HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

2012 MOVING TO WORK ANNUAL PLAN

John DeStefano, Jr., Mayor

Board of Commissioners
Rev. J. Lawrence Turner, Vice-Chair
Louise Pearsall
Eliezer Cruz

Karen DuBois-Walton, Ph.D., Executive Director
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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 2012 (October 1, 2011 to September 30, 2012).

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 2012.

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 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.

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 2012. The 2012 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 2012 MTW Annual Plan was made available for public review on May 2, 2011 and a public hearing was held on May 27, 2011. On June 21, 2011, the Board of Commissioners passed Resolution #06-96/11-R approving the 2012 MTW Annual Plan.

B. Initiatives for FY 2012

During FY 2012 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":

- ***CARES Initiative – self sufficiency initiative geared toward families residing in the newly redeveloped Brookside Phase 2 Rental development that introduces term limits, escrow accounts and self sufficiency support services.***

- ***Establish income eligibility criteria for Housing Choice Voucher Program to enable HANH to award project based vouchers for Mixed Finance developments for families of up to 80 percent of area median income so long as not more than 15 percent of project based vouchers awarded in any one year shall be awarded to families earning between 50 and 80 percent of area median income. (MTW agreement provides waiver for HANH to establish its own income limits).***

- ***Youth Initiative – provision of support to HANH's families with children by providing additional youth support services, after school and summer programming, truancy prevention services and leadership development opportunities. (Required MTW Funding flexibility ONLY)***

- ***Dispose of Sheffield Manor to a non-profit organization for the purpose of developing low income housing thereby reducing operating burden. (Non MTW seeking other approvals)***

- ***Dispose of 7 Shelton to Beulah Land Development Corporation for the purpose of developing low nine (9) affordable home ownership units. (Non MTW seeking other approvals)***

- ***Dispose of former Rockview development under the Mixed Finance Regulations and Section 18 to Glendower, or an affiliate thereof, or to the developer, or an affiliate thereof. (Non MTW seeking other approvals)***

- ***Dispose of Valentina Macri to a non-profit organization for the purpose of developing housing for the homeless thereby reducing operating burden. (Non-MTW seeking other approvals)***

- ***Waive the 60 day notice requirement to residents of 24 CFR 982.517 of Utility Allowance Schedules for recently completed mixed finance developments.***

- ***Use of frozen or fixed utility consumption per the MTW Agreement.***

- ***Legacy Attachment to Increase the Allowed Percentage of Project Based Units from 75 Percent to 100 Percent for Voluntary Conversion under Section 18.***

C. Ongoing Initiatives

HANH continues to make progress toward the following MTW initiatives:

Increase housing choice:

- <u>Design Guidelines, TDC and HCC Waivers.</u> HANH has implemented its revised design guidelines and will continue to use. TDC and HCC alternatives have been approved by HUD and HANH will review its HCC and TDC limits during FY 2012 and annually thereafter to determine if they need to be adjusted based upon the methodology approved by HUD.
- <u>HCV Initiatives.</u>
    - <u>Foreclosure protection program</u> will continue during FY12
    - <u>Expanded Housing Opportunities</u> will continue during FY12.
    - <u>Project Based Voucher Program</u> will continue in FY12 outlined in this and previous plans and continues its planned allocation of PBV units during FY12.
    - <u>Tenant Based Voucher for Supportive Housing for the Homeless</u> will continue during FY12
- <u>Increased Cap on PBV units</u> in a development as previously approved will continue in FY12
- 15 Percent of PBV may be allocated to families with income between 50 and 80 percent AMI for Brookside Phase 1 Rental.
- 45 Percent of PBV may be allocated to families with income between 50 and 80 percent AMI for Brookside Phase 2 Rental.

Increase family self sufficiency

- <u>Enhanced Family Self –Sufficiency program</u> has demonstrated marked success and will continue during FY12

- Promoting Self-Sufficiency/Earned Income Exclusion initiative will continue during FY12

Cost effective and efficient service delivery

- Rent simplification. HANH's rent simplification program offers a standardized rent tier table with deductions included, alternate year recertification, 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. HANH has fully implemented its Rent Simplification initiative and all activities will continue during FY2012.
- 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. HANH conducts UPCS inspections on 20% of its inventory.
- 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. During FY11 HANH interfaced with HUD's Technical Assistance Team moving the agency closer to the goals of Asset Based Management. HANH anticipates continuing this approach during FY 2012.
- 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 the mailing a check to the landlord.

The following projects will continue during FY2012 and require MTW funding flexibility ONLY:

ON-GOING

- Project Modernization. During FY12 the modernization projects will be completed at McConaughy, McQueeney Towers, Crawford Manor, Ribicoff Cottages and Extensions, Fulton Park, Westville Manor, Valentina Macri and Ruoppolo Manor, as well as various vacancy rehabilitations and UFAS compliance upgrades agency-wide.
- Vacancy Reduction. HANH will continue to show improvement from the baseline FY08 vacancy rate of 10%. The FY12 vacancy rate is expected to be 5%.
- Supportive Services. All planned supportive service initiatives have been implemented and will continue during FY12 including:
    - Resident Services for families,
    - Resident services for Elderly/Disabled,
    - Supportive Services Contracts in E/D buildings,
    - Section 3 Employment and Training
    - Re-Entry pilot program has housed 13 individuals during FY11 and a continuation of this program is expected during FY12.
- Deconcentration of Poverty -
    - Housing Choice Voucher: 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 utilizes real estate consultants to assist in the identification of units in areas of low poverty and link participants to these units. During FY 2012, this initiative will continue to be measured by assessing the lease up rates in areas of low poverty.
    - LIPH: Marketing initiatives for Higher Income Eligible families will continue during FY12.
- Family Self-Sufficiency Initiatives:
    - Specialized Training Opportunities for HANH's FSS families. HANH's Specialized Training program was implemented FY2010 and 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 provides educational, training, financial management and administrative support services, to assist HANH Residents in the start up of new Business ventures. Also, HANH makes available back office support services to existing Resident Owned Businesses, MBE, WBE, and other small Section 3 business concerns. This technical assistance will enhance the efforts of Resident Owned Businesses in becoming more

technically proficient and innovative companies in offering comprehensive goods and services. HANH's goal is to create three new Resident Owned Businesses during FY 2012.
    - SEHOP Capital Improvement Program. HANH launched the Capital Improvement Program during FY2010 and will continue this program during FY2012. This program supports new homeowners with_necessary capital improvements that arise after being in the home for a minimum of three years.

The following projects will continue during FY2012 and require MTW funding flexibility and other MTW authorities:

- Major redevelopment efforts at William T. Rowe and West Rock (Brookside, Rockview and 122 Wilmot Road) will include using the HANH Alternative TDC and using its authority to provide project based vouchers in excess of 25 percent of the units.
    - William T. Rowe redevelopment will be completed and fully leased during FY2012
    - Development of Mixed Use (residential and commercial space) at 122 Wilmot Road using fungibility as previously approved will continue to progress in FY12.
    - Development of Rockview Phase I Rental using fungibility will continue during FY12.
    - Development of Brookside Phase 1 Rental using fungibility will continue during FY12
    - Development of Brookside Phase 2 Rental using fungibility will continue during FY12
    -

Finally, this report summarizes the following non-MTW initiatives to be undertaken by HANH during FY2012:

NEW

- Defining Income Eligibility for Housing Choice Voucher and Project Based Voucher Programs
- Supportive Housing Initiative with the State of CT Department of Mental Health and Addiction Services
- DMHAS Mental Health Transformation grant providing housing to homeless individuals served through the State Department of Mental Health and Addiction Services

ON-GOING

- 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), Valentina Macri Courts, Rockview Phase I, and William T. Rowe. Appropriate approvals have been or will be sought.
- Research and Evaluation. HANH has undertaken a research and evaluation study of its MTW program. This study began in FY 11 and will continue in FY12.
- 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. HANH has issued bonds for Brookside Phase 1 Rental under the CFFP and has submitted a request to HUD for approval to issue a Supplemental Indenture for 122 Wilmot Road under the CFFP in 2011.
- Resident Opportunity and Self Sufficiency (ROSS) Grants. HANH is the recipient 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 FY12 and begin implementation.
- Mandatory Conversion analysis. HANH has not units listed on HUD's current list of developments requiring mandatory conversion.
- Elderly Designation. HANH received approval to designate 26 units as elderly only at the 122 Wilmot Road development.

II. General Housing Authority Operating Information

A. ***Who we serve?***

HANH serves approximately 5000 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 79% of LIPH and 75% of HCV families in this income category. 23% of LIPH families and 32% of HCV families earn wages. Less than 5% of all families report no income. Approximately 82% of households in both programs range from 1 person to 3 person families. The following table summarizes the population demographics.

During the 2001 baseline year, HANH served a total of 4,827 families. Current numbers reflect an increase of 292 families or 6% indicating that HANH is increasing the number of families being served.

	LIPH			HCV			Total
Total households	2094	*41%*		3025	*59%*		5119
Total individuals	4189	*36%*		7603	*64%*		11792
Average income	$ 12,989.00			$ 14,724.00			
Average TTP	$ 297.00			$ 335.00			
No income	76	*4%*		161	*5%*		
Extremely low income	1657	*79%*		2266	*75%*		
Very low income	262	*13%*		504	*17%*		
Low income	59	*3%*		180	*6%*		
Above low income	116	*6%*		75	*2%*		
Households with wages	474	*23%*		966	*32%*		
Households with public assistance	100	*5%*		150	*5%*		
Households with social security	1160	*55%*		1212	*40%*		
Households with other non-wages	286	*14%*		537	*18%*		
Minority households	1447	*69%*		1769	*58%*		
Non-minority	647	*31%*		1256	*42%*		
Elderly families	589	*28%*		517	*17%*		
Disabled families	1078	*51%*		1063	*35%*		
1 member	1076	*51%*		975	*32%*		
2 members	439	*21%*		694	*23%*		
3 members	270	*13%*		665	*22%*		
4 members	183	*9%*		383	*13%*		
5 members	82	*4%*		194	*6%*		
6 members	30	*1%*		76	*3%*		
7 members	9	*0%*		25	*1%*		
8+ members	5	*0%*		13	*0%*		

B. Housing Stock Information

As of September 30, 2011, HANH's LIPH inventory totals 2,576 units. This number reflects non-ACC units at Quinnipiac Terrace, Eastview Terrace, Monterey Place and one unit at William T. Rowe. This reflects a reduction of 389 units since the beginning of HANH's MTW status, when HANH's housing stock included 2,965 total units. However, as indicated above, HANH serves more eligible families through its LIPH and HCV programs, and additionally has added affordable units through its mixed income developments.

The ACC units under Mixed Finance Projects are included as part of the agency's MTW Program.

The following table provides actual counts of units for FY2011. HANH has budget authority for 4,388 Housing Choice Vouchers[1]. HANH has leased 3,070 Housing Choice Vouchers. HANH also administers 80 Single Room Occupancy (SRO) vouchers and 35 Veterans Administration Supportive Housing (VASH) vouchers for a total count of 3,176 vouchers. (The SRO and VASH vouchers are not included in the MTW program).

HANH plans to maintain utilization of HCV's during FY12. A significant portion of the remaining HCV funds will be used towards construction of new units i.e. 101 units at Brookside Phase 1, 17 units at Valentina Macri, 11 units at CUHO New Construction, 44 units at Mutual Housing and 1 unit for Supportive Housing for the Homeless or Foreclosure Protection. creating 174 additional housing units. Of the 174 additional housing units, 95 will be PBV's. The table attached as **Appendix 5** provides detailed information.

A. Housing Stock Information:	
Number of public housing units at the beginning of the plan year:	HANH has a public housing stock of 2,421 public housing units. This includes 1,028 site-based family units; 920 Elderly/Disabled units; 263 Elderly only units, 184 Scattered Site units.
General description of any planned significant capital expenditures by development(>30% of the Agency's total budgeted capital expenditures for the fiscal year)	Planned capital expenditures for FY2012 by project are identified in section *VII. Sources and Uses of Funding, B. Planned Sources and Expenditures by Development*, *Capital Budget*. There are multiple capital projects to be undertaken; however, the projected cost per project does not meet the benchmark for planned significant capital expenditures.

Description of any new public housing units to be added during the year by development (specifying bedroom size, type, accessible features, if applicable);	Ninety-six (96) new units are anticipated to be added during FY12. 46 units at William T. Rowe were anticipated to be added during FY2012 but were added during FY 2011 as part of Mixed Finance Development consisting of elevator type units delineated as follows: 30 one-bedroom and 16 two-bedroom of which 10 units will be for mobility impaired and 2 for hearing or sight impaired. 50 units at Brookside Phase 1 Rental as part of Mixed Finance Development consisting of Row House and Walk-up type units delineated as follows: 12 one-bedroom; 35 two-bedroom; 1 three-bedroom; and 2 four-bedroom.

[1] Includes 9 vouchers awarded in FY2011 for William T. Rowe residents as a result of the redevelopment of this property.

Number of public housing units to be removed from the inventory during the year by development specifying the justification for the removal.	It was anticipated that dispositions would occur at the following sites, but this did not transpire during FY2011. As such, the following dispositions will occur in FY12: • 17 units at Valentina Macri- disposition of underperforming asset • 176 units at William T. Rowe- disposition as part of a mixed finance redevelopment effort New Dispositions planned for FY12 include • Vacant land at Sheffield Manor – excess property • Vacant land at former Rockview – redevelopment efforts as part of the Master Redevelopment Plan at West Rock. • Land at 7 Shelton Avenue-disposition to non-profit entity for an affordable homeownership housing development.
Number of MTW Housing Choice Vouchers (HCV) units authorized;	HANH has budgetary authority for 4,388 housing choice vouchers.

Number of non-MTW HCV units authorized; and	HANH administers 80 Single Room Occupancy vouchers; and 35 VASH vouchers that are not included in the MTW program.
Number of HCV units to be project-based during the Plan year, including description of each separate project.	During FY2012, HANH anticipates issuing a project based voucher RFP yielding an additional 1 project based vouchers that target foreclosure properties, supportive housing, deconcentration of poverty and State and local priority areas; 8 for the CUHO local priority area award; 50 Brookside Phase I Rental; 17 for the redevelopment of Valentina Macri; 20 for the Mutual Housing Association supportive housing award; and 5 for the DMHAS Mental Health Transformation Grant homelessness protection for a total of 96 new project based vouchers. This will yield a total of 427 project based vouchers.

Lease Up Information

B. Leasing Information, Planned	***This information is estimated and may be subject to change during the Plan year.***
Anticipated total number of MTW PH units leased in the Plan year;	HANH expects to end FY2011 with an occupancy rate of 95% representing 2,094 leased units. Of HANH's overall LIPH units, 42 are approved by HUD for non-dwelling use; and 190 are approved offline for capital, demo/disposition and litigation. These leaves an adjusted unit count of 2,203. HANH achieved 95% occupancy during FY2011 and plans to maintain that occupancy rate during FY2012. HANH's HUD Public Housing Occupancy Standardized Action Plan is attached as Appendix 3.
Anticipated total number of non-MTW PH units leased in the Plan year;	HANH does not have non-MTW PH units in inventory.

Anticipated total number of MTW HCV units leased in the Plan year;	HANH expects to end FY2011 with 3224 leased MTW units. During FY2012, HANH will add an additional 125 tenant and project based units for a total of 3349HCV units. HANH anticipates maintaining this lease up rate during FY2012.
Anticipated total number of non- MTW HCV units leased in the Plan year; and	The agency anticipates 100% lease up rate for its 80 non-MTW SRO and 35 VASH vouchers.
Description of anticipated issues relating to any potential difficulties in leasing units (HCV or PH).	No lease up issues are anticipated in the HCV program. MTW flexibility allows use of HCV funds for other approved purposes. HANH's allocation of voucher funds anticipates 75% of funding allocation used for voucher payments and 25% of funding to be used for modernization, development activities and supportive services. During FY 2012, HANH's development projects require use of HCV funds and HANH reserves leaving funding for approximately 2,777 vouchers. HANH anticipates lease up of 3,464 units during FY2012 or 125% utilization. No issues are anticipated in leasing these vouchers. Further, the chart in Appendix 5 details the plan to utilize the remaining 25% of funding. No issues are anticipated in use of these funds. As the table in Appendix 5 details, the use of HCV funds for development purposes peaks in 2012 and decrease thereafter allowing for further HCV lease up. Completion of long term capital improvement projects will result in lease up of long vacant units at: Ruoppolo Manor, Robert T. Wolfe, and Westville Manor. Anticipated lease up difficulties anticipated at Valentina Macri due to capital needs therefore this property is identified for disposition. No further lease ups are anticipated at the existing William T. Rowe due to planned redevelopment that will be completed in FY2012.

Optional in Plan: Number of project-based vouchers in-use at the start of the Plan year.

Housing Program & Type	**Description**	**Current**	**Units to Be Removed During FY 2012**	**Units to Be Added During FY 2012**	**Planned FY 2012**
Housing Choice Voucher					
Project Based Vouchers					
PBV Fellowship I	100% Supportive Housing	18			18
PBV Fellowship II	100% Supportive Housing	5			5

PBV Also Cornerstone	100% Supportive Housing	4			4
PBV Norton Court	100% Supportive Housing	12			12
PBV QT Phase 1	81 units – 28% of units PBV	23			23
PBV QT Phase 2	79 units – 29% of units PBV	23			23
PBV QT Phase 3	33 units – 48% of units PBV	16			16
Park Ridge	100% Elderly/disabled housing	60			60
Eastview	102 units – 48% of units are PBV	49			49
West Village	52 Howe – Single Room Occupancy Units	13			13
Casa Otonal	12 PBV – families	12			12
Mutual Housing Existing	100% Supportive Housing Program	9			9
CUHO Existing	Scattered Site PBV- Families	24			24
Frank Nasti Existing	Scattered Site PBV- Families	11			11
Shartenburg	20 PBV units for City initiative 360 State- Families	20			20

CUHO New Construction	Affordable 8 unit rental housing development- Families	0		8	8
Brookside Phase I Rental	101 affordable rental mixed - 50% of units are PBV	0		50	50
William T. Rowe	104 affordable mixed use, mixed finance development 31% of units are PBV	32			32
Val Macri	Option Agreement for Supportive Housing For the Homeless	0	0	17	17
MHA New Construction	8 rehabilitation / 12 new construction affordable housing - 45.5% of units are PBV	**0**		20	20
PBV Supportive Housing Homeless/Foreclosure Protection				**1**	**1**

PBV Subtotal		**331**	**0**	**96**	**427**
Tenant Based Vouchers					
Tenant Based Vouchers		2863			2863
Tenant Based DHMAS Supportive		20		5	25
DMHAS Mental Health Transformation Grant		**0**		5	5
Foreclosure Protection and/or Supportive Housing for Homeless(tenant based)		10		0	10
Brookside Homeownership Phase 1	10 new homeownership units	0	**0**	**10**	10
William T. Rowe relocation vouchers	Replacement Housing Vouchers			**9**	9
TENANT BASED VOUCHERS SUBTOTAL		**2893**	**0**	**29**	**2922**
HCV MTW SUBTOTAL		**3224**	**0**	**125**	**3349**
Non-MTW – VASH		35	0	0	35
Non-MTW – SRO		80			80

NON-MTW SUBTOTAL		**115**	**0**	**0**	**115**
Housing Choice Voucher Subtotal		**3339**	**0**	**125**	**3464**

C. Waitlist 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 FY2012.
Description of anticipated changes in the number of families on the waiting list(s) and/or opening and closing of 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.

Policies for Mixed Finance Developments

HANH's public housing portfolio presently includes three mixed finance HOPE VI developments: Monterey Place, Eastview Terrace and Quinnipiac 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, 122 Wilmot Road 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. The Authority has executed a Mixed Finance Amendment to its Consolidated Annual, Contribution Contract (Mixed Finance ACC Amendment to provide for the development of the William T. Rowe Mixed Finance Development which will consist of 104 units of housing and appurtenant commercial and community space. Forty- six (46) of these units will be public housing units; thirty-two (32) will be project based; and twenty-six (26) units will be unassisted. Thirty of the ACC units will be one-bedroom apartment and 16 will be two bedroom apartments. Twelve (12) of the project based units will be one bedroom apartments and twenty (20) will be two-bedroom apartments. The Mixed Finance ACC Amendment permit HANH's to adopt modifications to its standard ACOP the purpose of its mixed finance projects to the extent these modifications are consistent with the requirements of Federal Law, including but not limited to 24 CFR Part 966.3, 24 CFR Part 966.52, 24 and 24 CFR Parts 903, 960, and 966 Mixed Finance ACC; and provided further that such modified provisions are described in the MTW Plan. The following modifications for William T. Rowe will be made to the HANH standard ACOP:

- An admission preference for existing Rowe residents for all 46 ACC units pursuant to MOA between the Rowe residents and the Owner and HANH and NHLA;
- An admission preference for "working families" for the 26 of the PBV units;
- Any additional units not required to re-house existing Rowe residents will subject to working family preference units will be prioritized for families with working preference as set forth in the William T. Rowe Cooperation Agreement;
- An admissions preference for the elderly and disabled families for the 46 ACC units;

- In accordance with the MOA, all existing Rowe residents that are not evicted at the time of relocation will be permitted right to relocate and HANH has to identify all residents "not in good standing" at least nine months prior to relocation so that any issues regarding these residents can be resolved prior to relocation;
- Accessible vacant units should be offered first to residents of Rowe with a disability that qualifies them for the units then to a family of the Authority accessible waiting list;
- Existing Rowe residents that voluntarily accept a PBV unit will be provided with same transfer rights as other ACC residents;
- In order to facilitate compliance with Tax Credit Requirements and/or AHP Requirements, HANH will not impose any policy within this ACOP upon any mixed-finance development if such policies would create non-compliance with Tax Credit Requirements and/or AHP Requirements and AHP Requirements, unless such policies are otherwise required by applicable public housing requirements. Examples of policies that are different than what is set forth in the ACOP include the requirement for annual re-certifications (to the extent required by Tax Credit Requirements) and might include different income tiering requirements; and
- In the event of a conflict between the Declaration of Restrictive Covenants, the Regulatory and Operating Agreement, the Mixed Finance ACC Amendment any deal-specific management documents and this ACOP, those documents shall control. Provided however, that in all events notwithstanding anything in this addendum to the contrary, the applicable public housing requirements shall control.
- Income tiering in accordance with the ACOP such that 43 percent of the public housing units shall be rented to households with annual income at or below 30 percent of area median income and that 57 percent of the public housing units shall be leased to families with income above 30 percent of the area median income.

The Authority has executed a Mixed Finance Amendment to its Consolidated Annual, Contribution Contract (Mixed Finance ACC Amendment) to provide for the development of the Brookside Phase I Rental Development which will consist of 101 units of housing. Fifty (50) of these units will be public housing units and 50 will be project based units. Twelve (12) of the ACC units will be one-bedroom apartments; thirty-five (35) will be two-bedroom apartments; one (1) will be a three-bedroom apartment; and two (2) will be four-bedroom apartments. Project based units will be Forty (40) three-bedroom apartments and ten (10) four-bedroom apartments. One (1) unit will be a qualified non-income generating unit set aside for a maintenance supervisor. The Mixed Finance ACC Amendment permits HANH to adopt modifications to its standard ACOP for the purpose of its Mixed Finance projects to the extent these modifications are consistent with the requirements of Federal Law, including but not limited to 24 CFR Part 966.3, 24 CFR Part 966.52, 24 and 24 CFR Parts 903, 960, and 966 Mixed Finance ACC; and provided further that such modified provisions are described in the MTW Plan. The following modifications will be made to the HANH standard ACOP:

An admission preference for former and current West Rock residents for all 50 ACC units will apply pursuant to the agreement between the Tenant Resident Council ("TRC") for West Rock and the Developer and is as follows:

- All residents of Brookside, Rockview Circle, Ribicoff Cottages, and Westville Manor as of July 17, 1999;
- In accordance with the MOA, all relocated residents that are in "good standing", as defined in the ACOP, will be permitted to exercise their right to return;
- A "working family" preference for the 50 PBV units;
- Accessible vacant units shall be offered first to former residents of West Rock with a disability that qualifies them for the units, in order of the preferences, then to a family on the Authority's accessible waiting list;
- Returning residents that voluntarily accept a PBV unit will be provided with same transfer rights as other ACC residents;
- In the event of a conflict between the Declaration of Restrictive Covenants, the Regulatory and Operating Agreement, the Mixed Finance ACC Amendment any deal-specific management documents and this ACOP, those documents shall control. Provided however, that in all events notwithstanding anything in this addendum to the contrary, the applicable public housing requirements shall control;
- Income tiering in accordance with the ACOP such that 100 percent of the public housing units shall be rented to households with annual income at or below 30 percent of area median income;
- Rent determination for returning families will continue to be done in accordance with HANH's Rent Simplification Policies under HANH's Alternative Rent Determination Policy;
- Rent determination for all new admissions shall be done in accordance with HUD regulations at 24 CFR Part 5; and
- Flat Rent determination for new families shall be done annually.

The Authority intends to execute a Mixed Finance Amendment to its Consolidated Annual, Contribution Contract (Mixed Finance ACC Amendment) to provide for the development of the 122 Wilmot Road Development which will consist of 47 units of housing. Thirty-four (34) of these units will be public housing units and 13 will be project based units. Twenty-six (26) of the ACC units will be designated elderly only with a sub-preference for the returning residence of the West Rock area pursuant to the MOA executed with the TRCs. The eight (8) remaining ACC units are designated elderly and disabled. The thirteen (13) project based vouchers are designated elderly only with a sub-preference for the returning residents. The Mixed Finance ACC Amendment permits HANH to adopt modifications to its standard ACOP for the purpose of its Mixed Finance projects to the extent these modifications are consistent with the requirements of Federal Law, including but not limited to 24 CFR Part 966.3, 24 CFR Part 966.52, 24 and 24 CFR Parts 903, 960, and 966 Mixed Finance ACC; and provided further that such modified provisions are described in the MTW Plan. The following modifications will be made to the HANH standard ACOP:

- An Admission preference does not guarantee admission.
- Preferences establish the order of applicants on the waiting list.
- Every applicant must still meet the Wilmont Crossing at West Rock's Selection Criteria as set forth in the ACOP before being offered an apartment.
- Verification must be submitted in order to be given a preference.
- Preferences will be granted to applicants who are otherwise qualified and who, at the time of the offer (prior to execution of a lease), have the oldest application date on the waiting list for the size and type of unit sought.
- An admission preference for the thirty-four (34) ACC units are set forth below:
    a. The twenty-six (26) ACC units are designed Elderly Only.
        i. Preference for these 26 ACC units are as follows:
            1. First preference – all residents of Brookside at the time of the execution of the Memorandum of Agreement (MOA) (7/17/1999) between TRCs of West Rock and HANH by order of when people initially moved into the development;
            2. Second preference - all residents of Rockview at the time of the execution of the MOA between TRCs of West Rock and HANH;
            3. Third preference - all residents of Westville Manor or Ribicoff Cottages at the time of the execution of the MOA between TRCs of West Rock and HANH;
            4. Fourth preference - applicants in accordance with all other preference set forth in the ACOP.
    b. The remaining eight (8) ACC units are elderly and disabled.
        i. Preferences are as follows:
            1. First preference – families with a disability that qualifies them for an accessible unit;
            2. Second preference - shall be given to persons with less than two (2) people in the household.
            3. Third preference - shall be given to families with two (2) or more people in a household.
        ii. Within each of these three preferences for the 8 ACC units, preference shall be as follows:
            1. First preference - all residents of Brookside at the time of the execution of the Memorandum of Agreement (MOA) (7/17/1999) between TRCs of West Rock and HANH by order of when people initially moved into the development;
            2. Second preference - all residents of Rockview at the time of the execution of the MOA between TRCs of West Rock and HANH;
            3. Third preference - all residents of Westville Manor or Ribicoff Cottages at the time of the execution of the MOA between TRCs of West Rock and HANH;
            4. Fourth preference - applicants in accordance with all other preference set forth in the ACOP.
- An admission preference for the thirteen (13) Project Based Section 8 (PBV) units are set forth below:
    a. The thirteen (13) PBV units are designed Elderly Only.
        i. Preference for these 13 PBV units are as follows:
            1. First preference – all residents of Brookside at the time of the execution of the Memorandum of Agreement (MOA) (7/17/1999) between TRCs of West Rock and HANH by order of when people initially moved into the development;
            2. Second preference - all residents of Rockview at the time of the execution of the MOA between TRCs of West Rock and HANH;
            3. Third preference - all residents of Westville Manor or Ribicoff Cottages at the

time of the execution of the MOA between TRCs of West Rock and HANH;
4. Fourth preference - applicants in accordance with all other preference set forth in the ACOP.

- Within the aforementioned preferences, the following preferences will prevail:
  a. Displaced Persons as defined under Section II Housing Glossary Terms of the ACOP.
  b. Documented victims of domestic violence, dating violence or stalking.
  c. Local preference based on Income Targeting 24 CFR 960.202. The Owner and HANH have agreed pursuant to the Regulatory and Operating Agreement.

- Accessible vacant units shall be offered first to former residents of West Rock with a disability that qualifies them for the units, in order of the preferences, then to a family on the Authority's transfer waiting list, then to the Authority's accessible waiting list.
- Returning residents that voluntarily accept a PBV unit will be provided with same transfer rights as other ACC residents.
- In the event of a conflict between the Declaration of Restrictive Covenants, the Regulatory and Operating Agreement, the Mixed Finance ACC Amendment, any deal-specific management documents and this ACOP, those documents shall control. Provided however, that in all events notwithstanding anything in this addendum to the contrary, the applicable public housing requirements shall control.
- Income tiering in accordance with the ACOP such that 100% percent of the public housing units shall be rented to households with annual income at or below 30 percent of area median income and that public housing units shall be leased to families with income above 30 percent of the area median income if households below 30% area median income are not available and eligible for occupancy so that vacant units are not unoccupied.
- Rent determination for returning families will continue to be done in accordance with HANH's Rent Simplification Policies under HANH's Alternative Rent Determination Policy.
- Rent determination for all new admissions shall be done in accordance with HUD regulations at 24 CFR Part 5.
- Flat Rent determination for new families shall be done annually.

III. Non-MTW Related Housing Authority Information

A. 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**
  - **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 FY2011. The remaining stimulus funds include retainage and final payments subject to closeout. Approximately 5% of the $6,045,769 remains to be released.

- **ARRA funded projects- CFRC Formula Grants**

HANH expended the majority of its formula based funds during FY2011 for a total of 95% of the $6,045,769 awarded with the balance to be spent during FY12

Professional Services	Account 1430:A/E & SM	$22,172
Scattered Sites	Repair and Abate Vacancies;	$135,938

Essex Townhouses	Repair and Abate Vacancies; PNA	$136,315
Fairmount	PNA	$ 13,031
Ruoppolo Manor	PNA	$ 13,031
Winslow Celentano	Repair and Abate Vacancies; PNA	$181,210
Farnam Courts	Repair and Abate Vacancies; PNA	$180,420
McQueeney	Kitchens and Bathrooms, PNA	$1,045,185
Rowe	PNA	$ 13,031
Crawford Manor	Façade and Roof Repair; PNA	$2,177,473
Newhall Gardens	Heating System Upgrade, Mold Remediation and Flooring; PNA	$315,073
Waverly	Repair and Abate Vacancies; PNA	$ 65,893
Valley	Repair and Abate Vacancies; PNA	$ 88,448
McConaughy	Repair and Abate Vacancies; PNA; Furnace Replacement	$431,102
Abraham Ribicoff Cottages and Extension	Mold and Asbestos Remediation: PNA	$362,348
Westville Manor	Repair and Abate Vacancies; PNA	$562,810
	Total	**$5,743,481**

- **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 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.

Planned for FY 2012 ROSS grant expenditures are as follows:

CT004REF02A007- Family Developments	$10,000
CT004RPS047A009- Resident Service Coordinator	$254,000

B. *Description of Non-MTW Activities Proposed by Agency*

Non-MTW Initiatives. During FY2012, 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. In addition, HANH received approval from HUD under its 24/9 Brookside Homeownership program to provide up to 10 Section Eight Homeownership vouchers to eligible homebuyers.

  To date, 28 Residents have purchased homes. During 2012, we expect an additional 5 residents to purchase homes. Under the Brookside Homeownership program we expect approximately three (3) families to purchase homes utilizing the Section Eight vouchers.

- ***Supportive Housing Initiative with Department of Mental Health and Addiction Services.***
  HANH planned to provide twenty (20) vouchers to participants receiving DMHAS' Intensive case management (ICM) services. Participants are screened by DMHAS and given preference on the supportive housing wait list. During FY2010 this initiative was implemented. In FY2011, 15 participants were leased up and it's anticipated that 5 will be leased during FY12.

- ***DMHAS Mental Health Transformation Grant -***
  The Mental Health Transformation (MHT) Grant awarded DMHAS and its sub-recipient, Continuum of Care, Inc. funding to provide supportive services to individuals who are exiting homelessness and entering permanent

housing. Permanent Supportive Housing is a housing model that has been shown to be effective in ending homelessness. An evaluation component will also be included in this project. This project will serve fifty (50) individuals per year.

The MHT is an approach to ending homelessness by providing permanent and independent housing along with supportive services as needed. The program provides supportive services to address mental health and substance use issues and illness management utilizing harm-reduction and trauma informed care models. A variety of services are provided to promote housing stability and individual well-being. The duration of services depends upon individual need.

Continuum of Care Inc. is a nonprofit organization that provides comprehensive community-based residential and support services to persons with psychiatric and developmental disabilities. The MHT program serves adults in need of mental health or dual diagnosis treatment, who are homelessness or are currently living in supportive housing programs. The MHT program offers a variety of supports assisting clients in managing their symptoms more effectively and overcoming challenges resulting from their illness. Accessing entitlements and help with budgeting, and integration of service providers are key components of the program. Case management in conjunction with the resident will develop individualized service plans based on resident preference and stated needs. An assigned staff member will assist in identifying each client's strengths, needs, abilities, and preferences. The service plan targets the utilization of cultural, rehabilitative, vocational, recreational, social, and emergency resources in the community. Appropriate support, staff-resident interaction, and counseling are provided through individual sessions with staff members.

The MHT Program offers daily living skills development, peer support services, in home health care, crisis intervention, relapse prevention, and wellness screenings. Services will vary according to individual client needs and may include different degrees or levels of service. Long range planning endeavors that help residents achieve their optimal level of autonomous functioning and successful residency in the community is the goal of the program.

HANH will obligate five (5) vouchers and twenty (20) LIPH units for participants in the MHT program. Applications for these vouchers will be provided to individuals identified by Continuum of Care Case Management as being eligible to participate. Applicants for the vouchers must meet the same eligibility requirements as applicants the HANH's supportive Housing Programs. For the twenty (20) LIPH units, there will be an admission preference for individuals exiting homelessness.

- ***Prison Re-entry Program.*** HANH established a preference for LIPH units (a maximum of 12 units) for individuals returning to the community from prison who are engaged in community supportive services and job skills training. Residents receive case management services which will assist them in identifying needs and coordinating referrals and services. Individuals participating in program will be lease compliant i.e. pay rent on time and will not be a nuisance to other residents, During FY2011 12 residents were leased under this program. As participants graduate the program, new residents will be admitted during FY 12 to maintain program capacity.

- ***Choice Neighborhood Initiative Grant.***

HANH will apply for a 2012 ***Choice Neighborhoods Initiative Implementation Grant*** for the Redevelopment of Farnam Courts.

- ***Submission of a Disposition Application for Ribicoff Cottages.***

HANH intends to submit a disposition application for Ribicoff Cottages. Ribicoff is located at 200 Brookside Avenue and is adjacent to the redevelopment efforts ongoing at West Rock. In addition, the Authority intends to apply for various financing, including but not limited to federal funding, LIHTC, HTCC, FHLB.

- ***Submission of a Disposition and/or Demolition Application for Farnam Courts.***

HANH intends to submit a disposition and/or demolition application for Farnam Courts. Farnam is located at 210 Hamilton Street and is also included in the HANH's 2012 Choice Neighborhoods Implementation Grant for funding.

- ***Submission of a Disposition Application for Valley Townhouses.***

HANH intends to submit a disposition application for Valley Townhouses, located at 210 Valley Street, for the purpose of submitting a mixed-finance proposal.

- ***Income Targeting.*** HUD's income targeting regulations require that least 40% of new admissions to the public housing program must be extremely low-income families (less than 30% of the area median). Housing authorities may be required to undertake affirmative measures to ensure that they comply with HUD's income targeting requirements. HANH has provided demographic data regarding the income levels of current residents and waiting list applicants in a prior Section of this MTW Annual Plan. As this data indicates, the vast majority (85% or more) of HANH's current residents and applicants are extremely low-income. HANH's existing program already satisfies HUD's income targeting requirements, with well more than 40% of new admissions being extremely low income families, without HANH taking any special measures. With over 85% of HANH's residents at the extremely low-income level, this creates challenges in creating viable communities. The result becomes communities plague by the social challenges of the extremely poor accompanied by the challenges of the financial viability of the property. During FY10 HANH planned to aggressively market its properties to new populations in an attempt to further stratify the income mix of these developments while still satisfying the requirement to admit at least 75% very low income residents. HANH's admission preferences have been programmed to draw families in accordance with this requirement. Additionally, HANH seeks to increase the self sufficiency of the existing public housing residents through the FSS initiatives and resident support services discussed below. This initiative was delayed in implementation and is planned for FY2012.

- ***Property Dispositions. HANH intends to dispose of the following properties during FY2012:***

  - ***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 2011 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. HANH has procured the services of a Real Estate Broker to provide disposition services for the sale of 620 Grand Avenue and is hopeful a sale will take place during FY 2012.

  - ***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 and the remaining residents will be moving into the new building during FY12.

  - ***Valentina Macri Court***

    During FY2010, HANH conducted a feasibility study on this property. Based on the study, HANH has determined it is better to dispose of the property rather than invest any future funds for this project. A General Information Notice was issued to residents along with a Notice of Eligibility for Relocation Assistance during FY 2011; HANH began discussions with residents and Columbus House to transfer ownership. During FY 2012, HANH will dispose of the property which has 17 units consisting of zero and one bedroom units. We expect relocation of residents and HUD disposition approval to occur during FY 12.

  - ***7 Shelton Avenue***

The disposition of the 7 Shelton Avenue Property was secured through a negotiated sale for less than market value with Beulah Land Development Corporation, a not for profit housing development corporation, for the development of low income affordable housing units. During FY 2010, the disposition of 7 Shelton to Beulah Land Development Corporation was approved by HUD. HANH has entered into an Option Agreement with Beulah Land Development for the purpose of developing nine (9) affordable home ownership units. The negotiated sale price will be paid on a pro-rata basis as each home is sold.

- ***Sheffield Manor Disposition (51-55 Division)***

  The Housing Authority has determined a need to dispose of the property known as Sheffield Manor, or 51-55 Division Street, in order to reduce capital costs. The HANH has entered into talks with Columbus House for a proposed disposition for the purpose of developing housing for low-income persons.

- ***Disposition of Rockview Manor***

  Under the Mixed Finance Regulations and Section 18 the Authority plans to request the disposition of former Rockview Manor public housing site to Glendower, affiliate of Glendower and/or an affiliate of the developer of the Rockview Mixed Finance project. HANH intends to develop up to 247 units of housing of the former Rockview site that was demolished in 2004. The requirements of the funding sources will help to determine the exact nature of the disposition.

- ***Dispositionand/or demolition of Farnam Courts.***

  HANH intends to submit a disposition and/or demolition application for Farnam Courts. Farnam is located at 210 Hamilton Street and is also included in the HANH's 2012 Choice Neighborhoods Implementation Grant for funding. In addition, the Authority intends to apply for various financing, including but not limited to federal funding, LIHTC, HTCC, FHLB and applying for the 2012 Choice Neighborhoods Initiative Implementation Grant..

- ***Disposition of Ribicoff Cottages and Extensions***

  HANH intends to submit a disposition application for Ribicoff Cottages and Extensions, located at 200 Brokside Avenue ad is adjacent to the redevelopment efforts ongoing at West Rock. In addition, the Authority intends to apply for various financing, including bu not limited to federal funding, LIHTC, HTCC and FHLB.

- ***Disposition of Valley Townhouses.***

  HANH intends to submit a disposition application for Valley Townhouses, located at 210 Valley Street for the purpose of submitting a mixed-finance proposal.

- ***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 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 Phase I Rental pursuant to 24 CFR part 990.400. This plan was approved by HUD. In 2011, HANH pledged our CFP beginning FY 2010 and our RHF funds beginning in FY 2010 to secure repayment of indebtedness for Brookside Phase 1 Rental. The project closed on January 25, 2011.

- ***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 placed 100% of the savings into an escrow account which will be utilized to self finance energy conservation measures. Retaining the savings and investing in ECM's will assist HANH in achieving its energy interests and goals and reduce overall operating costs. To date HANH has produced a savings in its electrical costs from June 2010 through January 2011 in the amount of $269,553.00. Natural gas savings from September 2010 through January 2011 are $47,904.00. HANH further continues to reduce electricity consumption through education and literature to residents during FY 2012.

- ***Mandatory Conversion.***

Section 33 of the Housing Act of 1937, as amended, requires PHAs to identify developments that must be removed from their inventory. PHAs are required to review their inventory annually to determine if ACC units must be removed from the inventory. The affected developments must be discussed as part of the PHAs Annual Plan. As a first step in identifying units that may be potentially subject to conversion, the Special Application Center has created a Cluster Report. PHAs must address any development of the Cluster List in its Annual Plan. As part of the PHAs Plan, it must:

1. Explain why the cluster in question should not be on the list, or explain why another cluster should be added to the list; or
2. Certify that it has done the conversion calculations, and determined that it is more cost effective to continue operating the cluster as low income public housing; or
3. Submit a conversion plan because the calculations showed that the cluster is not cost effective to maintain when compared to the cost of Section 8.

At the beginning of FY 2011, HANH has one cluster containing 416 units on the list. On December 16, 2010, HANH requested that SAC remove these 416 units from the Cluster List on the grounds that 296 units listed for Brookside had been demolished pursuant to a HUD's approved demolition plan by September 30, 2009 and the remaining units in the cluster currently contains only 100 units (Ribicoff Cottages and Ribicoff Extension) and is also a Mixed Population Development. In addition, the maximum number of units that may be developed on the sites contiguous the Ribicoff projects in the future along with the existing Ribicoff projects will be less than 250 contiguous units. SAC has approved HANH's request and this cluster has been removed from the Cluster List.

- ***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, Park Ridge Associates, Quinnipiac Terrace Phase III, William T. Rowe and Shartenberg developments were expanded in FY09 through the competitive award and the completion of Eastview Terrace which includes PBV. Of those awarded through the competitive process, contracts and lease up occurred during FY09 through and FY11. Additional PBV lease ups anticipated during FY12 are those related to, CUHO New Construction, Mutual Housing New Construction and Rehabilitation, Foreclosure Protection and/or supportive housing for the homeless, Valentina Macri and Brookside Phase I.

IV. Long-Term MTW Planning

A Description of the Agency's long-term vision for the directions of its MTW program, extending through the duration of the MTW Agreement

MTW Goal	Description of Long Term (10 Years) Strategic Plan
1. Reduce cost and achieve greater cost effectiveness in Federal expenditure.	• 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.
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	• 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.
3. Increase housing choices for low income families	• 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, Scattered Sites and Quinnipiac Terrace redevelopments)

MTW Goal	Description of Long Term (10 Years) Strategic Plan
	• Promotion of housing opportunities for income eligible local workforce through LIPH and HCV programs. • Promote development opportunities in non-HANH developments through use of housing choice vouchers to create mixed income, mixed finance viable housing opportunities for participants.

V. Proposed MTW Activities

1. Caring About Resident Economic Self Sufficiency (CARES) Pilot Program for the Brookside Phase 2 Rental Development

As an MTW Agency, HANH is permitted to implement new pilot programs to promote HUD's mission to promote self-sufficiency throughout public housing agencies. HANH has developed a pilot self-sufficiency plan for the Brookside Phase 2 Rental development that encompasses HUD's continued mission to increase self-sufficiency among residents and promote accountability. The C.A.R.E.S. Program (Caring About Resident Economic Self-Sufficiency) introduces the concept of term limits into the public housing and Section 8 programs administered by HANH. All residents, except those exempt under the program requirements will be subject to the 72-month time limit on receiving rental assistance and on participating in the supportive services program for at least 24 months. The returning residents are among the exempt category of all residents but can voluntarily participate in the program. The agency will use its MTW flexibility to fund the required social service component of this program. ***The full program is attached hereto as Appendix 4.***

Prior to signing a lease at the newly redeveloped Brookside Phase 2 Rental site, all residents will have a pre-orientation that will explain the CARES Program.

At the end of the 72-monthlimiton receiving rental assistance, the rent will be at the Flat rent (public housing) or Market rent (PBV), less prorated assistance for household members who are seniors, 18 years of age or under, disabled or otherwise exempt. (As described in the plan) We recognize that there are individuals who to no fault of their own will not be able to achieve self-sufficiency on their own. Non-exempt individuals who have an Individual Service Plan (ISP) and case manager, and show progress towards the goals of the plan will continue to be able to receive assistance as long as they continue to make progress towards their goals. Out of the 101 units to be developed in the Brookside Phase 2 Rental project, we anticipate that 72 percent of the residents will required to enroll in the CARES program.

Residents and participants are incentivized to enroll in the CARES program because of the intensive supportive services offered, the escrow payment and the increased control over the use of their funds (including subsidy dollars). Along with intensive supportive services for a24-month period over the 72 months, residents will receive a lump sum of the equivalent to the subsidy payments in the final year of the program deposited into an escrow account (REEF) to be used with the approval of HANH during the term of the program. The funds in the REEF may be used to cover the following costs; a hardship (as defined under the Hardship Policy and Guidelines), purchase of a vehicle to attain or maintain employment (a onetime payment not to exceed $3,000 after all other options have been exhausted), start a small business (a onetime payment not to exceed $2,500 after all other options have been exhausted), purchase a computer, down payment on a home, and/or enroll in higher education, subject to the approval of HANH. The monthly subsidy payment will be pre-determined at an initial assessment conducted prior to lease up at the newly redeveloped West Rock Community in a manner consistent with the Authority's Rent Simplification Program.

While the most intensive supportive services are provided during the first two years of the program, all participants continue to be able to avail themselves of the support as needed. It is anticipated that as barriers and service needs are addressed, the need for such intensive support will wane.

This policy and procedural change has resulted in modifications to the MTW Plan, ACOP and Administrative Plan.

As a result of the implementation with the CARES program, HANH can anticipates that the cost of the voucher payments and the cost of supportive services will be off-set by the increase in tenant rent at the end of the 72-month time limit.

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 and provide employment opportunities for families with children.

C. Anticipated Impacts

Implementing the CARES program will promote and increase employment of participating families. It will also reduce the cost of operating the public housing and project based voucher programs.

D. Baseline & Benchmarks

At baseline, no families are enrolled.

Cost efficiency:
Amount of subsidy per family enrolled in CARES compared to control group of comparable families.
Length of time families are subsidized.
Flat rent collected

Housing choice:
The number of persons participating in the program that transition to market rate and other affordable housing units.
Number of units leased by former CARES recipients in census tracts that represent deconcentration of poverty.

Self Sufficiency:
The number of work eligible adults who are employed;
The number of work eligible adults who retain a job for 6 months.
Average income of households.
The number of families participating in the program;
The number of individual service plans created;
Number of families determined to be exempt.
Hardships requested and granted.

HANH will collect a sample of families not participating in the program and use this sample as a control group. HANH's outside consultant, EuQuant, will statistically select families that meet the demographic and income criteria of the CARES families but who live in other mixed finance developments such as Monterey, Quinnipiac Terrace or Eastview for comparison. Families will be selected who show a similar desire for advancement such as Family Self Sufficiency participants.

E. Data Collection on metrics & protocols

The Agency will collect data from the organization providing case management. Agency will develop a web based tracking system to monitor progress of the participants.
Authority's MIS database will track income and subsidy per family.

F. Authorization Cited

For public housing, Attachment C. (C)(11) of our MTW Agreement authorizes the agency to determine family payments, including total tenant payment and tenant rent. The agency is authorized to adopt and implement reasonable policies for setting rents in public housing. The agency is authorized to adopt and implement term limits for its public housing assistance. For Housing Choice Vouchers, Attachment C (D)(1)(a) authorizes the agency to determine the term and content of HAP contracts. Attachment C(D)(1)(b) authorizes the agency to determine the lease period when vouchers expire.

H. Implementation Plan

Complete construction of Brookside 2 Rental during FY2013
Complete lease up during FY2013
Conduct orientation with eligible families prior to lease up
Enroll families in CARES program
Complete assessments and provide supportive services

2. Increase the Allowed Percentage of Project Based Units under Section 18 of the Housing Act of 1937 from 75 Percent to 100 Percent

Under Attachment D, HANH is allowed to request **c**ommunity-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). We are going to dispose of properties under Section 18 of the Housing Act of 1937 prior to conversion to Project Based Vouchers.

HANH has conducted an analysis of the feasibility of converting ACC units to Project Based Units using criteria similar to that set forth under Section 22 and has identified four(4) developments as being potential candidates for conversion under this initiative: Fairmount, Farnam, Ribicoff Cottages and Extensions, and Valley Townhouses. HANH seeks to increase its flexibility to allocate the number of units in a project from 75 percent as previously approved by HUD to 100 percent for the purpose of converting ACC units to PBV units under this initiative. The purpose is to provide cash flow to enable HANH to borrow private funds for the purpose of rehabilitating aging developments in HANH's portfolio. HANH also seeks to waive the requirement of one-year tenancy which will allow participants greater flexibility in housing options.

The mobility issue is addressed by allowing the tenants the option to vacate the development during rehabilitation with an option to return upon the completion of such rehabilitation and/or the convenience of using a Tenant Based Voucher to relocate permanently. We would provide all of the assistance and counseling as required under the Uniform Relocation Act up to and including the 42-month replacement housing payment. Should the need arise, we would solicit for a consultant to assist with addressing any and all mobility impairments the tenant may have up to and including the transporting of the tenants to view possible locations for tenancy, et al.

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 will limit the amount of project base units in non-mixed finance projects to no more than 50% of the units in the project; provided, however, that the agency may project base up to 75 percent of the units in such project if the project will provide replacement units for public housing units lost as a result of demolition or disposition, if the project is undertaken in 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 75 to 100 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 &	One metric for mixed finance projects will be the amount for private debt leveraged for each units assisted in excess of the 25 percent cap. Metrics will be ratio of private debt leveraged to

Benchmarks	total project costs. Baselines will be amount of debt that would have been otherwise been leveraged at the 25 percent cap.
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.
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.

3. Defining Income Eligibility for the Project Based Voucher Programs

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

In order to promote housing choice, which includes developing communities that provides housing that serves a wide range of incomes and to reduce the cost of the program, the Authority will use the flexibility granted to it under Attachment C, Section C(3)(a) of the MTW Agreement to establish eligibility criteria under its Administrative Plan to require that no less than 40 percent of the project based vouchers awarded in any year to be awarded to families with incomes at or below 30 percent of the area median income, adjusted for family size. HANH will award up to 15 percent of the PBV's allocated to for any mixed finance project to families with incomes between 50 and 80 percent of Area Median Income.

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	The Authority will be able to reach its goal of creating mixed income communities with a broad range of eligible income families served. Communities will require lower level of overall subsidy as increased number of participants with greater income will be admitted. This allows more efficient use of Authority dollars.
D. Baseline & Benchmarks	At baseline, no developments meet this criteria. During FY2012, HANH will lease Brookside Phase I utilizing this structure. It is anticipated that savings will be generated as compared to comparable developments such as Monterey, Eastview and Quinnipiac Terrace. Greater diversity in resident income is anticipated.
E. Data Collection on metrics & protocols	The Authority will gather income data through its MIS database and will apply income selection preferences to select applicants for lease up that meet the eligibility bands. Income levels will be tracked annually. Subsidy level will be tracked annually. Level of subsidization will be compared to comparable developments implemented prior to approval of this initiative.
F. Authorization Cited	Attachment C, Section C(3)(a) of the MTW Amended and Restated Agreement authorizes the Authority to establish eligibility criteria for the housing Choice Voucher program.
G. Hardship Policy, if rent reform	N/A
H. Implementation Plan	The Authority will amend its Administrative Plan to reflect the local income eligibility requirements.

VI. On-Going MTW Activities

Increased Housing Choice

1.1 Development of Mixed Use Development at 122 Wilmot Road

A. Year Implemented	FY2010
B. Update	The Authority purchased a site at 122 Wilmot Road that is slightly more than one acre. The structure was demolished. The Authority plans to redevelop the site as a mixed use facility with 9,186 square feet of commercial and community space and up to 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 Connecticut Housing Finance Authority Tax Credits, Private mortgage financing and investor equity. The Authority is awaiting the Connecticut Housing Finance Authority (CHFA) award of nine percent (9%) tax credit allocations. Notwithstanding this decision, the development is still on track for construction completion and occupancy for 2013.
C. Anticipated Change in Authorization	No changes anticipated
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

1.2. Local Total Development Cost (TDC) Limits:

A. Year Implemented	FY2010
B. Update	HANH will review its TDC and HCC cap during 2012 to determine if they need to be adjusted based on the cost of development of comparable market rate units. Metrics – • number of Low Income units produced facilitating the use of Alternate TDC's • Actual water and energy consumption. • Work orders requested • Unit turnover data Baseline: number of existing Low Income units at the development site. Reduction in energy consumption and utility costs compared to a control property during the base year (McConaughy 2008).
C. Anticipated Change in Authorization	None
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

1.3. Fungability:

A. Year Implemented	FY2007
B. Update	HANH will use its fungability under Attachment C of the Amended and Restatee MTW Agreement to use funds awarded under Section 8(o) for development purposes for Brookside Phase I Rental, Brookside Phase 2 Rental, Rockview Phase 1 Rental, and 122 Wilmot Road

	Metrics – • number of Low Income units produced facilitating the use of Alternate TDC's • number of market rate units produced Baseline: number of existing Low Income and market rate units at the development site prior to redevelopment.
C. Anticipated Change in Authorization	None
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

1.4. Over Income for Brookside Phase 2 Rental for PBV:

A. Year Implemented	FY2011
B. Update	Brookside Phase 2 Development is a mixed-finance development consisting of fifty-one (51) Project Based Vouchers (PBV). Attachment C - Section D.3.a of the MTW Agreement permits HANH to determine income qualifications for participants in the rental assistance program that differ from the currently mandated program requirements in the 1937 Act24 CFR 982.201(b) provides that a new recipient of vouchers must be a very-low income family unless certain enumerated exceptions are met. HANH has previously provided in its Administrative Plan that 15% of project-based voucher units in any development may be up to 60% of the AMI. HANH intends to amend its Administrative Plan to provide that up to 45% of residents of project-based voucher units in Brookside Rental Phase 2 may be up to 80% of AMI in order to achieve certain income mixing goals. This amendment is consistent with the flexibility provided in Attachment A, Section D.3.a of the MTW Agreement. Brookside Phase 2 Development is a mixed-finance development consisting of fifty-one (51) Project Based Vouchers (PBV). Attachment C - Section D.3.a of the MTW Agreement permits HANH to determine income qualifications for participants in the rental assistance program that differ from the currently mandated program requirements in the 1937 Act24 CFR 982.201(b) provides that a new recipient of vouchers must be a very-low income family unless certain enumerated exceptions are met. HANH has previously provided in its Administrative Plan that 15% of project-based voucher units in any development may be up to 60% of the AMI. HANH intends to amend its Administrative Plan to provide that up to 45% of residents of project-based voucher units in Brookside Rental Phase 2 may be up to 80% of AMI in order to achieve certain income mixing goals. This amendment is consistent with the flexibility provided in Attachment A, Section D.3.a of the MTW Agreement. Metrics – • number of units developed for extremely low; very low and low income families; • At baseline, no units exist Baseline: number of existing Low Income and market rate units at the development site prior to redevelopment.
C. Anticipated Change in Authorization	None
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

1.5 HCV Preference and set-aside for victims of foreclosures:

A. Year Implemented	FY2008
B. Update	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. Vouchers under the Foreclosure Protection Program 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 where they need to provide operating budgets, proposed contract rents and construction/rehabilitation plans if applicable. The program is not designed for the landlord who is in foreclosure Tenant based program: .As an effort to protect vulnerable residents, HANH established a preference for eligible HCV participants and applicants, up to 25 tenant based and/or project based vouchers annually, to prevent homelessness among this population. TBVs would be awarded by granting a preference on the HCV waitlist similar to families who are displaced due to governmental action. Project based program: Further, HANH set aside 25 vouchers for project based assistance to be used in conjunction with developer efforts to purchase a property from foreclosure and create affordable housing options. Developers were selected by the City of New Haven via a competitive procurement related to Neighborhood Stabilization awards. HANH's project based foreclosure vouchers can be competitively awarded to developers who were selected through the NSP. . 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 2011 HANH revised the program such that 10 of the 25 project based were reallocated to a program for Supportive Housing for the Homeless. The remaining 15 may be used for either the foreclosure protection program and/or the supportive housing for homeless. During FY2012, HANH intends to award the 10 reallocated tenant based vouchers and the 15 project based vouchers.
C. Anticipated Change in Authorization	No changes anticipated.
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

1.6 Promote Expanded Housing Opportunities for HCV Program:

A. Year Implemented	FY 2008

B. Update	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 12. 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.
C. Anticipated Change in Authorization	For clarification, under Section 8(o)(2)(C) of the Housing Act of 1937 as Amended, it states that for a family receiving project-based assistance, the rent that the family is required to pay shall be determined in accordance with section 3(a)(1), and the amount of the housing assistance payment shall be in accordance with subsection (c)(3) of this section which also pertains to the Tenant-based assistance rent payment standards. There is no delineation between Tenant-Based and Project-Based assistance when defining rent standards.
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

1.7 Tenant Based Vouchers for Supportive Housing for the Homeless:

A. Year Implemented	FY2011
B. Update	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. In FY 2011 HANH reallocated 10 of the existing 25 project based vouchers set aside for Foreclosure Protection to a Tenant Based Program for Supportive Housing for Homeless. Preference in the tenant selection process will be give to person and families that are homeless or are at risk of becoming homeless. Seven vouchers out of 10 were awarded in FY 2011. HANH will enter in

	Memoranda of Understanding with organizations that provide housing for homeless with supportive services
C. Anticipated Change in Authorization	No changes
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

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1.8 Farnam Courts Transformation Plan

A. Year Implemented	2010
B. Update	The Authority applied for the Choice Neighborhoods Initiative Planning Grant. This grant will allow for a comprehensive approach to neighborhood transformation of Farnam Court and the Mill River area. If awarded, this grant will provide for up to $300,000 in funding to develop a transformation plan to revitalize Farnam Courts and the surrounding neighborhood. As one of the older, blighted developments in our portfolio, Farnam Courts is an ideal center focus towards initiating a transformation plan. The development sits on a little over one acre of land and has a highly dense population, housing 240 families and individuals. Farnam Courts is located in a severely distressed neighborhood with higher than average vacancy rates and a higher than average concentration of extremely low-income persons. With Interstate I-91 abutting the northern boundaries and limited city streets within the community, Farnam is an attraction for crime and illegal drug transactions. As part of the transformation plan, we are proposing not only a redevelopment of the housing units at Farnam Courts but transformation of the surrounding Mill River community into a community that supports the long term economic sustainability of our residents, as well as the long term economic sustainability of Mill River and the City of New Haven,. Through collaboration with other community partners, including the Economic Development Corporation, City of New Haven, the Board of Education and many more, the Authority anticipates to redesign the infrastructure to create more traffic flow through the community, redesign the housing units to be more spacious, remove barriers that individuals and families are facing by providing supportive services, and other critical components as they arise throughout the planning process. The supportive services may include but are not limited to improved access to jobs, high quality early learning programs, public assets, public transportation, and high quality public schools and education programs. HANH was not awarded the Choice Neighborhoods Planning Grant. However, in February 2012, HUD announced the issuance of the 2012 Choice Neighborhoods Initiative Implementation Grant which the Authority intends to submit by its application deadline date of April 10, 2012.

C. Anticipated Change in Authorization	No changes.
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

Increasing Family Self Sufficiency

2.1 ***Family Self-Sufficiency Program*****:**

A. Year Implemented	FY2007
B. Update	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 offer 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

	2008	2009	2010
Referrals to FSS	304	175	181
# completing job skills training	16	25	32
Enrolled in FSS classes	238	138	168
% enrolled in FSS that increased income	37%	58%	68%
Average income of FSS participants	$20,317	$18,526	$19,038
% enrolled who increased credit score	10%	47%	54%
Average credit score of FSS participants	534	587	660

C. Anticipated Change in Authorization	No changes
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

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

A. Year Implemented	FY2008
B. Update	HANH believes promoting self-sufficiency is most effectively accomplished through helping residents to access services and supports and incentivizing increased earnings and savings. 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.
C. Anticipated Change in Authorization	No changes
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

	2008	2009	2010
% enrolled in FSS that increased income	37%	58%	68%
Average income of FSS participants	$20,317	$18,526	$19,038
% enrolled who increased credit score	10%	47%	54%
Average credit score of FSS participants	534	587	660

Increasing Cost Effectiveness and Efficiency

3.1 *Rent Simplification:*

A. Year Implemented	FY2008

B. Update	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 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: 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**
$ 2,000 - $ 4,000	$ 75 (equivalent to $3,000 deduction)
$ 4,000 - $ 6,000	$ 125 (equivalent to $5,000 deduction)
$ 6,000 +	Hardship Review

iv. 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.

MTW Mixed Finance ACC units may either utilize the standard rent determination process as defined in 24 CFR Part 5 or HANH's Alternative Rent Simplification policy as set forth herein the MTW Plan.

Year	HCV annual income	HCV average TTP	#HCV annual recertification	LIPH annual income	LIPH average TTP	#LIPH annual recertifications
2007	$14,175	$332	3,588	$12,410	$292	1,872
2008	$14,661	$322	2,947	$13,100	$275	1,514
2009	$15,423	$348	1,888	$13,425	$305	1,009
2010	$15,554	$347	1,373	$14,239	$306	891
2011	$14,766	$336	945[2]	$14,367	$328	425[3]

Year	HCV households with no income	HCV households with employment income	LIPH HH no income	LIPH HH with employment income
2007	144	1257	80	589
2008	124	1260	56	616
2009	137	1189	67	606
2010	134	1108	78	558

[2] Projected numbers for FY2011
[3] Projected numbers for FY2011

	<table><tr><td>2011</td><td>161</td><td>1075</td><td>75</td><td>534</td></tr></table> Upon implementing rent simplification, HANH was able to reduce staffing related to this program. HANH's administrative savings related to personnel savings over FY08 equaled $133,000. 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 is 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. Under rent simplification, 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. During FY 2012 HANH anticipates recertifying 1,287 HCV families and 712 LIPH families.
C. Anticipated Change in Authorization	No changes
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

3.2 *LIPH Public Housing UPCS Inspection:*

A. Year Implemented	FY2008
B. Update	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. 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. During FY08, HANH's average agency wide REAC score was 81.5 points.

	FY08 Cost for inspections $16,446.50 During FY09, HANH's average agency wide REAC score was 79.59 points. FY09 Cost for inspections $4,930.25 During FY10, HANH's average agency wide REAC scores were 77.2 points. FY10 Cost for inspections $10,082.50 Scores for FY11 are not available as of the writing of this plan. As of this date, the anticipated impacts have not been realized. HANH will continue to evaluate during FY12 and then make a determination as to whether to continue this initiative. The lack of results may be a result of the capital needs identified in PNA of HANH's older infrastructure and modernization projects that are currently underway. Goal for FY12 is to achieve average REAC scores agency wide of 80 to 85%. 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. This metric can be tracked once software is implemented. During FY2012, 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 for each AMP and portfolio-wide.
C. Anticipated Change in Authorization	No changes.
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

3.3 Housing Choice Voucher HQS Inspections:

A. Year Implemented	FY2011
B. Update	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.

	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. During FY 2008 through 2010, HANH incurred the costs of 3 FTE inspectors to inspect 100% of units. During FY2011, HANH renegotiated its contract to provide inspections needed under the revised and approved inspection protocol. The Authority saved $34,000 in inspection costs as a result of requiring fewer inspections. This savings is expected to continue during FY2012.
C. Anticipated Change in Authorization	No changes.
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant.

VII. Sources and Uses of Funding

A. Unaudited Financial Statements

HANH's FY2012 MTW Annual Budget is as follows:

Sources and Uses- MTW Funds

Sources		
Rent		$4,628,738
Operating Subsidy		$14,111,082
Capital Grants		$2,162,719
Other Revenue		$982,497
HCV Subsidy		$52,394,748
Developer Fees		$420,000
CFFP Bond		$4,002,148
Total Sources		$78,701,932
Uses		
LIPH		$18,739,820
HCV Administration		$2,642,980
Community and Economic Development Salaries/Administ		$417,320
COCC Deficit - does not include Supportive Services		$967,861
HCV HAP Expenses		$37,500,000
Project Based Vouchers		
Brookside Phase 1 Rental	$615,000	
William T Rowe	$480,000	
Val Macri	$189,000	
Mutual Housing - New Units	$300,000	
CUHO	$100,800	
Foreclosure	$225,000	
Total Project Based and Other Vouchers		$1,909,800
Supportive Housing- MTW Initiatives		
Family and Youth Coordinator	$78,400	
Eastview terrace Youth Services	$182,000	
McQueeney Supportive Services	$153,000	
Crawford Manor Supportive Services	$219,000	
Ruopolo Manor	$95,000	
Robert T. Wolfe	$147,500	
William T. Rowe	$78,000	
Winslow Celentano	$138,000	
Fairmont	$138,000	$1,228,900

Capital Projects - MTW Initiatives, using CFP and MTW Funds		
Agency Wide UFAS Compliance	$100,000	
Agency wide vacancy reduction	$385,000	
Agency wide property damage repairs	$150,000	
Fulton Park Structural Repairs	$100,000	
McConaughy Terrace - furnance and wate	$72,000	
McConaughy Terrace - interior repairs	$220,000	
McConaughy Terrace - off site sewar repa	$225,000	
Ruopolo Manor - security & elevator upgr	$117,619	
Westville Manor - erosion control Phase 2	$100,000	
20-24 Westminster Rehabilitation/Rebuild	$200,000	
Val Macri Structural Remediation	$150,000	
IQC A/E Boroson	$75,000	
IQC A/E O'Riordan Migani	$75,000	
IQC A/E Zared	$75,000	
IQC A/E Environmental Eagle	$75,000	
IQC A/E Environmental Environmed	$150,000	
IQC A/E Fuss & O'Neill	$75,000	
C.B. Motley floor replacement, incl reloc	$137,000	
Winslow Celentano Penthouse Repairs	$36,000	
Winslow Celentano Exterior Façade	$9,059	
Media Consultant	$71,700	
Software for Work Order Hand Helds	$56,960	$2,655,338
Development Projects - MTW Initiatives, using CFP and MTW Funds		
Development expenses	$675,000	
CFFP Bond Repayment (CFP Funds) - Br	$1,518,288	
Brookside I Rental	$2,058,890	
Brookside IB Infrastructure	$683,750	
Brookside Homeownership	$745,524	
Rockview - I Rental	$774,496	
122 Wilmot	$5,490,618	

The Mixed Finance ACC Utility Subsidy is calculated using a frozen-based utility consumption as delineated in Attachment A.1.A of the Amended and Restated Moving to Work Agreement.

Sources and Uses – Non-MTW funds

III. Planned Sources and Uses of Non-MTW Funds		
FY2012 Draft Budget		
Sources		
CSS Endowment Accounts		$600,000
ROSS Grants		$264,000
S8 Mod Rehab Program		$547,800
S8 VASH Program		$298,622
ARRA Formula		$302,288
ARRA Competitive		$677,276
Total Non-MTW Sources		$2,689,986
Uses		
Supportive Housing (ROSS/CSS) - Salaries/Administrative (Pg ??)		$864,000
S8 Mod Rehab Program HAP Expenses (Pg ??)		$547,800
S8 VASH Program HAP Expenses (pg ??)		$298,622
ARRA Formula Projects (Pg ??)		$302,288
ARRA Competitive (pg ??)		
Ruppolo Manor UFAS conversion		$677,276
Total Non-MTW Uses		$2,689,986
Net Surplus/ (Deficit)		$0

Planned vs. Actual Use of COCC

FY2012 Draft Budget

Sources	
Management Fees	$2,435,106
Bookkeeping Fees	$688,820
Capital Administration	$240,062
Fee For Service - Legal, Vacancy Crew, Planning and Development	$1,116,991
Total COCC Sources	$4,480,979
Uses	
Administrative and Operating Costs	$5,448,840
Total COCC Uses	$5,448,840
Net Surplus/ (Deficit) - transferred to MTW Use	($967,861)

Deviations from Cost Allocation or Fee-For-Service Approach

Not applicable

MTW Fungibility- Planned Sources and Expenditures by Development

D. Description of How Fungibility is Planned to be Used

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

		FY 2012 Project Total	FY2012 Budget													
			HANH SOURCES								*NON-HANH SOURCES*					
			ROSS	*Capital Grants*	*ARRA Competitive*	*ARRA Formula*	*Developer Fees*	*CFFP/Tax Exempt Bond*	*Other*	*MTW*	*State Tax Credit*	*City of New Haven*	*Tax Credit Equity*	*DECD*	*Bank Loan*	*Other*
Community and Economic Development																
Supportive Housing Salaries/Administrative		$1,281,320	$264,000						$600,000	$417,320						
Family and Youth Coordinator		$78,400								$78,400						
Eastview terrace Youth Services		$182,000								$182,000						
McQueeney Supportive Services		$153,000								$153,000						
Crawford Manor Supportive Services		$219,000								$219,000						
Ruopplo Manor		$95,000								$95,000						
Robert T. Wolfe		$147,500								$147,500						
William T. Rowe		$78,000								$78,000						
Winslow Celentano		$138,000								$138,000						
Fairmount		$138,000								$138,000						
	Total CED	**$2,510,220**	**$264,000**	**$0**	**$0**	**$0**	**$0**		**$600,000**	**$1,646,220**						
Capital Projects																
Ruppolo Manor	UFAS Conversion	$913,076			$677,276							235,800				
McQueeney	Kitchens and Bathrooms, PNA															
		$50,000				$50,000										
Crawford Manor	Façade and Roof Repair;PNA															
		$217,000				$217,000										
McConaughy	Repair and Abate Vacancies; PNA; Furnace Replacement															
		$21,000				$21,000										
Abraham Ribicoff Cottages and Extension	Mold and Asbestos Remediation: PNA															
		$14,288				$14,288										
Agency Wide UFAS Compliance		$100,000		$100,000												
Agency wide vacancy reduction		$385,000		$385,000												
Agency wide property damage repairs		$150,000		$150,000												
Fulton Park Structural Repairs		$100,000		$100,000												
McConaughy Terrace - furnace and water heater		$72,000		$72,000												
McConaughy Terrace - interior repairs		$220,000		$220,000												
McConaughy Terrace - off site sewer repair		$225,000								$225,000						
Ruoppolo Manor - security & elevator upgrade		$117,619								$117,619						

Westville Manor - erosion control Phase 2	$100,000								$100,000						
20-24 Westminster Rehabilitation/Rebuild	$200,000		$200,000												
Val Macri Structural Remediation	$150,000								$150,000						
IQC A/E Boroson	$75,000		$75,000												
IQC A/E O'Riordan Migani	$75,000		$75,000												
IQC A/E Zared	$75,000		$75,000												
IQC A/E Environmental Eagle	$75,000		$75,000												
IQC A/E Environmental Enviromed	$150,000		$150,000												
IQC A/E Fuss & O'Neill	$75,000		$75,000												
C.B. Motley Floor replacement	$137,000		$137,000												
Winslow Celentano Penthouse	$36,000		$36,000												
Winslow Celentano Exterior	$9,059		$9,059												
Media Consultant	$71,700		$71,700												
Software for Work Order Hand Helds	$56,960		$56,960												
Total Capital Programs	$2,655,338	$0	$2,062,719	$677,276	$302,288	$0	$0	$0	$592,619	$0	$235,800	$0	$0	$0	$0
Development															
Development expenses	$675,000								$675,000						
CFFP Bond Repayment (CFP Funds) - Brookside Phase I	$1,518,288								$1,518,288						
Brookside I Rental	$2,058,890								$2,058,890						
Brookside IB Infrastructure	$683,750								$683,750						
Brookside Homeownership	$1,775,498					$420,000			$745,524					609,974	
Rockview - I Rental	$2,012,831								$774,496			738,335			500,000
122 Wilmot	$11,396,666						$4,002,148		$5,490,618			1,903,900			
Columbus House	$50,000								$50,000						
Total Development Projects	$20,170,923	$0	$0	$0	$0	$420,000	$4,002,148	$0	$11,996,566	$0	$0	$2,642,235	$0	$609,974	$500,000
COCC Operating Deficit Funding	$967,781								$967,781						
Total Sources	**$26,304,262**	**$264,000**	**$2,062,719**	**$677,276**	**$302,288**	**$420,000**	**$4,002,148**	**$600,000**	**$15,203,186**	**$0**	**$235,800**	**$2,642,235**	**$0**	**$609,974**	**$500,000**

MTW Initiatives Requiring MTW Funding Fungibility Only

Community and Economic Development Initiatives
HANH offers a full array of self sufficiency initiatives that require flexibility in the use of HANH's dollars to fund staff and contractual costs associated with mental health and substance abuse services provided on site in HANH's mixed population developments; supportive services in HANH family, elderly and mixed population developments; support for development of resident owned businesses; job skills training; education support; specialized job training program; SEHOP capital improvement program; youth initiative and the community re-entry program.

Capital Improvement Program
HANH ambitious modernization program is made possible by the funding flexibility of the MTW program and enables improvements listed in the above table at the following developments: Ruoppolo Manor, McQueeney Towers, Crawford Manor, McConaughy Terrace; Ribicoff Cottages and Extensions; Fulton Park, Valentina Macri, Westville Manor and various vacancy reduction and UFAS compliance initiatives agency-wide. It also supports the architect/engineering services required by these activities and the abatement testing , remediation and monitoring associated costs.

Redevelopment Initiatives
HANH has one of the most ambitious redevelopment programs and it is made possible through MTW funding flexibility. Currently, the following major redevelopments are underway:

West Rock Revitalization:

HANH received approval of HUD to dispose of the Brookside property in FY 2010. HANH will request approval of disposal of Rockview in FY 2012.
The West Rock revitalization is a project to redevelop two obsolete Public Housing developments, Rockview Terrace and Brookside, and one additional parcel that previously contained a commercial building. The 491 Public Housing units and the retail building that have stood on the three sites will be replaced with a mix of Project-Based Section 8/LIHTC rental, Public Housing/LIHTC rental and affordable homeownership housing totaling 472 units, along with 8,987 square feet of retail space at the 122 Wilmot site. The rental units will consist of 392 units, 352 family townhouse units and 40 senior units in a mid-rise building. The homeownership component will consist of 38units.

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

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 Rental. 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 $45.5 million. In addition to the $1,215,076 in RHF Funds for which reprogramming was requested, approximate projected sources for the redevelopment include $1.6 million in 4% Low Income Housing Tax Credits generating $12.6 million in investor equity, $11.6 million in CFFP, $4.4 million in CFRC, $3.5 million in infrastructure funds from the City of New Haven, 5 million in MTW, $402,770 in state tax credits, and $201,257 in deferred developer fee.

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 – 11/19/10
Application for CFFP submitted to HUD – 2/10/10
Updated RHF Plan for Use of 2007, 2008 and 2009 approved by HUD in FY 2010
Disposition Application submitted to HUD and approved in FY 2010

FY2011:
Phase I Closing - 09/30/10
Construction Start- Fall 2010

FY2012
Construction Completion - FY2012

Rockview Phase 1 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 FY2012, HANH plans to commence Rockview Phase 1 Rental consisting of 77 units which is a part of the overall West Rock Revitalization Plan. Ten percent of these units will be UFAS compliant. Units will be a combination of row house and walk-up type development. Construction of these units will provide employment and contracting opportunities for Section 3 employers.

HANH sought HOPE VI funding for this development and submitted a HOPE VI application during FY2011. The Authority was not granted HOPEVI funding for this project.

The Legacy Amendment was approved in June 2010. Financing is expected to be obtained by October 2011. Construction closing is anticipated by June 2012 and construction should begin by July 15, 2012.

William T. Rowe Redevelopment:

William T. Rowe at 904 Howard Ave. is a 172 unit, high rise development that houses elderly and disabled residents. Having determined its obsolescence, HANH has undertaken a redevelopment effort for this property. Construction started in FY 2010 and is expected to be completed in FY 2012.

Dwight Gardens Redevelopment

The Dwight Gardens redevelopment is the redevelopment of the severely deteriorated Dwight Housing Cooperative with low-moderate income members, which consists of 80 units. There are 11 1-BR units, 32 2-BR units, 31 3-BR units, and 6 4-BR units.

This redevelopment is located at 99-115 Edgewood Avenue, New Haven, CT 06518, in a moderate residential Dwight neighborhood and due to its current condition is creating a destabilizing influence in the neighborhood.

The redeveloped Dwight Gardens will consist of Eighty (80) fully renovated housing units, of which sixty (60) units will be targeted for individuals with income not to exceed 60% of AMI and twenty (20) units for individuals with income not to exceed 115% of AMI.

40 units will receive assistance in the form of Project Based Section 8 Vouchers. 16 assisted units will be 2-BR units, 18 – 3-BR units, and 6 – 4-BR units.

Construction has been put on hold due to financing constraints.

Conversion of Valentina Macri, 109 Frank Street into Affordable Housing development for formerly homeless families supported by Project Based Vouchers

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 sought to dispose of this property during FY2011. A public hearing was held on December 15, 2010 and during FY2011 the following activities occurred: resident engagement process consistent with Federal Regulations governing disposition of properties; identification of purchaser; During FY2012 HANH will obtain all necessary approvals – local, State and Federal; and dispose of the property to a partnership of which HANH will be a member. Certain investments are required in order to dispose of the site and HANH will make those investments during FY2012.

Five Year RHF Plan for FY 2010 - FY 2014

HANH's Replacement Housing Factor Funds (RHF) 5 Year Plan to accumulate FY 2007, FY 2008, and FY 2009 was previously approved by HUD in 2010. The 2012 MTW Plan set forth our RHF Plan for FY 2010-2014. RHF for FY 2010 through FY 2021 will be used for repayment of debt service on the CFFP Bonds for the Brookside Phase I Rental and 122 Wilmot Road Developments.

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.

The accumulation of FY 2007, FY 2008, FY 2009, FY 2010, and FY 2011 first and second increments of RHF funding totals $6,114,755 and is delineated as follows:

Brookside Phase 1 Rental	$1,215,076
William T. Rowe Redevelopment	$2,399,440
CFFP Financing	$2,500,239
TOTAL	***$6,114,755***

The RHF funds will be obligated and expended according to the RHF implementation schedule.

Description of Projects

Brookside Phase 1 Rental

Brookside Phase 1 Rental development will contain 101 affordable rental units in 28 rental buildings and include a management/maintenance building with a community meeting room. All of the units will be tax credit eligible units whose residents will be qualified in accordance with Section 42 of the Internal Revenue Code. Of the 101 affordable rental units, 50 units will be public housing units that benefit from public housing operating subsidy in accordance with a mixed finance amendment to the Annual Contribution Contract. The administration of the operating subsidy will be described in a regulatory and operating agreement between the Owner and Authority. Of the remaining 51 units, 50 will benefit from project based Section 8 subsidy in accordance with a Housing Assistance Payment contract between the Owner and the Authority. The public housing units will be distributed throughout the sites and will not be concentrated. One unit will be a qualified non-income generating unit set aside for the maintenance supervisor.

With the extension of existing streets and a pedestrian oriented design, the proposed development will: re-establish neighborhood connections, improving access and safety conditions for residents. The Phase 1 Rental project will provide a mix of twelve (12) One-Bedroom, thirty-six (36) Two-Bedroom, forty-one (41) Three-Bedroom and twelve (12) Four-Bedroom townhouses. Twelve (12) of the one and two bedroom units will be stacked over other one or two bedroom units. Fourteen (14) units are units that are accessible to physically handicapped individuals. These accessible units are distributed between one, two, three and four bedroom units. All of the units are visitable with the exception of the twelve stacked units. A variety of building configurations will ensure a lively and attractive streetscape with each building combining up to 5 different architectural styles. Each unit will have an individual front entrance, a private rear patio, an outdoor storage unit and will be served with one off-street parking space in addition to on-street parking for guests. Different street setbacks and proper landscaping will ensure that families enjoy the privacy of their homes while in close proximity to neighbors. The one-bedroom units will contain approximately 700 square feet living space two-bedroom units will contain approximately 1,050 square feet living space; the three-bedroom units will contain approximately 1340 square feet of living space and the four-bedroom units will contain approximately 1560 square feet of living space. Off street parking is provided, as are Energy Star compliant appliances, central air conditioning and washer/dryer hookups in all units.

The Housing Authority of the City of New Haven (HANH) is conveying site control by virtue of a 98-year Ground Lease. The Housing Authority will own the land and lease the property to the owner, Brookside I Associates, LLC. The managing member is Brookside I-Michaels, LLC. A HANH designated entity will be admitted as a member of the LLC prior to the financial closing.

Total development cost, including Part B costs, is $45,506,511, including $1,215,076 of RHF funds.

William T. Rowe

To address the issue facing this development, HANH selected Trinity Rowe, LP, to develop a 104 unit mixed finance development. The development will be constructed on parcels previously owned by the Yale New Haven Hospital. In exchange for these parcel, the Authority will convey the Rowe property to YNHH once the new development has been constructed. The newly constructed development will consist of a nine story elevator Mixed Population building. Forty six units will be public housing, 32 will be project based and 26 units will be unassisted. The unit mixed will consist of 56 one-bedroom apartments and 48 two bedroom apartments. The public housing mix will consist of 30 one bedroom apartments and 16 two-bedroom apartments. The redeveloped property will also contain program space for residential supportive services and on the ground floor there will be 2,500 square feet of commercial space. The property will include an on-site management office, as well.

The total development cost of the project is $36,140,905. Permanent financing includes $10,000,000 of Capital Fund Recovery Competition funds; $2,399,440 of RHF funds; $5,032,685 of MTW; LIHTC equity of $7,671,726; permanent financing from Connecticut Housing Finance Agency of $4,790,000; HANH developer loan of $893,374; developer loan of $410,096; deferred developer fee of $350,000; City of New Haven funds of $4,000,000; HANH, COCC funds of $593,584. Subsequent to the closing of the project, the project received a grant from State of Connecticut for $3,000,000: $2,000,000 of these funds will be used to reduce the HANH contribution and $1,000,000 of these funds will be used to reduce the City of New Haven contribution.

122 Wilmot Road

The 122 Wilmot Road development is one of the first phases of the $200 million West Rock Master Plan, a plan for the revitalization of two Public Housing sites in the West Rock neighborhood of New Haven. These two sites, Brookside and Rockview, are demolished and the first phase of construction on the Brookside site, directly adjacent to 122 Wilmot Road, is in progress. The Wilmot Road site is the only off-site component of the West Rock plan at the present time. The West Rock Master Plan is the result of a years-long planning process involving collaboration with community residents, community organizations and city officials that aims to rejuvenate a formerly blighted neighborhood, replacing 491 units of distressed Public Housing with over 500 units of mixed-income affordable rental and homeownership units, along with resident service facilities and commercial space. The 122 Wilmot Road site is an off-site parcel purchased by HANH with an option to ground-lease by the Glendower Group, Inc., or its affiliate, on what once stood a small distressed strip mall, which has since been demolished.

The development consist of a 47-unit elevator building consisting of 34 ACC units of which 26 are designated as elderly housing, 4,261 gross square feet of program and management space that will house the Supportive Services Program for the development, educational and recreational facilities for the building residents, 13 project-based voucher units, and 9,186 gross square feet of commercial space. The single four-storey structure will consist of 41 one-bedroom units and six (6) two-bedroom units.

The projected total development costs of $17,919,159 will be funded with projected permanent financing of $5,093,000 in investor equity generated from a projected $1,594,804 in conventional permanent debt, and $192,195 in deferred developer fees. HANH as sponsor is committing approximately $8,261,905 in CFFP to the project. $2,777,255 of HANH's equity may be replaced by funding that has been applied for from the State of Connecticut's Department of Economic and Community Development (DECD) and/or funding to be applied for from the Affordable Housing Program of Federal Home Loan Bank Boston (FHLBB).

CFFP Financing

RHF funds for FY 2010 through 2021 will 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 100 percent of these funds to repay debt associated with the development of replacement units at Brookside Phase 1 Rental and 122 Wilmot Road.

The Wilmot Road project will include 47 units: 34 public housing units and 13 project-based units. Approximately $6.4 million of CFFP bonds will be issued for this project. $11.5 million of bonds was issued for the Brookside Phase 1 Rental development.

Key Milestones for Projects

Brookside Phase 1 Rental

Construction Started	January 14, 2011
Construction Completion	February 15, 2012

Brookside Homeownership

Construction Started	October 1, 2010
Construction Completion	April 30, 2013

William T. Rowe

Construction Started	August 1, 2010
Construction Completion	September 1, 2011

CFFP Financing

CFFP Bond Closing for Brookside Phase 1	January 25, 2011
CFFP Bond Closing for Wilmot Road	September 15, 2011

Obligation Deadline Dates

The FY 2007-FY 2011 RHF grants and grant amounts to be reprogrammed and the revised and approved obligation and expenditure deadlines are as follows:

Grant	Grant Amount	Increment	Obligation Deadline	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	10/12/10	10/12/12
CT26R00450208	$177,216	2nd	10/12/10	10/12/12
CT26R00450109	$896,759	1st	09/14/12	09/14/14
CT26R00450209	$154,619	2nd	09/14/11	09/14/13
CT26R00450409	$403,299	3rd	04/01/12	04/01/14
CT26R00450110	$717,622			
CT26R00450210	$535,394			
CT26R00450111	$714,304.32			
CT26R00450211	$532,918.79			
TOTAL	**$6,114,755.11**			

Leveraging

The **$6,114,755.11** of FY 2007 to FY 2011 RHF funds will leverage $40,944,000 of non-public housing and non-MTW fund. This will provide a leveraging ratio of more than 6 to 1.

HANH will use its 100 percent of its 2010 - 2021 RHF to pay debt service on HUD approved Capital Fund Financing Program for Brookside Phase I Rental and 122 Wilmot Road Developments.

VIII. Administrative

Attachment A

Board Resolution Approving This FY 2012 MTW Annual Plan

To:Board of Commissioners

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

Date: June 21, 2011

RE: Approval of MTW Annual Plan for FY 2012

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 FY2012 was made available for public review on May 2, 2011. A public hearing was held on May 25, 2011. At this time HANH submits for Board approval the MTW Annual Plan for Fiscal Year 2012. 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 2012 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 2012

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 2012 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 21, 2011.

____
Karen DuBois-Walton
Secretary/Executive Director

_June 21, 2011_________________
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, 2011, 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.

_Housing Authority New Haven__________ _CT004___________________________

PHA Name PHA Number/HA Code

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. **Warning:** HUD will prosecute false claims and statements. Conviction 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
J. Lawrence Turner	Vice-Chairman

Signature	Date
X	June 21, 2011

A. Documentation of Public Hearing and Public Comment Period

B. Evaluation Plan

During FY 2011 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 FY2012, 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 2012 Annual Report.

EuQuant's evaluation focuses on metrics identified in the Annual Plan. Access to Authority databases have been provided allowing for evaluation of families since baseline year to present. The initial findings were incorporated into the FY 2011 Report which showed positive results for families engaged in FSS initiatives, positive results for rent simplification initiatives and some cost savings. Many development initiatives were still under development and will be evaluated in the upcoming 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 uses 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. These fees are derived and based on a comparison of legal fees paid to outside attorneys that were competitively procured and GSA/Connecticut State rates for attorneys and support staff.
- Planning and Development services will be fee for service basis by charging the project for actual services performed by staff and outside counsel for direct services. The fees for architectural type work and related performed by staff are developed based on fess set forth in third party contracts for work of the same nature that was obtained through the competitive procurement process and the GSA Schedule.
- An indirect cost approach is used for the cost of implementing the CFP; leasing; centralized wait list; resident services supervisory staff and rent collection all of which are pro rated based upon the number of ACC units or percentage of time charged to a project.
- Security costs will be allocated based upon fee schedule set forth in the third party security contract.

Proceeds from the CFP, energy performance contracts and other similar sources to support project operations are not reflected in the operating statements for each project. The COCC operates on the allowable fees and other permitted reimbursements from its LIPH and HCV programs, as well as revenues generated from non-public housing programs. HANH 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 was fully reported in the FY10 report. Finally, HANH has implemented a Risk Management Program in accordance with §990.270

Appendix 3

Public Housing Occupancy Standardized Action Plan

Appendix 4

HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

MOVING TO WORK SUFFICIENCY PROGRAM

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

PROCEDURES FOR PUBLIC HOUSING/HCV PROGRAM

CARES PROGRAM REQUIREMENTS

I. Goals and Objectives of the Program

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

HANH is embarking on this Caring About Resident Economic Self Sufficiency (CARES) pilot program in the Rental Development ("the Development") community to help promote economic self-sufficiency of the residents of this revitalized community as a stepping stone to a new paradigm in the affordable housing market for low income families. We believe that the comprehensive program discussed below, combined with the development of unassisted rental units, will be effective in achieving housing and economic self-sufficiency for a substantial numbers of West Rock families.

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

The CARES Program includes two related components. One is a 72-month time limit on providing rental assistance to adult residents at The Development. The second component of the program is that certain individuals will be required to participate in an extensive 24-month case management and supportive services initiative designed to help them overcome barriers to becoming self-sufficient.

II. Time Limit on Rental Assistance

To ensure progress toward economic self sufficiency, rental assistance to adult residents of The Development under Section 8 (o) 13 of the Housing Act of the 1937 (the “Act”), as amended, and under Section 5 and Section 9(e) of the Act will be limited to a maximum of 72 months, which need not be consecutive. This 72-month limitation on assistance is for all adult residents for The Development unless they are exempt from the 72-month limitation as set forth herein.

After the 72 months have expired, adult residents who elect to stay at The Development will no longer be eligible for rental assistance. The rental assistance for the family will be determined by pro-rating the rental assistance provided to the family based upon the number of members of the family who are no longer eligible for assistance, unless the family member is otherwise exempt from the 72-month limitation as set forth below. For example, if the Flat Rent for a family of four is $1,000 per month and the total tenant payment before the pro-ration is $200, this means that the pro-rated rental assistance for each family member is $200 per month. If there are two adult members in the family, one of whom is 62 years old and the other is 30 years old, and two non-adult members, the subsidy for that family would be prorated as follows:

1. $1000.00 (Flat or Maximum Rent) - $200 (TTP) = $800 or Maximum Family Subsidy
2. $800.00/4 = $200.00 or Maximum Subsidy per Family Member
3. $1000.00 - $600 ($200 times the three exempt family members) = $400.00
4. TTP after pro-ration = $400.00

III. Individuals Exempt from the 72- Month Limitation of Rental Assistance

The following residents are exempt from the 72-month limitation on receiving rental assistance:

- **A.** Returning residents of West Rock who have right to return under the Memorandum of Agreement between the Authority the Tenant Representative Councils (the “TRCs”) of West Rock;
- **B.** Family members under 18 years of age;
- **C.** Family members 60 years of age or older;
- **D.** The family member is a blind or disabled individual, as defined under 216)i)(1) of 1614 of the Social Security Act (42 U.S.C. 416(i)(1); 1382), and who certifies that because of the disability she or he is unable to comply with the 72-month limitation;
- **E.** The family member is the primary caretaker of an individual set forth in the preceding sentence;

F. The family member is incapacitated;

G. The family member is responsible for the care of an incapacitated family member;

H. The family member is responsible for the care of children under the age of 3;

The first step towards self-sufficiency is to encourage the families to seek other affordable housing or market rate housing. This will empower families to create wealth and assets. At the time of admission to The Development each adult family member will sign a CARES Lease Addendum for Public Housing or Housing Choice Voucher and undergo an employability and needs assessment to determine the barriers that the individual faces to becoming self-sufficient

IV. Extension of Time for Assistance Beyond 72- Month for Hardship Cases

Assistance for residents who require an extension of time beyond the 72-month time limit will be determined in accordance with criteria set forth below. Individuals who believe they are eligible for an extension of time shall make a request in writing to the CARES Oversight Committee. We recognize that there are individuals who through no fault of their own will not be able to achieve self-sufficiency on their own. The CARES Program provides for hardship cases for these families whereby an individual can receive an extension from the 72-month term limit. An extension of time may be granted for any of the following reasons.

A. The individual is precluded from obtaining or maintaining employment due to domestic violence or another circumstance beyond his or her control.

B. Despite working 35 hours or more a week, earning at least the minimum wage, the individual earns less than the federal poverty level for the family.

C. The individual is employed and working less than 35 hours per week due to (1) a documented medical impairment that limit his/her hours of work, or (2) the need to care for a disabled family member of the family.

D. The adult has two or more substantiated barriers to employment such as the lack available child care, substance abuse or addiction, severe mental or physical health problems, one or more severe learning disabilities, domestic violence, or a child who has a serious physical or behavior health problem,

V. Participation in Cares Supportive Services and Case Management Program

All adult residents of The Development will be required to participate in the CARES unless otherwise exempt from participating as set forth below. Participation in CARES by adult residents is a perquisite for the family to reside in The Development. **It should be noted that certain individuals**

may be exempt from participating in the case management and supportive services program for the 24-month period, but may still be otherwise subject to the 72-month limit on receiving rental assistance. The reasons for this is that certain individuals have income or employment or educational attainment that should enable them to become self-sufficient without the extensive case management that will be provided under this initiative. Adult members who are required to participate in CARES will receive case management and supportive services for up to 24 months over a 72- month period. Since HANH recognizes that residents may not always be required to participate in CARES for 24 consecutive months, residents therefore will be allowed to participate in the CARES program over any 24 months during the 72 months that they are receiving rental assistance at The Development.

VI. Individuals Exempt from Participating in CARES Supportive Services and Case Management Initiative

The following residents are exempt from having to participate in the CARES Supportive Services and Case Management Program:

- **A.** Returning residents of West Rock who have a right to return under the Memorandum of Agreement between the Authority and the Tenant Representative Councils (the "TRCs") of West Rock;
- **B.** Family members under 18 years of age;
- **C.** Family members 60 years of age or older;
- **D.** The family member is a blind or disabled individual, as defined under 216)(i)(1) of 1614 of the Social Security Act (42 U.S.C. 416(i)(1); 1382), and who certifies that because of the disability she or he is unable to comply the 72-month limitation;
- **E.** The family member is the primary caretaker of an individual set forth in the preceding sentence;
- **F.** The family member is incapacitated;
- **G.** The family member is responsible for the care of an incapacitated family member;
- **H.** The family member is responsible for the care of a child under the age of 3;
- **I.** The family member is pregnant and a physician certified that the person is unable to work or unemployable;
- **J.** The family member meets the requirement from having to engage in a work activity under the State funded under Part A of title IV of the Social Act (42 U.S.C. 601 et seq.) or any other welfare program of the State of Connecticut, including a State-administered welfare to work program;

K. The individual works at least 35 hours a week or has family income above the federal poverty level for the family;

L. The family member is pregnant and a physician certified that the person is unable to work or unemployable.

VII. Resident Enrolled Escrow Fund (REEF

Residents who are required to participate in CARES case management and supportive services initiative, as stated above, will be given up to24 months of case management and supportive services to help ensure transition to other affordable or market rate housing at the end of the 72-month limit on receiving rental assistance. The 24-month transitional period will provide families with the support needed to meet the basic requirements of the program. At the end of the 72 month time limit participating residents will no longer receive rental assistance. HANH will determine the amount of assistance the family is eligible to receive over the term of the 72 months. The amounts of assistance, to the extent funds are available, will be adjusted annually for inflation (Exhibit A). Beginning with the twenty-fifth month after the family moves into The Development, an amount equal to the sum of the rental assistance that the family would have otherwise received after receiving assistance at The Development for 72 months will be deposited into a Resident Enrolled Escrow Fund (REEF). For the duration of the program the funds in the REEF may be used to cover the following costs;

A. Purchase of a vehicle to attain or maintain employment (a onetime payment not to exceed $3,000 after all other options have been exhausted);
B. Start up funds to start a small business (a onetime payment not to exceed $2,500 after all other options have been exhausted);
C. Purchase a computer;
D. Make a down payment on a home;
E. Pay tuition to enroll in secondary or vocational education program;
F. Other related costs approved by the CARES Oversight Committee.

If the funds deposited in the REEF are fully expended prior to end of the 72-month period no funds would be available in the final year. However, if the funds deposited into the REEF have not been used by the end of the 72-month period they will be refunded to the resident as a bonus for program compliance.

A CARES Oversight Committee will be created to review the requests of the participants to use the REEF funds. This Oversight Committee will consist of the Assistance Executive Director for Community and Economic Development or his or her designee; the Director of Operations or his or her designee; the Service Center Director or his or her designee a WRIC representative appointed by the WRIC, and a representative from Workforce Alliance Board.

All REEF cash disbursement requests must originate with the household and must be submitted to Property Manager or Occupancy Specialist. Once the Property Manager or the Occupancy Specialist receives the required documentation, the information shall be forwarded to the Oversight Committee.

VIII. Individual Development Account (IDA)

Residents participating in CARES will establish Individual Development Accounts (IDA). HANH's contribution to the IDA will be the resident's **income disallowance** provided under the HANH Rent Simplification Program. Families that are required to enroll in the CARES Program that experience an increase in income due to wages will be allowed an optional exclusion from the increase from Annual Income for the first year at 100 percent; second year, 75 percent; third year, 50 percent; and fourth year, 25 percent. Families already receiving the HUD mandatory income disallowance can, at the time of enrollment in the CARES program must continue to receive these mandatory disallowance but will be able to began receiving the HANH optional disallowances once they have exhausted their HUD disallowances. For families already enrolled in HANH's optional income disallowance, participants can elect to opt out of HANH's disallowance and beginning receiving these disallowances.

Exhibit A – Calculation of REEF Escrow

Family Size		1	2	3	4	5	6
Median Household Subsidy		245	491	736	980	1225	1470
Median Utility Allowance		89	178	267	356	445	534
Median Gross Rent		334	669	1003	1336	1670	2004
Years in Program	Cost of Living Increase	Subsidy Value					
1 **Monthly**	Lease up Year	334.00	669.00	1,003.00	1,336.00	1,670.00	2,004.00
Annually		4,008.00	8,028.00	12,036.00	16,032.00	20,040.00	24,048.00
2 **Monthly**	3%	344.02	689.07	1,033.09	1,376.08	1,720.10	2,064.12
Annually		4,128.24	8,268.84	12,397.08	16,512.96	20,641.20	24,769.44
3 **Monthly**	3%	354.34	709.74	1,064.08	1,417.36	1,771.70	2,126.04
Annually		4,252.09	8,516.91	12,768.99	17,008.35	21,260.44	25,512.52
4 **Monthly**	3%	364.97	731.03	1,096.01	1,459.88	1,824.85	2,189.82
Annually		4,379.65	8,772.41	13,152.06	17,518.60	21,898.25	26,277.90
5 **Monthly**	3%	375.92	752.97	1,128.89	1,503.68	1,879.60	2,255.52
Annually		4,511.04	9,035.58	13,546.62	18,044.16	22,555.20	27,066.24
6 **Monthly**	3%	387.20	775.55	1,162.75	1,548.79	1,935.99	2,323.19
Annually		4,646.37	9,306.65	13,953.02	18,585.48	23,231.85	27,878.22
7 **Monthly**	3% (Amount deposited into Escrow)	398.81	798.82	1,197.63	1,595.25	1,994.07	2,392.88
Annually		4,785.76	9,585.85	14,371.61	19,143.05	23,928.81	28,714.57

Program Steps

Orientation

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

CARES Addendum to HAP Lease and PHA Lease

A CARES Addendum to the lease agreement for HAP and PHA will be signed which will go into effect at the beginning of admission to The Development. This addendum will supplement the HAP Contract and ACC Amendment as monthly rental payments will no longer be sent directly to the landlord and HAP contracts are between HANH and the landlord.

Needs Assessment

Each family member will complete a needs assessment prior to lease up to establish a baseline of current educational levels, abilities, skills, interests, aptitude, and program goals. The subsidy amounts will be established based upon family composition, bedroom size, and household income during the assessment as well. Upon completion and review of the assessment the families, along with a case manager, will create a comprehensive Individual Service Plan (ISP) that will consist of short-term and long-term goals in the aforementioned categories, as well as, work and youth educational requirements under this program.

Individual Services Plan (ISP)

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

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

Individual Development Accounts (IDA)

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

Case Management

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

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

Progress Meetings

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

Early Graduation from CARES Program

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

1. Coordination of Supportive Services Initiatives

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

- Programs that help eliminate barriers to self sufficiency.
- Educational activities that promote learning and serve as the foundation for young people from infancy through high school graduation, helping them to succeed in academia and the professional world. Such activities, which include early childhood education, after-school programs, mentoring, youth leadership development and tutoring, must be created with strong partnerships with public and private educational institutions.
- Adult educational activities, including remedial education, literacy training, tutoring for completion of secondary or postsecondary education, assistance in the attainment of certificates of high school equivalency, and English as a Second Language courses, as needed.
- Readiness and retention activities, which frequently are keys to securing private sector commitments to provide jobs.
- Employment training activities that include results-based job training, preparation, counseling, development, placement, and follow-up assistance after job placement.
- Programs that provide pre- apprenticeships in construction, construction-related, maintenance, or other related activities by providing GED classes and OSHA certifications to prepare for an entry-level,

registered apprenticeship program. An entry-level, registered apprenticeship program is one that has been registered with a State Apprenticeship Agency recognized by the Department of Labor's (DOL).

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

Violations of the CARES Program

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

a. Misappropriation of funds;
b. Fraudulent acts, as set forth in the ACOP and Administrative Plan respectively; and
c. Non-compliance of CARES Program per the CARES Contract

Any resident that is notified of a program violation will have the opportunity to appeal the claims being made against them in accordance with the Authority's Grievance Procedures. Any resident, who is found in violation, can receive disciplinary action up to and including termination of their lease agreement which can result in Mandatory Bar that states that residents can no longer receive subsidy rental assistance for 10 years.

Appeal Process

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

Appendix 5

PBV	2011	2011 MTW Expenditure	2011 Voucher Cost	2012	2012 MTW Expenditure	2012 Voucher Cost	2013	2013 MTW Expenditure	2013 Voucher Cost
Currently Under HAP	253		$ 3,133,824.00	290		$ 3,594,264.00	385		$ 4,642,608.00
HANH Overhead		$ 1,000,000.00							
PreDevelopment Loans		$ 400,000.00			$ 460,000.00				
Shartenburg		$ 101,977.00		20		$ 180,000.00			
CUHO New Construction				8		$ 81,600.00			
Brookside Phase 1				50	$ 5,221,820.00	$ 630,000.00			
Brookside Phase 2					$ 2,865,219.00		51	$ 955,073.00	$ 642,600.00
Brookside Homeownership		$ 833,333.33			$ 833,333.33			$ 833,333.33	
Rowe	32	$ 5,032,685.00	$ 404,304.00		$ 5,032,685.00				
QT 3	5	$ 1,591,909.00	$ 56,136.00						
Val Macri				17		$ 156,744.00			
Mutual Housing							20		$ 141,648.00
122 Wilmot Road					$ 3,375,000.00			$ 1,125,000.00	
Rockview Phase 1							47	$ 678,212.00	$ 592,200.00
Rockview Phase 2									
TOTAL PBV	290	$ 8,959,904.33	$ 3,594,264.00	385	$ 17,788,057.33	$ 4,642,608.00	503	$ 3,591,618.33	$ 6,019,056.00

PBV	2011	2011 MTW Expenditure	2011 Voucher Cost	2012	2012 MTW Expenditure	2012 Voucher Cost	2013	2013 MTW Expenditure	2013 Voucher Cost
Number of Vouchers HANH would otherwise be able to issue for Section 8 HCV based upon the use of MTW funds for redevelopment		812			1611			325	
Percentage of Total Budget Authority			7%			9%			12%
Adjusted HCV Baseline		3576			2777			4063	
Percentage of Allocation		86%			111%			76%	

PBV	2014	2014 MTW Expenditure	2014 Voucher Cost	2015	2015 MTW Expenditure	2015 Voucher Cost	2016	2016 MTW Expenditure	2016 Voucher Conversion
Currently Under HAP	502		$ 6,019,056.00	561		$ 6,742,908.00	561		$ 6,742,908.00
HANH Overhead									
PreDevelopment Loans									
Shartenburg									
CUHO New Construction									
Brookside Phase 1									
Brookside Phase 2									
Brookside Homeownership									
Rowe									
QT 3									
Val Macri									
Mutual Housing									
122 Wilmot Road	13		$ 131,652.00						
Rockview Phase 1		$ 2,034,636.00							
Rockview Phase 2	47		$ 592,200.00		$ 678,212.00			$ 2,034,636.00	
TOTAL PBV	562	$ 2,034,636.00	$ 6,742,908.00	561	$ 678,212.00	$ 6,742,908.00	561	$ 2,034,636.00	$ 6,742,908.00

PBV	2014	2014 MTW Expenditure	2014 Voucher Cost	2015	2015 MTW Expenditure	2015 Voucher Cost	2016	2016 MTW Expenditure	2016 Voucher Conversion
Number of Vouchers HANH would otherwise be able to issue for Section 8 HCV based upon the use of MTW funds for redevelopment		184			61			184	
Percentage of Total Budget Authority			13%			13%			13%
Adjusted HCV Baseline		4204			4327			4204	
Percentage of Allocation		73%			71%			73%	