8 million for reserve. This reserve will be analyzed to insure adequate reserves are held.

Capital Funds

In addition to the LIPH and HCV subsidy received, HANH receives annually approximately \$3 million in capital fund dollars. These funds are used for capital improvement and modernization efforts. Additionally, as HANH pursues its CFFP proposal, HANH will use CFP and RHF funds to secure the anticipated bonds.

Capital Fund Program

The most significant capital expenditures planned for this plan year using Capital Funds, MTW Funds and CFRC funds are the UFAS/504 Renovations, Elevator Replacement and Site Improvements at Ruoppolo Manor, Agency-wide Vacancy Reduction, ongoing Furnace and Hot Water Heater Replacement at McConaughy Terrace, Boiler Replacement at Valley and Waverly Townhouses. Details of ongoing and smaller planned capital projects are described in Capital Projects Funded through MTW Fungibility ONLY Fiscal Year 2011 spreadsheet.

Replacement Housing Factor (RHF) Plan

HANH's Capital Fund grants include Replacement Housing Factor (RHF) grant funds which may be used only for specific activities in the development of new replacement housing units. RHF grants are awarded in two separate increments annually. HUD permits agencies to "pool" RHF grant increments over time (a five-year period) in order to accumulate sufficient funds for replacement housing development activities, provided that the housing authority provides a plan for their use of the pooled RHF funds. If an agency elects to pool its RHF grant increments, the deadlines for obligation and expenditure of RHF funds will be based on the latest grant in the pool. HANH's RHF plan is included in this document.

During FY 2007, HANH received 2 RHF grant increments totaling approximately \$1.1 million. During FY's 2008-2009, HANH received 4 RHF grant increments totaling approximately \$2.1 million. HANH has elected to pool for use for the development of replacement housing for the development of Rockview and Brookside. The RHF funds will be obligated and expended according to the RHF implementation schedule.

The Housing Authority of New Haven (HANH) previously received approval from HUD to reprogram the an unused portion of the 2006 Replacement Housing Factor funds grants and all of the 2007 and 2008 RHF grants and to reset the obligation and expenditure deadlines for the accumulated 2006 and 2007 RHF grant amounts. HANH intends to use the funds for development of a phase of the West Rock revitalization project and to accumulate these funds for this purpose. The funds may also be used pursuant to 24 CFR Part 990.440 to provide security for repayment of debt for the development of replacement units at the site. Part 990.400 permit PHAs to pledge up to 50 percent of these funds to repay debt associated with the development of replacement units.

The RHF grants and grant amounts to be reprogrammed and the requested revised obligation and expenditure deadlines are as follows:

Grant	Grant Amount	Increment	New Obligation Deadline	New Expenditure Deadline
CT26R00450206	\$87,353	2nd	10/12/10	10/12/12
CT26R00450306	\$12,179	1st	10/12/10	10/12/12
CT26R00450406	\$16,375	2nd	10/12/10	10/12/12
CT26R00450107	\$541,850	1st	10/12/10	10/12/12
CT26R00450207	\$568,890	2nd	10/12/10	10/12/12
CT26R00450108	\$871,883	1st	No change	No change
CT26R00450208	\$177,216	2nd	No change	No change
Total	\$2,275,746			

HANH has requested (and HUD has approved) the 2007 and 2008 RHF grants obligation and expenditure deadlines for the accumulated 2007 and 2008 RHF grant amounts to be reset. HANH intends to use the funds for development of a phase of the William T. Rowe and Brookside Phase 1 Rental Developments and to accumulate these funds for this purpose. RHF funds for FY 2009 and subsequent years will be used, subject to HUD approval of the Agency's CFFP proposal, pursuant to 24 CFR Part 990.440 to provide security for repayment of debt for the development of replacement units at the site. Part 990.400 permit PHAs to pledge up to 100 percent of these funds to repay debt associated with the development of replacement units.

The RHF grants and grant amounts to be reprogrammed and the requested revised obligation and expenditure deadlines are as follows:

Grant	Grant Amount	Increment	New Obligation Deadline	New Expenditure Deadline
CT26R00450107	\$541,850	1st	10/12/10	10/12/12
\CT26R00450207	\$568,890	2nd	10/12/10	10/12/12
CT26R00450108	\$871,883	1st	No change	No change
CT26R00450208	\$177,216	2nd	No change	No change
Total	\$2,159,839			

MTW Initiatives Requiring MTW Funding Fungibility Only

MTW Initiatives Requiring MTW Funding Flexibility Only

<i>Initiative</i>	<i>Budget</i>	<i>Previous Expenditures</i>	<i>Planned FY2011 Expenditures</i>
Energy Performance Contract- During FY2010 HANH selected a consultant to analyze utility costs, procure favorable supplier rates, budget forecasting for utilities and make recommendations for energy savings and to identify efficiency projects, consumption reduction measures	\$75,600 annually	0	\$75,600
Supportive Services: HANH invests in supportive services through the Resident Services Program, Resident Services Coordinators, Clinical Social Worker and Supportive Services Provider contracts.	2009: \$699,397	2010: \$881,397	\$1,487,777
Deconcentration initiative : HANH has undertaken an initiative to assist Housing Choice Voucher participants to lease up in communities with low poverty concentrations. HANH contracts with a real estate professional to identify potential units, conduct unit showings and create a potential housing list.	\$45,000 annually	\$45,000	\$45,000
TOTAL			\$1,608,377

West Rock Revitalization:

HANH intends mixed finance redevelopment of Rockview and Brookside, which will require disposition to an eligible owner corporation.

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 11,000 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 60 units. In addition, there will be a significant expansion of the Rockview Community Center, which offers computer training through Neighborhood Networks Center, GED assessment and preparation, credit repair and budgeting classes, health and wellness activities and other literacy and job training skills programs.

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 additional parcel will be developed in one phase consisting of a mid-rise building with senior rental units with the retail space on the ground floor. In addition, there will be a significant expansion of the Rockview Community Center, which already has an existing Neighborhood Networks Center with a large number of computers utilized by residents of all HANH developments. The estimated cost of the revitalization of all three sites is \$150-\$200 million. HANH intends to submit an application for HOPE VI funding for Brookside and/or Rockview with an off-site component consisting of residential units, commercial and retail space.

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

Brookside Phase I Description

The phase for which RHF funds will be used is Brookside Phase I. The phase will consist of 101 family units in two-story townhouse structures. The projected subsidy mix is 50% Public Housing and 50% Project-based Section 8, with all units also being Low Income Housing Tax Credit units under Section 42. The units will be a mix of one-, two-, three and four-bedroom units, including 14 handicapped-accessible units.

The projected cost of the phase is approximately \$38.2 million. In addition to the \$2,275,746 in RHF Funds for which reprogramming is requested, approximate projected sources for the redevelopment include \$1.6 million in 4% Low Income Housing Tax Credits generating \$13.26 million in investor equity, \$13.66 million in fungible MTW funds from HANH, \$5.15 million in permanent tax exempt bond financing, \$1.89 million in infrastructure funds from the City of New Haven, \$500,000 in state tax credits, \$500,000 from the Federal Home Loan Bank of Boston AHP Program and \$930,000 in deferred developer fee. Approximately \$12 million in additional tax-exempt bond financing will be utilized during the construction period.

HANH conveyed the land under a long-term ground lease to the ownership entity, which will be a limited liability company consisting of the developer as managing member and the tax credit investor as investor member. HANH will have the right to replace the developer as managing member following completion and stabilization of the development.

The Brookside site is vacated and all structures have been demolished. The infrastructure was initiated during FY2010.

FY2010:

Submitted application for HOPE VI – 11/13/09

Application for CFFP submitted to HUD – 2/10/10

Updated RHF Plan for Use of 2007 and 2008 submitted to HUD – 04/14/10

Disposition Application submitted to HUD- 04/16/10

FY2011:

Phase I Closing - 09/30/10

Construction Start- Fall 2010

Construction Completion - FY2012

William T. Rowe Redevelopment:

William T. Rowe at 904 Howard Ave. is a 175 unit, high rise development that houses elderly and disabled residents. Having determined its obsolescence, HANH has undertaken a redevelopment effort for this property. Resident consensus and neighborhood consensus have been achieved through a community building and resident involvement process that spanned FY2008 and 2009. HANH has secured a developer for the project; negotiated a swap agreement for an adjacent parcel upon which the new William T. Rowe will be constructed; obtained State approval for the reduction in units; obtained HUD approval for disposition; and submitted to HUD a redevelopment plan. This plan includes mixed finance redevelopment. Project closed and construction began during FY2010. During FY2011, HANH anticipates construction to continue. Construction completion will occur during FY2012

Implement Phase III of Quinnipiac Terrace:

HANH has completed Phases I and II of the redevelopment of Quinnipiac Terrace. The Revitalization Plan calls for HANH to provide 228 units of housing, on and offsite: 184 of these units have been completed including all on site units. The current Plan calls for the development of 168 units of rental housing and 60 units of homeownership housing. Twenty-five additional homeownership units were to be developed in the Phase 3 by ECCO and 19 units were to be developed in Phase 3 by Trinity. The lack of available credit has caused ECCO to pull out of the Plan.

Under the terms of Trinity's Development Agreement it has the right to assume ECCO's obligation to develop these units. Trinity has requested and HANH has approved Trinity's request to replace ECCO with the condition that Trinity be permitted, subject to HUD approval to modify the current plan by increasing the number of rental units from 168 to 201 and by reducing the number of owner-occupied units from 60 to 34. The overall Plan would be changed by increasing the number of units from 228 to 237. As such, HANH submitted a revised Plan to HUD that call for a revised Phase 3 that will provide for 33 rental units (17 LIHTC and 16 PBV) and 20 market rate homeownership units completed. During FY2010, HANH closed on this project and construction began. Project completion expected in FY2012.

Develop Long Term Viability Plan for Valentina Macri, 109 Frank Street:

Valentina Macri is a 17 unit property that HANH has determined that the extent of repairs required is excessive and the potential revenue generated does not cover the operating costs. HANH would like to sell, lease or dispose of the property. All avenues will be researched to determine the most appropriate course of action.

Replacement Housing Fund (RHF) Plan:

Section 3 Employment Training:

HANH is undertaking over \$200 million in capital investments over the next 3 years. HANH has partnered with the City of New Haven's Commission on Equal Opportunity (CEO) to offer a construction workforce training program. Residents trained through this program have the opportunity to train under union personnel in the building trades. Students complete the course and practical training and are hired as apprentices and can progress to full union membership. Additionally, students are matched to contractors seeking to fulfill their Section 3 hiring goals. \$175,730 in MTW flexible funds are dedicated to this initiative.

LIPH Preference for Re-Entry Population Pilot Program:

HANH is working with the City of New Haven and other Community groups and social organizations to develop a comprehensive program for the increasing prison re-entry population. Individuals returning to the community are often ill equipped for successful re-entry due to the challenges of poverty, lack of support services, inadequate job skills and difficulty obtaining housing. HANH will limit admissions to 12 new residents during the pilot years. \$33,000 in MTW flexible funds support a portion of the salary for the Project Manager responsible for the case management of this population.

Business Development Support Program:

HANH will provide educational training, financial management and administrative support services to start up and existing resident owned businesses to enhance their internal capacity and ability to compete in competitive procurement. HANH's goal is to create three new businesses during FY 2011.

HANH provides a revolving loan fund to which residents may apply for up to \$25,000 with bona fide business plans and contracting options. Applicants apply for loans. Applications are reviewed by a loan committee. Loan repayments are scheduled over a 12 month period. \$250,000 in MTW flexible funds are dedicated to the Revolving Loan Fund and back office support.

Specialized Training Opportunities for HANH's FSS Clients:

HANH proposes to provide specialized training programs in areas where there are employment opportunities such as healthcare, computer technology, auto mechanics, retail sales, entry level banking positions, and customer service. To provide this training, HANH will partner with area trade schools, the local community college, local banks, and other agencies that can provide trainings. HANH will also work to develop relationships with employers in the New Haven community to provide fulltime employment opportunities to residents who successfully complete the training programs.

FSS will select clients who are employment ready i.e. have a high school diploma or equivalent, have completed the employment training program or a work history. FSS staff will provide case management services while resident are in training. \$60,350 in MTW flexible funds are dedicated to this initiative.

Additional Funding

HANH's major redevelopment efforts call for additional funding sources. The major redevelopments of West Rock, Quinnipiac Terrace III, William T. Rowe and 122 Wilmot will all call for some combination of the following funding sources: competitive ARRA funds awarded, other Federal grant programs, LIHTC, CFFP bond proceeds, City contribution, State of CT Department of Economic and Community Development grants, Federal Home Loan Bank and other traditional loan financing. During FY 11 HANH will pursue these funding opportunities.

American Recovery and Reinvestment Act Funding

• **ARRA funded projects- CFRC competitive grants**

- **Ruoppolo Manor** – awarded **\$2,476,400 for UFAS conversion in common areas and units**. This project was initiated during FY 2010 and will be completed during FY2011. 22 units will be converted to 11 UFAS compliant units. Common area upgrades will be completed creating 504 compliant common areas.
- **Quinnipiac Terrace III**- awarded **\$5,000,000 for Phase III of the redevelopment of this development**. Construction of Phase III of the redevelopment of Quinnipiac Terrace was initiated during FY2011 with a groundbreaking occurring in September 2010. Construction will be completed during FY2012.
- **William T. Rowe** - awarded **\$10,000,000 for redevelopment of this development**. Construction of the redevelopment of William T. Rowe was initiated during FY2011 with a groundbreaking occurring in September 2010. Construction will be completed during FY2012.

- **Brookside Infrastructure- awarded \$4,733,966 for infrastructure improvements related to the redevelopment of Brookside and Rockview (West Rock).** Construction of the infrastructure related to Phase I, II and Homeownership will be completed during FY 2011.
- **ARRA –Formula based.** HANH expended the majority of its formula based funds during FY2010. The remaining stimulus based project- replacing the façade at Crawford Manor –(budgeted at \$1,886,000) is underway. The remaining \$800,000 will be spent during FY2011.

Three Year Capital Plan

HANH has developed a rolling Three Year Capital Plan to guide the expenditure of capital funds. This plan is informed by the Project Needs Assessments completed during FY2010. The relevant sections for the FY2011 Capital Plan are included above.

VIII. Administrative

Attachment A

Board Resolution Approving This FY 2010 MTW Annual Plan

To: Board of Commissioners

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

Date: June 15, 2010

RE: Approval of MTW Annual Plan for FY 2011

ACTION: Recommend that the Board of Commissioners adopt Resolution Number **06-113/10-R**

TIMING: Immediately.

DISCUSSION: In 1997, Congress authorized HUD to approve up to 30 public housing authorities as Moving to Work (MTW) pilot programs. On November 20, 2000, the Board approved the submission of a MTW application. HUD subsequently granted MTW status and signed an agreement with HANH on September 28, 2001, which is retroactive to October 1, 2000.

HUD and the MTW agencies worked to develop the Restated and Amended MTW Agreement which continues the demonstration project through the end of the agency's fiscal year 2018. The HANH Board of Commissioners approved Resolution #02-22/08-R on February 26, 2008 authorizing the execution of the Amended and Restated MTW Agreement. The Amended and Restated MTW Agreement was executed on May 2, 2008.

As a MTW agency, HANH is required, in lieu of the one year/five year Housing Agency Plan, to provide an Annual MTW Plan and an Annual MTW Report. The MTW Annual Plan for FY2011 was made available for public review on April 28, 2010. A public hearing was held on May 26, 2010. At this time HANH submits for Board approval the MTW Annual Plan for Fiscal Year 2011. We request the Board's authorization for the Executive Director to submit to the U.S. Department of Housing and Urban Development (HUD) the MTW Annual Plan for FY 2011 and all related or required certifications and HUD forms, of which the attached document is a part, and all necessary documentation and submissions of the Plan.

FISCAL IMPACT: None.

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

Housing Authority of the City of New Haven

Resolution Number: 06-113/10-R

APPROVING HANH'S MTW ANNUAL PLAN FOR FY 2011

WHEREAS, the U.S. Department of Housing and Urban Development (HUD) has granted Moving to Work (MTW) status to the Housing Authority of the City of New Haven (HANH); and

WHEREAS, HUD has signed a Restated and Amended MTW Agreement with HANH, which will be generally beneficial to the operations of the Housing Authority; and

WHEREAS, a requirement of the MTW Deregulation Demonstration program is for HANH to submit an Annual MTW Plan;

NOW, THEREFORE, THE BOARD OF COMMISSIONERS hereby authorizes the Executive Director to submit to the U.S. Department of Housing and Urban Development (HUD) the Moving to Work Annual Plan for FY 2011 and all related or required certifications and HUD forms, of which this document is a part, and all necessary documentation and submissions for the receipt of public housing operating, Section 8, and Comprehensive Grant Program funds, and make the following certifications and agreements with HUD in connection with the submission of the Plan and implementation thereof:

1. HANH held a public hearing regarding the Plan.
2. HANH 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.
3. In relation to Development Choice:
 - HANH will regularly submit required data to HUD's MTCS in an accurate, complete and timely manner (as specified in PIH Notice 99-2);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
 - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - HANH shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
 - HANH will provide for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7.
4. In relation to rent policies, the HANH certifies that:
 - The HANH Board approves of this policy and has approved the required analysis of the impact of such policies specified in Article I, Section I of the MTW Agreement and,
 - HANH is in compliance with all provisions of that section.
5. HANH will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
6. HANH will comply with the Architectural Barriers Act of 1968 and 24CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
7. HANH 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.
8. HANH will submit with the Plan a certification with regard to a drug free workplace required by CFR Part 24, Subpart F.
9. HANH will submit with the Plan a certification 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.
10. HANH 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.
11. HANH will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
12. HANH will provide HUD or the responsible entity any documentation that the Department needs to carry out its review under the National Environmental Policy Act and other related authorities. In accordance with 24 CFR Part 58.
13. With respect to public housing, HANH 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.
14. HANH will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
15. HANH will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
16. HANH 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).

17. HANH will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and the MTW Agreement executed by HANH and HUD and will utilize funds made available under the Capital Fund, Operating Fund and Section 8 tenant-based assistance only for activities that are allowable under applicable regulations as modified by the MTW Agreement and included in its Plan.
18. The HANH Executive Director is hereby authorized and directed to finalize the MTW Plan, including such modifications as the Executive Director deems necessary and appropriate and in the best interest of HANH, and to sign any and all documents related thereto, and to take any and all such actions ancillary thereto and in furtherance of the foregoing.

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 June 15, 2010.

Karen DuBois-Walton
Secretary/Executive Director

June 15, 2010
Date

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

By: _____
Rolan Joni Young, Esq.
A Partner

**PHA 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 October 1, 2010, 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 made the proposed Plan and all information relevant to the public hearing available for public inspection at least 30 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
2. 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.
3. The PHA will affirmatively further fair housing by examining their 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.
4. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
5. The PHA will comply with the Architectural Barriers Act of 1968 and 24CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
6. 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.
7. The PHA has submitted with the Plan a certification with regard to a drug free workplace required by CFR Part 24, Subpart F.
8. The PHA has submitted with the Plan a certification 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.
9. 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.
10. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
11. The PHA will provide HUD or the responsible entity any documentation that the Department needs to carry out its review under the National Environmental Policy Act and other related authorities. In accordance with 24 CFR Part 58.
12. 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.
13. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
14. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
15. 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).
16. 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.
17. 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.

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 many result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

name of Authorized Official Title

Robert Solomon Chairman

Signature Date

X June 15, 2010

B. Documentation of Public Hearing and Public Comment Period

HANH's MTW Annual Plan 2011 was made available for public comment on April 28, 2010. A copy of the notice placed in the New Haven Register is attached.

A Public Hearing was conducted on May 26, 2010 at 5 pm at 360 Orange St. Thirty-nine individuals were in attendance. The following comments were received:

- 1. HANH needs to improve maintenance in some areas.**
- 2. The program that HANH has where residents are hired to work in the maintenance area is a worthwhile effort and should be continued. In this tough economy, many people cannot find work and this offers an employment opportunity and addresses maintenance needs.**

The Plan was approved by the Board of Commissioners on June 15, 2010 via Resolution #06-113/10-R.

C. Evaluation Plan

During FY 2010 HANH conducted a public procurement to select an evaluator for HANH's MTW program. Four responses were received. HANH selected EuQuant as the most responsive proposal. HANH entered into a contract with EuQuant for quantitative analysis of its MTW program.

During FY2011, HANH anticipates completing the initial analysis of its MTW program. This evaluation will focus on determining the effectiveness of each MTW initiative toward meeting one of three statutory goals. Results will be incorporated into HANH's MTW 2011 Annual Report.

Appendix 1

HANH's local total development cost (TDC) limits as approved by HUD on July 2, 2010. The following pages detail HANH's Alternate TDCs.

Appendix 2

Local Asset Based Management:

Under the First Amendment to the MTW Agreement 10-15-08, HANH is permitted to design and implement its own Local Asset Based Management Program so long as the HANH and HUD agree that the principles and understanding outlined in the Amendment are adhered to. HANH developed a program wherein Excess Operating Reserves are funded from the General Fund Account and will be used to cover deficits through a journal voucher once per year to ensure that the transfer of funds from the General Fund to a project to cover any operating deficits are reflected on the income and expense statement of the project. HANH used property level management accounting and budgeting for direct costs incurred by each property. Each project is charged a management fee of \$63.29 per unit per month, bookkeeping fee of \$7.50 per unit per month, asset management fee of \$10 per unit per month 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. 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. 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 systematically reviews information regarding the financial, physical and management performance of each project and identifies non-performing assets. All non-performing assets will have a management plan that includes a set of measurable goals to address. During FY2009, HANH conducted an updated Physical Needs Assessment for each project. The work was completed in FY2010 and will be fully reported in the FY10 report. Finally, HANH has implemented a Risk Management Program in accordance with §990.270.