HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

2013 MOVING TO WORK ANNUAL PLAN

John DeStefano, Jr., Mayor

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

Submitted: June 29, 2012
Resubmitted: September 25, 2012
Resubmitted: November 5, 2012

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 2013 (October 1, 2012 to September 30, 2013).

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 has elected exemption from PHAS and SEMAP reporting.

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 2013.

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. 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 2013. The 2013 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 2013 MTW Annual Plan was made available for public review on April 16, 2012 and a public hearing was held on May 16, 2012. On June 19, 2012, the Board of Commissioners passed Resolution #06-102/12-R approving the 2013 MTW Annual Plan.

B. Initiatives for FY 2013

During FY 2013 HANH proposes no new MTW initiatives.

HANH continues to make progress toward the following MTW initiatives:

Increase housing choice:

- <u>Initiative 1.1: Development of Mixed Use Development at 122 Wilmot Road</u>. HANH's plans to redevelop this site as a mixed use facility up to 47 units of housing, commercial space and supportive services are underway with construction having begun during FY2012 the site.
- <u>Initiative 1.2: Design Guidelines, TDC and HCC Waivers.</u> HANH has implemented its revised design guidelines and will continue to use TDC and HCC alternatives that have been approved by HUD and HANH will review its HCC and TDC limits during FY 2013 and annually thereafter to determine if they need to be adjusted based upon the methodology approved by HUD.
- **NO LONGER AN INITIATIVE 1.3**. Included in previous years plan but HUD indicated no longer needs to be listed as an initiative. Numbering of subsequent initiatives is retained for comparison purposes. (Initiative 1.3: Fungability. HANH will use its fungability under Attachment C of the Amended and Restated MTW Agreement to use funds awarded under Section 8(o) for development purposes.
- <u>Initiative 1.4: </u>Over Income for Brookside Phase 2 Rental for PBVs<u>. This initiative allows for up to 45% of residents in the PBV units at Brookside Rental phase 2 to be up to 80% of AMI in order to achieve certain income mixing goals.</u>
- <u>HCV Initiatives.</u>
    - <u>Initiative 1.5: HCV Preference and set-aside Foreclosure protection program</u> will continue during FY13
    - <u>Initiative 1.6: Expanded Housing Opportunities</u> will continue during FY13.

- Initiative 1.7: Tenant Based Voucher supportive housing for the homeless. Supportive services married with tenant based vouchers are used to support the successful housing of formerly homeless families.
- Initiative 1.8: Farnam Courts Transformation Plan. During FY 2012, HANH has applied for a Choice Neighborhoods Initiative Planning Grant. This grant will allow a comprehensive approach to neighborhood transformation of Farnam Courts and the Mill River area.
- Initiative 1.9: Increased Cap on PBV units from 75 percent to 100 percent in a mixed finance developments as previously approved will continue in FY13
- Initiative 1.10: 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 (MTW agreement provides waiver for HANH to establish its own income limits).
    - 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

- Initiative 2.1: Enhanced Family Self –Sufficiency program has demonstrated marked success and will continue during FY13
- Initiative 2.2: Promoting Self-Sufficiency/Earned Income Exclusion initiative will continue during FY13
- Initiative 2.3: CARES Initiative- Self sufficiency initiative geared toward families residing in the newly redeveloped Brookside Phase 2 community that introduces term limits, escrow accounts and self sufficiency support services. Phase 2 lease up for Brookside will begin in November, 2012.

Cost effective and efficient service delivery

- Initiative 3.1: 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 FY2013.
- Initiative 3.2: Alternative LIPH UPCS Inspections. HANH conducts UPCS inspections on 20% of its inventory.
- Initiative 3.3: Revised Inspection protocols for 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.
- Initiative 3.4: 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 commence and/or continue during FY2013 and requires MTW funding flexibility ONLY:

- Project Modernization. During FY13 the modernization projects include envelope enhancements to Winslow-Celentano and Ruoppolo Manor. Agency wide, HANH is continuing to address long-term vacancies and modifying units for UFAS compliance. There is an ongoing effort to remediate items identified in the 2009 PNA at the various scattered sites. Additional phases of erosion control at Westville Manor will be completed.
- Vacancy Reduction. HANH will continue to show improvement from the baseline FY08 vacancy rate of 10%. The FY13 vacancy rate is expected to be 5%.
- Supportive Services. All planned supportive service initiatives have been implemented and will continue during FY13 including:
    - Resident Services for families,

    - Resident services for Elderly/Disabled,
    - Supportive Services Contracts in Elderly/Disabled buildings,
    - Section 3 Employment and Training
    - Re-Entry pilot program. Supportive services funding to support the needs of this population are funded through MTW funding flexibility, however, no other flexibilities are required.
- 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 FY13, 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 FY13.
- 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. This program will continue in 2013.
    - 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 five new Resident Owned Businesses during FY 2013.
    - SEHOP Capital Improvement Program. HANH launched the Capital Improvement Program during FY2010 and will continue this program during FY2013. This program supports new homeowners with necessary capital improvements that arise after being in the home for a minimum of three years.
    - 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.
    - Prison/Community Re-entry initiative. 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 FY2012 residents were leased under this program bringing the total census to 12. As participants graduate the program, new residents will be admitted during FY13 to maintain program capacity.

The following projects will continue during FY2013 and require MTW funding flexibility and other MTW authorities:

- Major Redevelopment Efforts at West Rock (Brookside Phase I, II and Homeownership and Rockview) and Initiative 1.1: 122 Wilmot Road and Initiative 1.8: Farnam Court will include using the HANH Alternative TDC, fungibility and using its authority to provide project based vouchers in excess of 25 percent of the units.

Finally, this report summarizes the following non-MTW initiatives to be undertaken by HANH during FY2013:

NEW

- Family Unification Tenant Based Vouchers – In order to assist children in danger of being placed in out-of-home care or children who cannot be returned from out-of-home care due to inadequate housing. HANH would establish a preference on the housing choice voucher waitlist and enter into a Memorandum of Understanding with the State of Connecticut's Department of Children and Families to identify families in need as well as provide the overall resources for supportive services.

- Project Longevity Tenant Based Voucher allocation – facilitates the success of the city's local crime reduction initiative by offering housing assistance to individuals engaged successfully in the Project Longevity initiative.

ON-GOING

- Section Eight Homeownership Program (SEHOP). HANH continues its successful SEHOP program that assists LIPH and HCV residents and participants with achieving their homeownership goals.
- 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.
- Property Disposition. HANH anticipates disposition of: Valentina Macri Courts, Rockview Phase I, Valley Townhouses, Fairmont, 7 Shelton, Sheffield Manor, South Genesee Park, Ribicoff Cottages and Extensions and Farnam Courts. Appropriate approvals have been or will be sought.
- Capital Fund Financing Program. HANH has issued bonds for Brookside Phase 1 Rental under the CFFP.
- Energy Performance Contracting. HANH is in the process of contracting with ESCO to pursue energy saving improvements. HANH expects to execute an Energy Performance Contract during FY13 and begin implementing energy cost savings measures in FY14.
- Mandatory Conversion analysis. HANH has no units listed on HUD's current list of developments requiring mandatory conversion.
- 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.
- CHOICE Neighborhood funding sought for Farnam Court redevelopment effort with on-site and off-site redevelopment efforts and supportive services
- 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 FY13.
- 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.
- Voluntary Conversion. Allowance of up to 100% project based units in development undergoing voluntary conversion as previously approved remains an initiative in FY2013.
- Elderly Designation. HANH received approval to designate 26 units as elderly only at the 122 Wilmot Road development.
- HANH will issue Tax Exempt Revenue backed bonds for the Farnam Courts Redevelopment and/or the Winchester Arms Redevelopment.

II. General Housing Authority Operating Information

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

HANH serves over 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, 2012, HANH's LIPH inventory totals 2,529 units. This reflects a reduction of 436 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 FY2012. HANH has budget authority for 4,388 Housing Choice Vouchers. HANH has leased 3319 Housing Choice Vouchers. HANH also administers 80 Single Room Occupancy (SRO) vouchers and 85 Veterans Administration Supportive Housing (VASH) vouchers for a total count of 3484 vouchers. (The SRO and VASH vouchers are not included in the MTW program).

HANH plans to maintain a comparable level of utilization of HCV's during FY13.

A. Housing Stock Information:	
Number of public housing units at the beginning of the plan year:	HANH has a public housing stock of 2,529 public housing units. This includes 1,097 site-based family units; 985 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 FY2013 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);	Eighty-Four (84) new LIPH units are anticipated to be added during FY13. 50 units at Brookside Phase 2 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. 34 units at 122 Wilmot Road as part of Mixed Finance Development consisting of an elevator building type delineated as follows: 32 one-bedroom and 2 two-bedrooms with 15 percent of the units fully accessible and 100 percent fully adaptable. Twenty-six (26) units have HUD approval for designated elderly units.

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 FY2012. As such, the following dispositions will occur in FY13: • 17 units at Valentina Macri- disposition for redevelopment of a Mixed Finance Development under 24 CFR Part 941 Subpart F • 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. New Dispositions planned for FY13 include • Disposition of 40 units at Valley Townhouses for redevelopment. • Demolition/Disposition of 100 units at Ribicoff Cottages and Extensions for redevelopment. • Disposition of 240 units at Farnam Courts for redevelopment. • Disposition of 98 units at Fairmont Heights for redevelopment • Disposition of South Genesee Park for the purpose of Farnam Courts Redevelopment.
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 85 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.	51 PBV's at Brookside Rental Phase 2 consisting 11 two-bedroom and 40 three-bedroom units 13 PBV's at the Mixed-Finance 122 Wilmot Road development consisting of nine (9) one-bedroom and four (4) two-bedroom units. Up to 100 PBVs to be awarded through a competitive process to support affordable housing and downtown redevelopment. Up to 10 PBVs to be awarded for supportive housing and homelessness prevention. Up to 8 PBVs to be awarded for family affordable rental development by CUHO Up to 17 PBVs to be awarded for supportive housing for the homeless at Valentina Macri redevelopment Up to 20 PBVs to be awarded for affordable housing for families through Mutual Housing Association Up to 32 PBVs to Winchester Lofts 80-20 Tax Exempt Bond Project which includes a total of 158 units

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 FY2012 with an occupancy rate of 95% representing 2150 leased units. Of HANH's overall LIPH units, 42 are approved by HUD for non-dwelling use; and 224 are approved offline for capital, demo/disposition and litigation. These leaves an adjusted unit count of 2, 263. HANH achieved 95% occupancy during FY2012 and plans to maintain that occupancy rate during FY2013. 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 FY2012 with 3319 leased MTW units. During FY2013, HANH will add an additional 251 project based units and 61 tenant based units for a total of 3,631 MTW HCV units. HANH anticipates maintaining this lease up rate during FY2013.
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 85VASH 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 2013, HANH's development projects require use of HCV funds and HANH reserves leaving funding for approximately 3,600 vouchers. HANH anticipates lease up of, 3,631 MTW units during FY2013 or 100% utilization. No issues are anticipated in leasing these vouchers. 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.

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 2013**	**Units to Be Added During FY 2013**	**Planned FY 2013**
Housing Choice Voucher					
Project Based Vouchers					
Foreclosure (**PBV RFP)**	Foreclosure protection	15	**0**	**0**	15
PBV Fellowship I	100% Supportive Housing	18	0	0	18
PBV Fellowship II	100% Supportive Housing	5	0	0	5
PBV Also Cornerstone	100% Supportive Housing	4	0	0	4
PBV Norton Court	100% Supportive Housing	12	0	0	12
PBV QT Phase 1	81 units – 28% of units PBV	23	0	0	23
PBV QT Phase 2	79 units – 29% of units PBV	23	0	0	23
Park Ridge	100% Elderly/disabled housing	60	0	0	60
Eastview	102 units – 48% of units are PBV	49	0	0	49
West Village	52 Howe – Single Room Occupancy Units	13	0	0	13
Casa Otonal	12 PBV – families	12	0	0	12
CUHO Existing	Scattered Site PBV- Families	24	0	0	24
Frank Nasti Existing	Scattered Site PBV- Families	11	0	0	11
Shartenburg	20 PBV units for City initiative 360 State- Families	20	0	0	20
CUHO New Construction	Affordable 8 unit rental housing development- Families	0	0	8	8
QT III	33 rental units 48% are PBV	16	0	0	16
Brookside Phase I Rental	101 affordable rental mixed - 50% of units are PBV	50	0	0	50
New Rowe	104 affordable	32	0	0	32

Building	mixed use, mixed finance development 31% of units are PBV				
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	0	20	20
Brookside Phase 2 Rental	51 PBV for affordable housing for families in 1 to 4 bedroom units	0	0	51	51
122 Wilmot Road	13 PBV for affordable housing for elderly in 1 and 2 bedroom accessible units	0	0	13	13
Downtown Redevelopment/ Affordable housing	Up to 100 PBV for affordable housing for families in 1 to 3 bedroom units in downtown New Haven locations proximate to amenities, public transportation and in non-impacted neighborhood	0	0	100	100
Supportive housing/Homelessness Prevention	Up to 10 PBV for supportive housing for formerly homeless individuals and families	0	0	10	10
Winchester Lofts	Up to 32 PBVs units for Winchester Lofts 80-20	0	0	32	32
PBV Subtotal		**387**	**0**	**251**	**638**
Tenant Based Vouchers					
Tenant Based Vouchers		2838	0	0	2838
Tenant Based DHMAS Supportive –		10	0	0	10

Housing First					
DMHAS Mental Health Transformation Grant – FUSE		10	0	0	10
Family Options – Homeless		15	0	0	15
Permanent Enrichment		5	0	5	10
Foreclosure Protection and/or Supportive Housing for Homeless(tenant based)		35	0	15	50
Brookside Homeownership Phase 1	10 new homeownership units	10	0	9	19
William T. Rowe relocation vouchers	Replacement Housing Vouchers	9	0	0	9
Family Unification-vouchers for families involved with child protection agency to assist in reunification plans	12 TBV DCF	0	0	12	12
Project Longevity	20 vouchers for city initiative targeting homeless former offenders			**20**	**20**
TENANT BASED VOUCHERS SUBTOTAL		**2932**	**0**	**61**	**2993**
HCV MTW SUBTOTAL		**3319**	**0**	**312**	**3631**
Non-MTW – VASH		35	0	0	35
New Non-MTW VASH		50	0	0	50
Non-MTW – SRO		80			80
NON-MTW SUBTOTAL		**165**	**0**	**0**	**165**
Housing Choice Voucher Subtotal		**3484**	**0**	**312**	**3796**

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 FY2013.
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 twelve mixed finance developments: Monterey Place Phase 1, 2,3,4,5 and 6, Eastview Terrace Phase 1, William T. Rowe, Brookside Phase 1, and Quinnipiac Terrace Phase 1, 2 and 3. The housing in all 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 developments must comply with HUD regulations and federal fair housing and civil rights requirements. The aforementioned mixed-finance developments have had their admissions and occupancy plans and policies set forth in previous MTW plans.

CARES – Brookside Phase II – the following preferences was approved by the HANH Board of Commissioners via Resolution # 11-225/11-R and sets forth: The following modifications will be made to the HANH ACOP specific to the Brookside Phase 2 Mixed Finance Development:

- An admission preference for "working families" for 51 of the 51 PBV units;
- 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:
    - **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,
    - **Second preference**—all residents of Rockview at the time of the execution of the MOA between TRCs of West Rock and HANH,
    - **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,
    - **Fourth preference**—applicants in accordance with all other preference set forth in the ACOP.
- 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.
- 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 families on the Authority's transfer waiting list, then to families 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 tiring 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.
- Flat Rent determination for new families shall be done annually.
- CARES (Caring About Resident Economic Self-Sufficiency) as further defined in Exhibit C attached hereto.
- Definition of "Tenant in Good Standing" for "returning residents" who have preference are as follows (i) HANH deems a household not to be in good standing if HANH has taken legal action against the household and has obtained an execution for possession, allowing it to evict the household. At this stage of the legal process, all rights to cure the lease violation have been exhausted, and so have the appeals processes through both the Housing Court and the Housing Authority's internal grievance procedure; (ii) Households which have reached court-stipulated agreements with the Housing Authority to cure lease violations (such as nonpayment of rent) are considered to be in good standing as long as they abide by the terms of the stipulated agreement; (iii) Households which have received a pre-termination notice or notice to quit or are at any subsequent stage of eviction process are still considered to be in "good standing" for the purposes of the MOA until they have "exhausted all rights to cure and appeals", this means that households under eviction remain in good standing until HANH obtains an execution for eviction.

In addition, the 122 Wilmot Road was approved via Resolution 12-243/11-R and included the following: Thirteen (13) PBV units will be designated for the elderly with preference for former West Rock residents pursuant to the agreement between the Tenant Resident Council ("TRC") for West Rock and the Developer and is as follows:

THE PREFERENCE SYSTEM

a) An Admission preference does not guarantee admission.
b) Preferences establish the order of applicants on the waiting list.
c) Every applicant must still meet the Wilmot Crossing at West Rock's Selection Criteria as set forth in the ACOP before being offered an apartment.
d) Verification must be submitted in order to be given a preference.
e) 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.
f) 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.

g) 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.

h) 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.

i) Returning residents that voluntarily accept a PBV unit will be provided with same transfer rights as other ACC residents.

j) 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.

k) Income tiring 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.

l) 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.

m) Rent determination for all new admissions shall be done in accordance with HUD regulations at 24 CFR Part 5.

n) 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 ROSS grants that are not included in the MTW block grant funding. The uses of the ROSS grants are detailed below.

- **Resident Opportunity and Self-Sufficiency (ROSS) grants -** HANH is the recipient of the following ROSS grant used for resident support services in family developments and elderly/disabled 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 2013 ROSS grant expenditures are as follows:

CT004RPS047A009- Resident Service Coordinator	$155,000
CT004RFS151A011 – Family Developments	$ 40,000

B. Description of Non-MTW Activities Proposed by Agency

Non-MTW Initiatives. During FY2013, HANH is pursuing the following non-MTW related initiatives. Separate approvals will be sought where necessary.

- ***Section Eight Homeownership Program.***
  HANH expanded its capacity to serve 150 total families in its Home Ownership Program. Each family may participate for up to 5 years and during their program enrollment, any incremental rent increases due to increased earned income are saved in escrow, on behalf of the family, which the family may use upon graduation for approved self-sufficiency purposes.

  To date, 33 residents have purchased homes. During 2013, we expect an additional 5 residents to purchase homes.

- ***Supportive Housing Initiative with Department of Mental Health and Addiction Services.***
  HANH provides 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 FY2012 the remaining 5 were leased up. This program will continue during FY13.

- ***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.

- ***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 began implementation during FY12 and is planned to continue during FY13.

- ***Property Dispositions. HANH intends to dispose of the following properties during FY2013:***

  - ***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 issued an RFQ for a Co-Developer to redevelop the property as a Mixed Finance Redevelopment. HANH is resubmitting the disposition under 24 CFR Part 941 Subpart F and expecting HUD to approve the revised disposition approval during FY13.

  - ***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.

- ***Submission of a Mixed Finance Disposition and Demolition Application for Ribicoff Cottages and Extensions***

  HANH intends to submit a mixed finance 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 and any other source of funding available.

- ***Submission of a Mixed Finance Disposition Application for Valley Townhouses.***
  HANH intends to submit a mixed finance disposition application for Valley Townhouses. Valley Townhouses is located at 210 Valley Street. In addition, the Authority intends to apply for various financing, including but not limited to federal funding, LIHTC, HTCC, FHLB and any other source of funding available.

- ***Submission of a Mixed Finance Disposition and/or Demolition Application for Farnam Courts.***
  HANH intends to submit a disposition application for Farnam Courts to revitalize this development and intends to apply for various financing, including but not limited to federal funding, LIHTC, HTCC, FHLB and any other source of funding available.

- ***Submission of a Disposition Application for the South Genesee Park at McConaughy Terrace.***
  HANH intends to submit a disposition application for the park located at McConaughy Terraces on South Genesee with the City of New Have Parks Department in order to facilitate the completion of the on-site component of the Farnam Courts redevelopment efforts. This disposition is the first step in the process to swap park land with The DeLauro Playground which is currently owned by the City's Parks Department and is maintained through a license agreement by the Housing Authority. The South Genesee Park is owned by the Housing Authority and currently maintained by the City's Parks Department.

• *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 and 122 Wilmot Road pursuant to 24 CFR part 990.400. This plan was approved by HUD. However, HANH did not require the issuance of the Supplemental Indenture for 122 Wilmot.

- ***HANH to Implement ESCO and 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 2012 in the amount of $601,427.00. Natural gas savings from September 2010 through January 2012 are $61,369.00. HANH further continues to reduce electricity consumption through education and literature to residents during FY 2013.

- ***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 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 and FY10. Additional PBV lease ups occurred during FY12 are those related to the completion of the Quinnipiac Terrace Phase III, William T. Rowe and the Brookside Phase 1 Rental developments. The following 251 PBV units will be added during FY2013: CUHO New Construction (8), Mutual Housing New Construction and Rehabilitation (20); Valentina Macri (17); Brookside Phase 2 (51) and 122 Wilmot Road (13); Downtown Redevelopment Affordable Housing (100); Supportive Housing for the Homeless (10); Winchester Lofts (32).

- ***CHOICE Neighborhood Initiative***

HANH will continue to pursue upcoming funding opportunities for Farnam Court redevelopment effort with on-site and off-site redevelopment efforts and supportive services.

- ***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 FY13.

- ***Elderly Designation*** HANH received approval to designate 26 units as elderly only at the 122 Wilmot Road development as well as designations at the following developments: Prescott Bush, Katherine Harvey, Constance Baker Motley, Newhall Gardens and Edith B. Johnson.

- ***Waive the 60 day notice requirement to residents of 24 CFR 982.517 of Utility Allowance Schedules for recently completed mixed finance developments. (Non-MTW seeking other approvals).*** As HANH completes major redevelopments there is a need to implement utility allowance schedules and there is not an existing resident population to notice. HANH seeks to waive the 60 day Notice Requirement to residents of 24 CFR 982.517 of Utility Allowance Schedules in such situations. Non MTW approvals were sought during FY2012.

IV. Long-Term MTW Planning

A Description of the Agency's long-tem 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 and Quinnipiac Terrace redevelopments) • Promotion of housing opportunities for income eligible local workforce through LIPH and HCV programs.

MTW Goal	Description of Long Term (10 Years) Strategic Plan
	• 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

NONE

VI. On-Going MTW Activities

Increased Housing Choice

1.1 Development of Mixed Use Development at 122 Wilmot Road: proposed and approved in 2009 MTW Annual Plan

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 is redeveloping 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 financed 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 development is 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: proposed and approved in 2009 MTW Annual Plan

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. • Amount of money leveraged for the development Baseline: dollar amount leveraged at the Eastview Terrace development Reduction in energy consumption and utility costs compared to a control property during the base year (Valley and Waverly 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: proposed and approved in 2012 MTW Annual Plan- directed by HUD to eliminate in MTW Annual Plan for 2013 as it is not necessary to list as an initiative)

1.4. *Over Income for Brookside Phase 2 Rental for PBV: proposed and approved in 2012 MTW Annual Plan*

A. Year Implemented	FY2012
B. Update	This initiative will be closed out in the 2012 MTW Annual Report solely because it is duplicative of the more inclusive initiative 1.10 "Define Income Eligibility for the PBV Program" 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: Proposed and approved in 2009 MTW Annual Plan

A. Year Implemented	2008
B. Update	New Haven, like many municipalities has faced a 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 awarded 32 tenant based vouchers and the 15 project based vouchers. During FY2013 HANH will continue to set aside TBV and/or PBV due to the demand and existing waitlist (up to 15) but will not issue further RFPs for PBV awards due to lack of interest from community providers.
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: Proposed and approved 2004 MTW Annual Plan

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 13. 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: Proposed and approved in 2012 MTW Annual Plan

A. Year Implemented	2011
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 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 continue to 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
E. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

1.8 Farnam Courts Transformation Plan: Proposed and approved in 2011 MTW Annual Plan

A. Year Implemented	2011
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. Unfortunately, during FY 2012, the Authority was notified that it was unsuccessful in obtaining the Choice Neighborhoods Initiative Planning Grant. However, in February 2012, HUD reissued the Notice of Funding Availability (NOFA) for the 2012 Choice Neighborhoods Initiative Implementation Grant for which the Authority has applied. If awarded, this grant will provide for up to $30,000,000 in funding to transform 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. Metrics – • number of Low Income units produced facilitating the use of Alternate TDC's • Actual water and energy consumption. • Amount of money leveraged for the development
C. Anticipated Change in Authorization	No changes.
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

1.9 Increase the Allowed Percentage of Project Based Units under Section 18 of the Housing Act of 1937 from 75 Percent to 100 Percent: Proposed and approved in 2012 MTW Annual Plan

A. Year Implemented	2012
B. Update	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 conducted analysis of the feasibility of converting ACC units to Project Based Units using criteria similar to that set forth under Section 22. HANH will 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 to include the developments of Valley, Ribicoff Cottages and Extensions, Farnam Courts and Fairmont Heights. 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 will provide all of the assistance and counseling as required under Section 18 or the Uniform Relocation Act, if applicable. 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 based 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 continues to use its authorization to Project Based up to 100% of the units in a public housing development that is disposed of in connection with the submission of a Section 18 disposition application to HUD. HANH will limit the amount of project based 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. 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 total project costs. Baselines will be amount of debt that would have been otherwise been leveraged at the 25 percent cap and the Number of Low Income Housing units produced and reduction in energy consumption and utility costs compared to a control property during the base year (Valley and Waverly 2008).
C. Anticipated Change in Authorization	No changes.
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant

1.10 Defining Income Eligibility for the Project Based Voucher Programs: proposed and approved in 2012 MTW Annual Plan

A. Year Implemented	2012
B. Update	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. 45 percent of PBV may be allocated to families with income between 50 and 80 percent AMI for Brookside Phase 2 Rental mixed finance development. At baseline, no developments meet these criteria. During FY2012, HANH leased Brookside Phase I utilizing this structure.
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: proposed and approved in 2004 MTW Annual Plan

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

	2009	2010	-2011
Referrals to FSS	175	181	193
# completing job skills training	25	32	35
Enrolled in FSS classes	138	168	192
% enrolled in FSS that increased income	58%	68%	39%
Average income of FSS participants	$18,526	$19,038	$25,743.00
% enrolled who increased credit score	47%	54%	48%
Average credit score of FSS participants	587	660	603

2.2 Promoting Self-Sufficiency/Earned Income Exclusion: proposed and approved in 2008 MTW Annual Plan

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.

	2009	2010	2011

	% enrolled in FSS that increased income	58%	68%	45%
	Average income of FSS participants	$18,526	$19,038	$25,743
	% enrolled who increased credit score	47%	54%	48%
	Average credit score of FSS participants	587	660	603
C. Anticipated Change in Authorization	No changes			
D. Outside Evaluators	Progress on this initiative is included in the outside evaluation being conducted by EuQuant			

2.3. Caring About Resident Economic Self Sufficiency (CARES) Pilot Program: proposed and approved in 2012 MTW Annual Plan

A. Year Implemented	FY2012
B. Update	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 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. The program will be offered to all returning and new residents to the West Rock Development beginning with Brookside Rental Phase 2. MTW flexibility is used to fund the required social service component of this program. Please note that all former residents of Brookside and Rockview retain their right to return regardless of their desire to enroll in the CARES Pilot. At baseline, no families are enrolled. Cost efficiency: Amount of subsidy per family enrolled in CARES compared to control group (Brookside Phase 1) 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.
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 Cost Effectiveness and Efficiency

3.1 Rent Simplification: proposed and approved in 2008 MTW Annual Plan

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[1]	$14,367	$328	425[2]

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
2011	161	1075	75	534

Upon implementing rent simplification, HANH was able to reduce staffing

[1] Projected numbers for FY2011
[2] Projected numbers for FY2011

	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. This initiative will continue in FY2013.
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: proposed and approved in 2008 MTW Annual Plan*

A. Year Implemented	FY2008
B. Update	This initiative will be closed out in the 2012 MTW Annual Report as recent changes allow all agencies to implement targeted inspection protocols for LIPH units and MTW flexibility is no longer required. 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 averaged 80 agency wide. As of this date, the anticipated impacts have been minimal but suggest that scores do not vary widely when 100% of units are inspected over a randomly selected subset. 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: proposed and approved in 2008 MTW Annual Plan

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.

3.4 Implement Mandatory Direct Deposit for Housing Choice Voucher Landlords: *proposed and approved in 2009 MTW Annual Plan*

A. Year Implemented	FY2010 (this initiative has been authorized since FY2010, however by error of omission it was not listed in the FY2012 MTW Annual Plan. The item has been included in the current plan.)
B. Update	Implementation of this initiative will reward landlords with timely and accurate HAP payments. This increases efficiency while easing HANH's burden to accurately administer 1,300 HAP payments to landlords. This initiative minimizes landlord complaints on non-payment of HAP payments and reduces administrative costs of administrating the program. At baseline, HANH served over 1,300 landlords and approximately 634 had authorized agreements for direct deposits, which is about 49%. A baseline cost to process a check is $7.50. Goal: HANH seeks to increase direct deposit utilization to 100%. All new owners are required to enter in Direct Deposit Agreements. HANH implemented a mandatory Direct Deposit Program during FY2010 in which all new landlords are enrolled in direct deposit. At the end of FY10, HANH had 889 of the 1,320 landlords or 67% enrolled. The cost to process one check equals $7.50. The increase in enrollment during FY 2011 saved an additional $23,000.00 annually. At the end of FY2011, HANH had enrolled 918 of 1,321 landlords or 69%. The cost to process one check equals $7.50. The increase in enrollment during FY 2011 saved an additional $2,610 annually. Data for FY12 is not available at the time of this report. Cumulative annual savings are $25,610.00 HANH will continue to outreach to landlords during FY13 to discuss the

	benefits of direct deposit.
C. Anticipated Change in Authorization	No changes.
D. Outside Evaluators	None - Progress on this initiative is tracked by HANH.

VII. Sources and Uses of Funding

Planned Sources and Uses of MTW Funds

<u>Sources</u>		
Rent		$4,628,738
Operating Subsidy		$16,000,000
Capital Grants		$4,527,546
Other Revenue (1)		$303,497
HCV Subsidy		$57,964,605
MTW Transfer - Prior Year Reserves		$13,118,254
Total Sources		$96,546,640
<u>Uses</u>		
LIPH		$21,953,420
HCV Administration		$2,721,260
Community and Economic Development Salaries/Administrative (MTW Funded)		$725,000
COCC Deficit - does not include Supportive Services		$1,120,909
HCV HAP Expenses		$38,400,000
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	
Brookside Phase 2 Rental	$543,012	
Quinnipiac Terrace Phase 3	$248,124	
122 Wilmot Road	$202,296	
Eastview Terrace	$664,440	
360 State (Shartenburg)	$218,100	
CUHO New Construction	$77,600	
Frank Nasti (Existing)	$277,709	
Mutual Housing -Existing	$97,800	
Quinnipiac Terrace Phase 1	$428,001	
Quinnipiac Terrace Phase 2	$367,816	
Casa Otonal	$383,808	
Howe Street	$102,168	
Total Project Based and Other Vouchers		$5,520,674
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 - furnace and water heater	$72,000	
McConaughy Terrace - interior repairs	$220,000	
McConaughy Terrace - off site sewer repair	$225,000	
Ruoppolo Manor - Façade Improvements	$1,750,000	
Westville Manor - erosion control Phase 2	$291,870	
Westville Manor - 3 Fire Units Rehab	$432,297	
20-24 Westminster Rehabilitation/Rebuild	$200,000	
Prescott Bush Masonry Repairs	$50,000	
CB Motley Floor Replacement incl reloc	$137,000	
Winslow-Celentano Penthouse Repairs	$36,000	
Winslow-Celentano EIFS Installation	$296,000	
Scattered Sites2 - Roof Replacement	$118,000	
Scattered Sites 3 - Ph 1 Interior Improve	$238,800	
Valley - Ph 2 Boiler & HW Replacement	$288,000	
Media Consultant	$71,700	
Software for Work Order Hand Helds	$56,960	
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	
Capital projects Contingency	$310,719	$6,054,346
Development Projects - MTW Initiatives, using CFP and MTW Funds		
Farnam Courts	$1,441,950	
Cott Factory-Purchase	$333,222	
Brookside 1 Rental – Bond Repayment	$300,723	
Brookside 2 Rental	$6,390,731	
Brookside 2 Homeownership	$917,189	
Rockview - I Rental	$2,212,848	
122 Wilmot	$5,490,618	
Valley	$405,250	
Rockview HO	$438,750	
Ribicoff Cottages and Ext	$890,850	$18,822,131
Total Uses		$96,546,640
Surplus/(Deficit)		$0

(1) Other Revenue – Laundry Machine Income, Cell Phone Towers, etc.

Planned Sources and Uses of Non-MTW Funds

FY 2013 Draft Budget

A. Planned Sources and Uses of Other HUD or Federal Funds		
Sources		
CSS Endowment Accounts		$400,000
ROSS Grants		$195,000
S8 Mod Rehab Program		$547,800
S8 VASH Program		$298,622
RHF Grants		$1,214,765
Total Non-MTW Sources		$2,656,187
Uses		
Supportive Housing (ROSS/CSS) - Salaries/Administrative		$595,000
S8 Mod Rehab Program HAP Expenses (Pg ??)		$547,800
S8 VASH Program HAP Expenses (pg ??)		$298,622
CFFP Bond Repayment		$1,214,765
Total Non-MTW Uses		$2,656,187
Net Surplus/ (Deficit)		$0

B. *Planned sources and uses of State or local funds*

None

C. Planned vs. Actual Use of COCC

FY2013 Draft Budget

Sources	
Management Fees	$2,021,343
Bookkeeping Fees	$ 431,820
Capital Administration	$ 257,777
Developer Fee	$1,175,000
Fee For Service - Legal, Vacancy Crew, Planning and Development	$1,116,991
Total COCC Sources	$5,002,931
Uses	
Administrative and Operating Costs	$5,448,840
Development Expenses	$ 675,000
Total COCC Uses	$6,123,840
Net Surplus/ (Deficit) - transferred to MTW Use	($1,120,909)

D. Deviations from Cost Allocation or Fee-For-Service Approach

Not applicable

E. Single-Fund flexibility- 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 2013 Project Total	FY2013 Budget											
		HANH SOURCES					*NON-HANH SOURCES*						
		ROSS	*Capital Grants*	*Developer Fees*	*Other*	*MTW*	*State Tax Credit*	*City of New Haven*	*Tax Credit Equity*	*DECD*	*Bank Loan*	*Other*
Community and Economic Development												
Supportive Housing Salaries/Administrative	$1,320,000	$195,000			$400,000	$ 725,000						
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	**$2,548,900**	**$195,000**			**$400,000**	**$1,953,900**						
Capital Projects												
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 – façade Improvements	1,750,000		$1,750,000									
Westville Manor - erosion control Phase 2	$291,870		$291,870									
Westville Manor – 3 Fire Units Rehab	$432,297		$432,297									
20-24 Westminster Rehabilitation/Rebuild	$200,000		$200,000									
Prescott Bush Masonry Repairs	$50,000					$50,000						
C.B. Motley Floor Replacement incl relocation	$137,000		$137,000									
Winston-Celentano Penthouse Repairs	$36,000		$36,000									
Winston – Celentano EIFS Installation	$296,000		$296,000									
Scattered Sites 2 – Roof Replacement	$118,000					$118,000						
Scattered Sites 3 – Ph 1 Interior Improve	$238,800					$238,800						
Valley – Ph 2 Boiler & HW Replacement	$288,000					$288,000						
Media Consultant	$71,700		$71,700									
Software for Work Order Hand Helds	$56,960		$56,960									
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									

Capital projects Contingency	$310,719		$310,719										
Total Capital Programs	$6,054,346	$0	$4,527,546	$0	$0	$0	$1,526,800	$0	0	$0	$0	$0	$0
Development													
Development expenses	$ 675,000						$ 675,000						
Farnam Courts	$1,441,950						$1,441,950						
Cott Factory Purchase	$ 333,222						$ 333,222						
Brookside 1 Rental CFFP Bond	$1,515,488		$1,515,488										
Brookside 2 Rental	$6,390,731						$6,390,731						
Ribicoff Cottages and Extension	$ 890,850						$ 890,850						
Brookside 2 Homeownership	$ 917,189						$ 917,189						
Rockview - I Rental	$2,212,848						$2,212,848						
122 Wilmot	$5,490,618						$5,490,618						
Valley	$ 405,250						$ 405,250						
Rockview HO	$ 438,750						$ 438,750						
Total Development Projects	$20,711,896	$0	$1,515,488	$0	$0	$0	$19,196,408	$0	$0	$0	$0	$0	$0
COCC Operating Deficit Funding	$ 1,120,909						$ 1,120,909						
Total Sources	**$30,436,051**	**$195,000**	**$6,043,034**		**$4,002,148**	**$400,000**	**$21,813,117**	**$0**					

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, McConaughy Terrace, Fulton Park, Westville Manor, Winslow-Celentano, and Scattered Sites 2 & 3, 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

Brookside Phase I Rental was completed in FY 2012.

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., a 172 unit high rise development that houses elderly and disabled residents, was completed in FY12.

Conversion of Valentina Macri, 109 Frank Street into a Mixed Finance Affordable Housing Development. for supportive housing

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; including but not limited to resident engagement; meetings with the Tenant Resident Council and the Resident Advisory Board. During FY2013 HANH will obtain all necessary approvals – local, State and Federal; and dispose of the property to a Developer. Certain investments are required in order to dispose of the site and HANH will complete 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.

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 contains 101 affordable rental units in 28 rental buildings and include a management/maintenance building with a community meeting room. All of the units are 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 are 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 visible 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.

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.

$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
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

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	1^{st}	10/12/10	10/12/12
CT26R00450207	$568,890	2^{nd}	10/12/10	10/12/12
CT26R00450108	$871,883	1^{st}	10/12/10	10/12/12
CT26R00450208	$177,216	2^{nd}	10/12/10	10/12/12
CT26R00450109	$896,759	1^{st}	09/14/12	09/14/14
CT26R00450209	$154,619	2^{nd}	09/14/11	09/14/13
CT26R00450409	$403,299	3^{rd}	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.

Business Development Support Program

HANH shall continue to strive to strengthen Resident Owned Business Development by providing training and workshops on Section 3 Business Concern Certifications, Minority Business Certifications, bidding process, certified payroll process, licensing, bonding, liability insurance, business plans and bookkeeping. This will continue to enhance Section 3 Resident Owned Business Concerns internal capacity and ability to procure both public and private competitive contract awards.

HANH shall continue to provide a revolving loan fund to which Resident Owned Businesses may apply for loans up to $25,000 by submitting a bona fide business plan and letter of intent for a pending contract award option. The prerequisites for the loan program is; 1) only HANH Resident Owned Business Concerns may apply for the revolving loans; and 2) the Principles of the business must commit to enrolling into HANH's Family Self Sufficient Program which has been designed to work specifically with participants on basic personal financial capability skills, workshops on credit, basics of banking, budgeting, saving, insurance, etc. Loan applications are reviewed by a HANH loan committee. Loan repayments are scheduled over a 12 month period. $250,000 in MTW flexible funds are dedicated to the Revolving Loan Fund.

HANH's present goal is to create five Resident Businesses annually that are diverse in the construction trades, as well as non-construction vendors. HANH will provide $150,000 in MTW flexible funds dedicated to the Back Office Support, and Section 3 Resident Business Training Programs during FY2013. HANH presently has a total of eight Resident Owned Businesses. These businesses have procured contract awards in excess of $10,824,479.00 in HANH related contracts, and have an additional $900,000 in pending contracts.

VIII. Administrative

Attachment A

Board Resolution Approving This FY 2013 MTW Annual Plan

To: Board of Commissioners

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

Date: June 19, 2012

RE: Approval of MTW Annual Plan for FY 2013

ACTION:	Recommend that the Board of Commissioners adopt Resolution Number **06-102/12-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 FY 2013 was made available for public review on April 16, 2012. A public hearing was held on May 16, 2012. At this time HANH submits for Board approval the MTW Annual Plan for Fiscal Year 2013. 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 2013 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: 06-102/12-R

APPROVING HANH'S MTW ANNUAL PLAN FOR FY 2013

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, BE IT RESOLVED THAT 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 2013 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. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 30 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
2. The PHA will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
3. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
4. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
5. The PHA will comply with the Architectural Barriers Act of 1968 and 24CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
6. The PHA will comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low- or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
7. The PHA has submitted with the Plan a certification with regard to a drug free workplace required by CFR Part 24, Subpart F.
8. The PHA has submitted with the Plan a certification with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Amendment and implementing regulations at 49 CFR Part 24.
9. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
10. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).

11. The PHA will provide HUD or the responsible entity any documentation that the Department needs to carry out its review under the National Environmental Policy Act and other related authorities. In accordance with 24 CFR Part 58.
12. With respect to public housing, the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
13. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
14. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
15. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
16. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the Moving to Work Agreement and Statement of Authorizations and included in its Plan.
17. All attachments to the Plan have been and will continue to be available at all times and all locations that the Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its Plan and will continue to be made available at least at the primary business office of the PHA.

I hereby certify that 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 19, 2012

KDWal

Karen DuBois-Walton
Secretary/Executive Director

6/19/12
Date

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

By: ______________________, Esq.
Rolan Joni Young Smith, Esq.
A Senior 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, 2009, 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 of City of New Haven
PHA Name

CT 004
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	Chairman
Signature	Date
X	06/19/12

A. Documentation of Public Hearing and Public Comment Period

Housing Authority of New Haven
Public Hearing 2013 Moving to Work Annual Plan
Wednesday, May 16, 2012 @ 5:00 pm
360 Orange Street, New Haven, CT 06511

Attendance:
Karen DuBois-Walton, HANH
Evelise Ribeiro, HANH
Brigitta Henderson, HANH
Demetria McMillian, HANH
Karen Brown, HANH
Catherine Hawthorne, HANH
Frank Emery, HANH
Cheryl Leeks, HANH
Clyde Caldwell, HANH
Sandra Haywood, HANH
Melanie Post, HANH
Daryl Wells, Greater New Haven Business and Professional Association
Sheila Allen Bell, HANH
Jasmin Franjul, HANH

Meeting started at 5:03pm by Karen DuBois-Walton.

Karen DuBois-Walton read the legal notice aloud which stated the reason the meeting was being called.

NOTICE OF PUBLIC HEARING FOR THE HOUSING AUTHORITY OF THE CITY OF NEW HAVEN 2013 MOVING TO WORK ANNUAL PLAN

Section VI B of the Authority's Moving to Work Agreement (the "Agreement") requires that before the Agency can file its Approved Annual Moving to Work Plan to the U.S. Department of Housing and Urban Development (the "HUD") it must conduct a public hearing, consider comments from the hearing on the proposed amendments, obtain approval from the Board of Commissioners, and submit the amendments to HUD.

Pursuant to said Section VI B, the Authority will conduct a public hearing on **Tuesday, May 16, 2012 at 5:00 PM, in the Board of Commissioners Conference Room at 360 Orange Street, New Haven, CT 06511** to receive comments and recommendations. A copy of the Plan will be available for review starting **April 16, 2012** on the Authority's website at www.elmcitycommunities.com, or can be picked up at the front desk in the main lobby area at

360 Orange Street. You are invited to provide written comments addressed to HANH MTW 2012 Plan, Attn: Brigitta Henderson, P.O. Box 1912, New Haven, CT 06509-1912.

Any individuals requiring reasonable accommodations to participant in the hearing may call Teena Bordeaux, Reasonable Accommodations Coordinator for HANH at 498-8800 extension 1507 or at the TDD Number 497-8434.

At 5:06pm the meeting was then opened to take public comments.

Public Comments:

Darryl Wells of the Greater New Haven Business and Professionals Association: I have a question on the Authorities strategy to develop strong relationships with local non profit organizations as to enhance the delivery of program services. That is one question that I have and then on page 53 of the plan there is a section on business development and support programs and I was wondering what initiatives are on the board there and my third and final questions is it says that there is affirmative action to award contract to minority and women owned businesses enterprises under CFR24 5.105 I think that is on page 58 of the plan those are my three areas of just general inquiries in terms of the strategy of the Authority.

Karen DuBois-Walton: The reference for your first question was on which page? And the question was strategies?

Darryl Wells: That was on page 63 of the Authorities Plan. It states that this is the intent to develop strong relationships with local non profits so as to enhance the delivery of program services and I was just trying to get clarification on what that strategy may be on what initiatives and what kind of outreach the Authority has in terms of goals they have to accomplish this.

Karen DuBois-Walton: Ok, page 62 has an evaluation report that is included as a part of our Moving to work plan this is a report that is completed by an outside evaluator that seeks to evaluate our Moving to work initiatives that are laid out in our plan each year and so what you have in those pages beginning on page 62 are parts of the report that was completed by Dr. Thomas Danny Boston and the staff and he is referencing that the previous plan had laid out objective that we were working toward. This one really speaks toward our self sufficiency programs where we provide services that geared to helping resident move forward economically by providing enough social support services that will help them depending on the individual needs they maybe mental health or substance abuse services or life planning services or budgeting services and this developing strong relationships notion is that we don't provide all of those services ourselves but will partner with local non profits to provide these services for us. Anytime we spend money here at the Authority it is through a public procurement process. So our method for developing these strong relationships is through identifying the services that we need and typically in this area issuing a required request for proposals on a particular service then on non profits will bid on that service perhaps to provide mental health services budgeting classes we go through that kind of selection process to work with a network of non profit providers to provide those program services. So, I believe that is what that is referencing.

Your question on page 53 is a part of our actual plan that is written by Housing Authority staff and the section that you are in at that point are MTW projects that actually begins on page 49 but this section is including all of the Moving to work initiatives that require our ability to use our funding but don't require any special favor approval so in this section we are taking Moving to work dollars and applying them to a particular program. The program being described here is our business development support program and this is a program that is geared toward assisting residents that might have a desire to start their own business, develop a business plan and leading up to starting a business. This service is also put out when we are looking for a service to consult with us that is also put out to bid and entity selected to help the resident owned businesses depending on where thy are with their business planning their success and going after work might want to assist them in some contract management type of functions as well. We currently have created about five businesses. I am not sure if this included a goal as to what we wanted for the upcoming year but that is what this is describing is the process to assist businesses.

Darryl Wells: is there any consideration or preference for local organizations to provide those type of contracting services for providing services to the resident owned businesses. If you have a local non profit that is providing those services is there additional consideration given to that?

Karen DuBois-Walton: Projects that are funded are primarily funded by federal dollars and the government sets up what our preferences can be primarily because its nationwide federal tax dollars prohibits local preferences or limiting the award to only New Haven businesses. We do provide consideration of section 3 businesses and we ensure that and make the best efforts to do business with minority owned and women owned businesses as well. We are prohibited from doing a New Haven preference.

Your third question had to do with page 58. This is a series of certifications this is a part of the resolution that needs to be passed by the board subsequent to this hearing. They are things that when we submit the plan it is certifying to things that we have done or will do in implementing this plan and so your specific question was which item?

Darryl Wells: There was a reference to appropriate affirmative action to award contract to minority or women business enterprises under 24 CFR 5.105A

Karen DuBois-Walton: Okay, so that is referencing to what I just discussed around seeking to contract all our bids that are over a certain dollar amount will always appear in the local newspaper, our bids at any dollar amount will be posted on our website. We do specific outreach on smaller quotes but we try to identify businesses that we think can provide the services and send them out a solicitation. Our goal is to always have competition on these to we seek to get at least 3 bids on different work.

We do provide a preference for businesses that are owned by a resident and then we ensure for any contract that that if the prime contract is not going to a section 3, minority or woman owned business then we make all efforts to make sure that contractor meets section 3 and equal opportunity goals and so that is what that is referencing as well as we will adhere to those sections of the federal law and regulations.

Darryl Wells: Okay.

Karen DuBois-Walton: Thank you for your questions. Are there any others is there anyone else willing to give public comment? Seeing there are no further comments being today does conclude the 30 day public comment period on this plan. We thank you for your attendance. All the comments that we receive today and any comments that we received in writing will all be considered and duly incorporated. If there are any changes that are required in the Moving to work plan that is intended to be brought to our Board of Commissioners meeting on the third Tuesday of June. There is additional opportunity if you need to testify in front of the commissioners at that time. We thank you and at this time I will close the public hearing.

The meeting was adjourned at 5:15pm.

B. Evaluation Plan

2011 Moving to Work Impact Evaluation Report: Housing Authority of the City of New Haven (Detailed Summary of Findings)

February 17, 2012

Prepared by: Thomas D. Boston, PhD, and EuQuant Staff

EUQUANT

100 Galleria Parkway, Ste. 250

Atlanta, GA 30330

O: 678-424-5615

www.euquant.com

DRAFT Summary

Purpose and Background

Purpose

This 2011 MTW Impact Evaluation Report monitors and evaluates the progress made by the Housing Authority of New Haven (HANH)[3] toward the achievement of its Moving to Work (MTW) goals.

The *2011 Annual Moving to Work (MTW) Plan* describes the goals, strategies and activities that were implemented by HANH under its MTW authority. The 2010 Evaluation examined the impact of HANH's housing services and program activities that were implemented between 2006 and 2010. The current report extends the evaluation through 2011.

Goals of the MTW Program

1. HANH's overall MTW goals are as follows:
    a. To create a wider range of higher quality housing choices for families.
    b. To encourage and support self-sufficiency efforts for families with children.
    c. To administer housing services with greater effectiveness and efficiency.
2. HANH's 2011 Annual Plan describes the strategic objectives that are integral to achieving its goals:
    a. To increase the variety of housing options in healthy communities by constructing mixed-income housing, rehabilitating low income public housing (LIPH), and strategically disposing of properties.
    b. To deconcentrate poverty and expand housing options and economic opportunities using project-based vouchers and by constructing mixed-income developments.
    c. To create supportive housing options for families with intensive care needs.
    d. To promote the well-being and self-sufficiency of residents.
    e. To improve resident self-sufficiency by providing supportive services programs in employment training, education, financial literacy, and life skills.
    f. To develop strong relationships with local nonprofit organizations so as to enhance the delivery of program services.
    g. To develop commercial ventures that will expand housing choices and improve HANH's operational efficiency.
    h. To streamline operational processes and become more effective and innovative.

[3] Hereinafter, the Housing Authority of New Haven will be referred to as HANH.

I. Changes in the Variety and Quality of Housing Options: 2006 - 2011

This section lists the strategic objectives of HANH relative to increasing the quality and variety of housing options, the metrics used to measures attainment of those objectives, and the findings for the period 2006 through 2011.

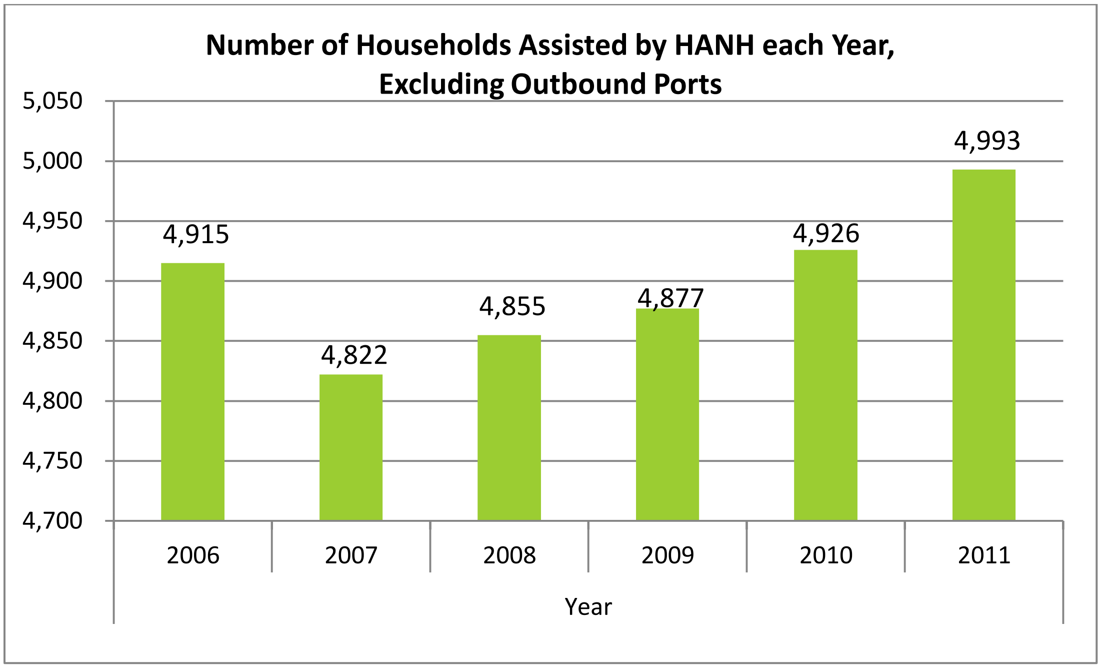
Strategic Objective: To increase the variety and quality of housing options available to families in healthy communities

Metrics:

- the number of persons assisted
- the type of housing assistance received
- the number of householders who lived in mixed-income developments
- the number of householders who received project based rental assistance
- the demographic characteristics of households and persons
- number of families who received Veterans Administration Supportive Housing services, Intensive Case Management supportive housing services, and Single Room Occupancy (SRO) Program for homeless individuals
- number of relocations from LIPH to mixed-income developments: Quinnipiac Terrace, Eastview Terrace, Rockview, Brookside, and Prescott Bush Mall
- number of householders who terminated (exiting) housing assistance
- reasons given for terminating housing assistance

Findings

1. **The number of householders served:** Between the baseline year of 2006 and 2011, the number of householders served by HANH increased by 1.5%, from 4915 to 4993. Furthermore, this increase does not account for families who engaged in outbound ports. A major conclusion is that the implementation of HANH's MTW activities did not cause a reduction in the number of householders who received housing assistance.



2. **Total Persons Assisted:** In 2001 HANH assisted a larger percentage of householders who were elderly and disabled in comparison to 2006. Elderly and disabled householders have smaller families in comparison to other categories of housing assisted persons. As a result, the total number of households assisted increased but the total number of persons served by HANH (i.e. all individuals living in households) decreased between 2006 and 2011. Specifically, HANH served 11,807 in 2006; 11,339 in 2010; and 11,489 in 2011. Quality and Variety of Housing Options
3. **Housing quality and variety:** HANH's goal of increasing the variety of housing options in healthy communities was achieved by repositioning families to mixed-income housing, using project based rental assistance, designating more housing assistance exclusively for elderly and disabled householders, and by developing more supportive housing options.

Number of Householders by Type of Assistance 2006 Baseline Year and 2010, 2011						
Type of Assistance	2006		2010		2011	
	Number	Percent	Number	Percent	Number	Percent
ELDERLY ONLY PROPERTIES	180	3.7%	267	5.4%	306	6.1%
ELDERLY AND DISABLED PROPERTIES	642	13.1%	676	13.7%	645	12.9%
FAMILY DEVELOPMENTS	649	13.2%	606	12.3%	642	12.9%

MIXED-INCOME DEVELOPMENTS	189	3.8%	299	6.1%	315	6.3%
MOD-REHAB SRO PROPERTIES	70	1.4%	77	1.6%	77	1.5%
PROJECT BASED VOUCHERS	34	.7%	227	4.6%	260	5.2%
SCATTERED SITE PROPERTIES	139	2.8%	170	3.5%	169	3.4%
TENANT BASED VOUCHERS	3003	61.1%	2581	52.4%	2555	51.2%
VETERANS SUPPORTIVE HOUSING		.0%	22	.4%	23	.5%
OTHER LOW INCOME HOUSING ASST	9	.2%	1	.0%	1	.0%
Total	4915	100.0%	4926	100.0%	4993	100.0%

a. The percentage of families who received assistance in mixed-income rental units increased from 3.8% in 2006 (289 householders) to 6.1% in 2010 (299 households) and to 6.3% in 2011 (306 households). At the same time, the percentage of families who received project based rental assistance increased from .7% in 2006 (34 householders) to 4.6% by 2010 (227 householders) and to 5.2% (260 householders) in 2011, Figure 4.
b. In 2011 as compared to 2006, householders received the following types of housing assistance: 12.9% (642) lived in LIPH family developments compared to 13.2% in 2006; 6.3% (315) lived in mixed-income developments versus 3.8% in 2006; 3.4% (169) lived in scattered site housing vs. 2.8% in 2006; 12.9% (645) lived in developments reserved for elderly and disabled householders vs. 13.1% in 2006; and 6.1% (267) lived in elderly only developments vs. 3.7% in 2006 (see Figure 4).
c. In 2011 as compared to 2006, 51.2% (2555) received tenant based vouchers vs. 61.1% in 2006; 5.2% (260) received project-based vouchers vs. 0.7% in 2006; 1.5% (77) received single room occupancy vouchers vs. 1.4% in 2006; and 0.5% (23) received vouchers reserved for veterans VASH – the latter type of assistance was not available in 2006. The most significant changes in the type of housing assistance between 2006 and 2011 occurred among families who received mixed-income housing (the percentage increase from 3.8 % to 6.1 % between 2006 and 2011), tenant based vouchers (the percentage decreased from 61.1 % to 51.2% between 2006 and 2011) and project based vouchers (the percentage increased from 0.7 % to 5.2%), see Figure 4.

4. **Supportive services housing options to families with intensive care needs**. Between 2006 and 2011, the number of householders who received vouchers under the MOD-REHAB-SRO Program increased from 70 to 77 and the number that

received VASH vouchers was 0 in 2006, 22 in 2010 and 23 in 2011. At the same time, the number of elderly only householders increased from 180 in 206 to 315 in 2011. That increase represented a change from 3.8% of all assisted householders to 6.3%, see Figure 4.

5. **Housing Assistance for Persons Classified as Disabled**

In 2006, 1947 persons were classified as disabled. They represented 16.5% of all assisted persons. In 2011 the number was 2715 representing 23.6%, see Figure 9a.

Number and Percent of Disabled Persons

Persons Classified as Disabled 2006 Baseline Year and 2010, 2011						
Type of Assistance	2006		2010		2011	
	Number	Percent	Number	Percent	Number	Percent
NON-DISABLED PERSON	9860	83.5%	8753	77.2%	8774	76.4%
DISABLED PERSON	1947	16.5%	2586	22.8%	2715	23.6%
Total	11807	100.0%	11339	100.0%	11489	100.0%

6. **Types of Families assisted:** HANH increase the variety and quality of housing options by providing more housing opportunities in elderly only properties and properties reserved for elderly and disabled persons. Between 2006 and 2011, HANH repositioned a significant percentage of elderly and disabled householders to properties reserved exclusively for them.

Type of Families Assisted by HANH, 2006 Baseline Year and 2010, 2011

	2006		2010		2011	
Type of Family	Number	Percent	Number	Percent	Number	Percent
Disabled	1170	23.8%	1364	27.7%	1474	29.5%
Elderly	760	15.5%	952	19.3%	927	18.6%
Family	2477	50.4%	2150	43.6%	2146	43.0%
Single	508	10.3%	460	9.3%	446	8.9%
Total	4915	100.0%	4926	100.0%	4993	100.0%

Families are classified into four categories depending upon the primary status of the household head. The categories include the following: disabled, elderly, family and single. The percentage of elderly and disabled households increased significantly between 2006 and 2011. In 2006, 1170 households (23.8%) were classified as disabled, 760 (15.5%) were classified elderly, 2477 (50.4%) were classified as family, and 508 (10.3%) were classified as single. The comparable figures in 2011 were 1474 (29.5%) disabled, 927 (18.6%) elderly, 2146 (43.0%) family, and 446 (8.9%) single, see Figure 8.

II. Demographic Characteristics of Households

Age Profile: The average age of the assisted population increased slightly between 2006 and 2011, from 47.7 years to 49.2 years. In 2011, householders in the LIPH program were somewhat older than those receiving housing choice vouchers, 50.9 years versus 48.1 years respectively, see Figure 10.

Average Age of Head of Household by Housing Program 2006 Baseline Year and 2010, 2011			
Housing Program	2006	2010	2011
	Mean	Mean	Mean
HCV	45.2	47.8	48.1
LIPH	52.0	51.1	50.9
Average	47.7	49.1	49.2

Tenure: The average length of time families received housing assistance increased from 8.4 years in 2006 to 9.9 years in 2011. Tenure was longer in the LIPH program (10.7 years) than it was for recipients in the HCV program (9.2 years).

In 2011, the longest tenure was in scattered site housing (16.5 years). This was followed by householders in elderly only properties (11.8 years) and householders in family developments (11.6 years). The shortest tenure was recorded for families who received project based vouchers (2.9 years), Figure 13.

Average Length of Time on Housing Assistance (from admission to end of observation Year) 2006 Baseline Year and 2010, 2011			
Housing Program	2006	2010	2011

	Mean	Mean	Mean
HCV	6.2	8.7	9.2
LIPH	12.1	11.1	10.7
Average	8.4	9.7	9.9

Gender: In 2006, 82.9% of HANH householders were women and in 2011 the comparable number was 81.4%. In 2011, a higher percentage of women householders received housing choice vouchers (87.5%) than LIPH assistance (72.7%)

Gender Status of Household Heads by Program
2006 Baseline Year and 2010, 2011

Program	2006		2010		2011	
	Men	Women	Men	Women	Men	Women
HCV	11.2%	88.8%	12.1%	87.9%	12.5%	87.5%
LIPH	27.3%	72.7%	28.2%	71.8%	27.3%	72.7%
Average	17.1%	82.9%	18.7%	81.3%	18.6%	81.4%

Ethnicity: In 2006, Hispanic/Latino householders represented 26.6% of the total and in 2011, they represented 30.1%. A larger percentage of Hispanic/Latinos received housing choice voucher than LIPH assistance in 2011, 34.8% and 23.5%) respectively.

Ethnic Status of Household Heads by Program 2006 Baseline Year and 2010, 2011						
Program	2006		2010		2011	
	Hispanic/ Latino	Not Hispanic/ Latino	Hispanic/ Latino	Not Hispanic/ Latino	Hispanic/ Latino	Not Hispanic/ Latino
HCV	32.3%	67.7%	34.3%	65.7%	34.8%	65.2%
LIPH	16.9%	83.1%	22.4%	77.6%	23.5%	76.5%
Average	26.6%	73.4%	29.4%	70.6%	30.1%	69.9%

Race: In 2011, blacks comprised 61.7% of householders and whites made up 36.9%; additionally, 1.2% was Asian American. The percentage of blacks increased from 56.7 in 2006 to 61.7 in 2011, Figure 16.

Racial Status of Household Heads by Program in 2011						
	HCV		LIPH		Total	
	Number	Percent	Number	Percent	Number	Percent
American Indian/Alaska	2	.1%	5	.2%	7	.1%
Asian	54	1.9%	7	.3%	61	1.2%
Black/African American	1653	56.7%	1430	68.8%	3083	61.7%
Native Hawaiian/Other	1	.0%		.0%	1	.0%
White	1205	41.3%	636	30.6%	1841	36.9%

Marital Status: Five and three-tenths percent (5.3%) of HANH householders was married in 2006 and in 2011, 4.7% was married. Married persons represent a slightly higher percentage of householders in the housing choice voucher program than in the LIPH program (Figure 17).

Marital Status of Household Heads	Year		
	2006	2010	2011
	Percent	Percent	Percent

Unmarried Household Heads	94.7%	94.4%	95.3%
Married Household Heads	5.3%	5.6%	4.7%

Size of Households and Rental Units: In 2011, the size of households ranged from one person to eight persons. The largest number of households had one person (40.2%). Two-person households comprised 22.2% of the total, while three-person and four-person households comprised 17.9% and 11.4% respectively. Additionally, five-person and six-person households comprised 5.1% and 2.2% respectively of all households now you, see Figure 18.

Size Distribution of Households

Size of Family by Percent Distribution of Households	Year		
Size of Family	2006	2010	2011
	Percent	Percent	Percent
1	36.4%	40.7%	40.2%
2	22.9%	21.3%	22.2%
3	18.3%	18.5%	17.9%
4	13.1%	10.8%	11.4%
5	5.7%	5.4%	5.1%
6	2.1%	2.3%	2.2%
7	.9%	.5%	.7%
8	.5%	.3%	.3%
9	.1%	.1%	.1%
10	.1%	.0%	.0%
12	.1%	.0%	.0%

Size of Bedrooms: In 2011, the number of bedrooms in households ranged from zero (in cases where the rental was an efficiency unit) to 6. The largest number of households had 2 bedrooms (30.3%) and the second and largest number had 3 bedrooms (28.4%). Additionally, 21.1% of households had one bedroom, 12.0% were efficiency units and 7.1% had 4 bedrooms, Figure 19.

Percent Distribution of Household by Bedroom Size

Percent Distribution of Households by the Number of Bedrooms	Year		
	2006	2010	2011
Bedrooms	Percent	Percent	Percent
Efficiency	11.7%	12.9%	12.0%
1	18.6%	20.5%	21.1%
2	31.9%	30.0%	30.3%
3	29.8%	28.2%	28.4%
4	6.8%	7.3%	7.1%
5	1.2%	1.0%	.9%
6	.1%	.2%	.1%

III. POVERTY DECONCENTRATION:

Strategic Objective: To deconcentrate poverty by expanding housing opportunities in quality neighborhoods and by increasing of housing and economic opportunities.

Metrics used to measure poverty concentration include the following:

- The poverty characteristics of New Haven neighborhoods
- The poverty characteristics of neighborhoods relative to the housing program of families
- Community Attribute Index: the characteristics of New Haven neighborhoods defined by Average value of the following: poverty rate, average value of single family homes, median household income, elementary school assessment score and violent crime rate.
- The neighborhood characteristics relative to the type of housing assistance; LIPH, HCV, mixed-income developments, scattered site housing, elderly and disabled properties.
- The change in neighborhood characteristics associated with relocating from LIPH to HCV, PBRA and mixed income developments
- The extent of poverty deconcentration associated with neighborhood relocation of the 2006 cohort

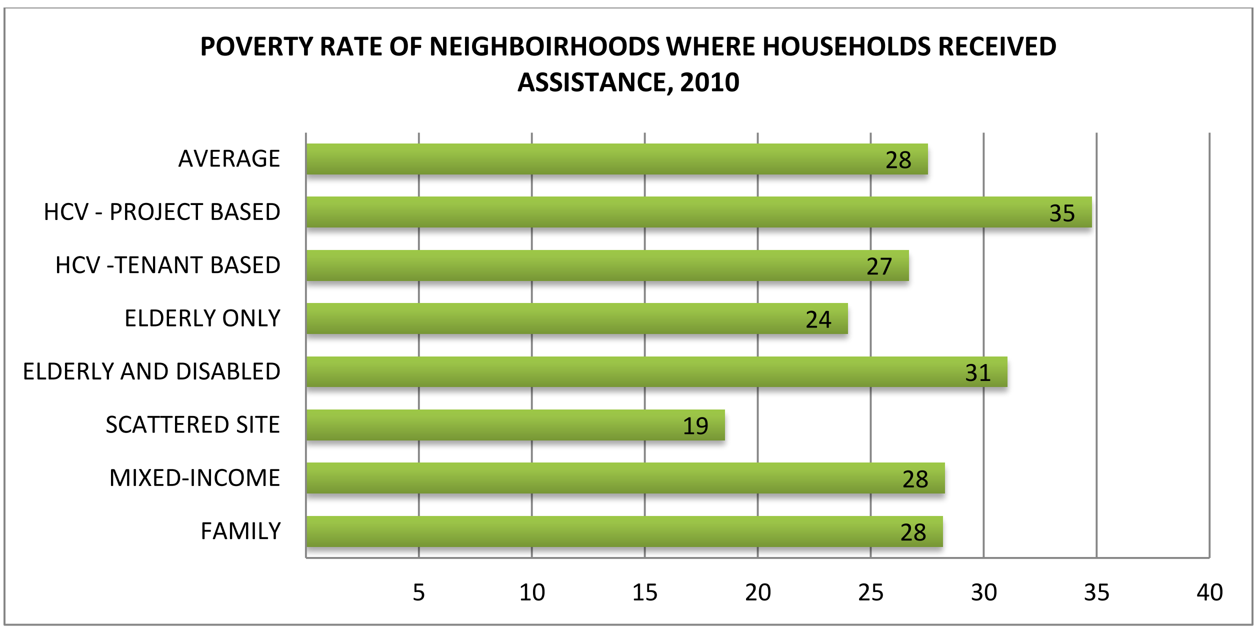
Findings

1. HANH sought to achieve its goal of deconcentrating poverty by increasing the number of householders who lived in mixed income revitalize communities. In 2006, there were 289 households in mixed income developments which represented 3.8% of all housing recipients. In 2011, the comparable figure was 6.3%. The average poverty rate where scattered site properties were located was 19% while the average poverty rate where LIPH developments were located was 29%.

2. Relocating families from LIPH to scattered site properties was another way that HANH sought to deconcentrate poverty. Households in scattered site developments increased from 2.8% in 2006 to 3.4% in 2011. Scattered site housing was situated in neighborhoods that had the lowest poverty rate among all places where housing assistance was provided. The average rate of poverty in scattered site locations was 19%. For all New Haven neighborhoods where housing assistance was provided, the average rate was 28%.

3. Project based rental assistance was a third way that HANH sought to deconcentrate poverty. Households receiving that type of assistance increased from .7% in 2006 to 5.2% in 2011. Project based assistance allows PHAs to strategically locate assistance in neighborhoods that might not be accessible otherwise. Unfortunately, in New Haven PBRA properties are located in neighborhoods that have the highest rates of poverty (35%) in comparison to the neighborhoods where all other types of housing assistance are received. The average poverty rate for both neighborhoods is 28%.

Characteristics of Housing Assistance and New Haven Neighborhoods: The highest poverty rate occurs in neighborhoods where Mod Rehab and Single Room Occupancy Properties Are Located (39%) and Project-based Vouchers Are Located (35%). The lowest poverty rate occurs in neighborhoods where scattered site properties are found (18%) and elderly only properties (24%). The rate of violent crimes is measured as the number of crimes per 10,000 people.



Characteristics of Neighborhoods Where Families Relocated

Attributes of New Haven Neighborhoods by Type of Housing Assistance						
	Poverty Rate1	Violent crime rate 2009	Median household income in 2000	Single family home value 2009	Fifth grade math 2009	Fifth grade reading 2009
	Mean	Mean	Mean	Mean	Mean	Mean
ELDERLY ONLY	24	12	$25,860	$169,319	.61	.46
ELDERLY /DISABLED	31	7	$24,043	$255,289	.64	.46
LIPH-FAMILY	28	15	$26,034	$197,803	.65	.44
MIXED-INCOME	28	10	$22,419	$179,483	.55	.36
MOD-REHAB SRO	39	9	$16,901	$190,524	.57	.48
PBRA	35	7	$20,838	$193,477	.57	.35
SCATTERED SITE	18	6	$32,560	$205,393	.55	.40
TENANT HCV	27	9	$27,781	$220,969	.62	.41
VASH	25	9	$29,462	$279,552	.60	.42
Average Value	28	9	$26,256	$214,478	.61	.42

Characteristics of New Haven Neighborhoods Where Families Lived: Number of Households by Housing Program, Neighborhood Location and Poverty Rate

Number of Householders in New Haven Neighborhoods in 2011 by Poverty Rate of Neighborhood				
	HOUSING PROGRAM			Poverty Rate
	HCV	LIPH	Total	Mean
	Number	Number	Number	
AMITY	96	206	302	23

ANNEX	108	138	246	17
BEAVER HILLS	115	1	116	21
CITY POINT	116		116	24
DIXWELL	121	330	451	25
DOWNTOWN	126		126	34
DWIGHT	293	91	384	40
EAST ROCK	18	141	159	18
EAST SHORE	19	6	25	7
EDGEWOOD	151	1	152	19
FAIR HAVEN	625	320	945	34
HILL	385	57	442	30
LONG WARF	14	79	93	47
MILL RIVER	6	56	62	12
NEWHALLVILLE	190	69	259	20
PROSPECT HILL	41		41	21
QUINNIPIAC MEADOWS	202	82	284	12
WEST RIVER	116	48	164	28
WEST ROCK	101	209	310	41
WESTVILLE	45	12	57	5
WOOSTER SQUARE	24	231	255	28
Total	2912	2077	4989	28

Evaluating the Overall Quality of Neighborhoods

A CAI score was generated for each census tract and aggregated to neighborhoods in New Haven. The address of each HANH household was geocoded and overlaid to a census tract. Using GIS software, the 22 New Haven Neighborhoods were also overlaid to census tracts. This procedure allowed the derivation of a CAI score for each neighborhood in New Haven. Figure 23 ranks New Haven Neighborhoods by their CAI score. Downtown ranked the highest with a CAI score of .57, followed by Wooster Square .51, East Rock .46, and Prospect Hill .45. Neighborhoods with the five lowest scores were as follows: East Shore .14, Newhallville .21, Quinnipiac Meadows .22, Westville .22, and Amity .24.

Community Attribute Index Scores for New Haven Neighborhoods

New Haven Neighborhood	**CAI Score**

Downtown	0.57
Wooster Square	0.51
East Rock	0.46
Prospect Hill	0.45
Long Warf	0.38
Hill	0.35
Mill River	0.34
Dwight	0.34
West River	0.32
Dixwell	0.32
Edgewood	0.30
West Rock	0.28
Beaver Hills	0.27
Fair Haven	0.25
City Point	0.25
Annex	0.25
Amity	0.24
Westville	0.22
Quinnipiac Meadows	0.22
Newhallville	0.21
East Shore	0.14

RESIDENT SELF-SUFFICIENCY

Strategic Objective: To provide incentives, job training and educational programs to assist and encourage them to seek work, prepare for work and obtain employment so as to become more economically self-sufficient.

- 2011 Metrics for family self-sufficiency include the following:
    1. average household income
    2. average household income of 2006 cohort
    3. percent of households with zero incomes
    4. percent of households receiving public assistance (welfare)
    5. average public assistance income
    6. average tenant rent payment relative to fair market rental standard
    7. percent of families paying zero rent
    8. average tenant rent relative to gross rent of unit
    9. employment rate for work eligible adults (i.e. persons 18 years of age and older, not disabled, and not enrolled in school full-time)
    10. employment rate of 2006 cohort
    11. average earnings of employed persons
    12. average earnings of employed persons in 2006 cohort
    13. number of self-employed persons owning businesses

Findings:

1. **Zero Income Households**: The number of householders whose records indicated that they had 0 incomes was 96 in 2006; 206 and 2010; and 238 in 2011. The significant increase in 2010 and 2011 is likely a reflection of general economic conditions. Of the householders who reported no income during 2011, 140 used tenant based vouchers and 53 lived in LIPH.

2. **Average Household Income**: The average income of households in 2006 was $14,661. In 2010, average income reached $15,234 and in 2011 it decreased to $14,932.

3. **Welfare Status:** In 2006, 44.5% of households received some form of public assistance. In 2010 the percentage was 14.5 and in 2011 households receiving public assistance comprised 11.9% of the total. The largest percentage of public assistance recipients received LIPH, 16.2%. Among tenant based vouchers, 13.3% of households received public assistance.

4. **Average Amount of Public Assistance:** In 2006 the average household received $4,610 in public assistance. By 2010 the amount reached $5,958 and in 2011 it declined to $5,384.

5. **Rent:** In 2006, 58 households did not pay rent while 4,857 households paid rent. In 2011, 8 households did not pay rent while 4,985 did so.

6. **Average Rent:** On average, households paid $296 rent in 2006 and $320 in 2011. In the housing choice voucher program, the average rent in 2006 was $315 and it was $339 in 2011. In the LIPH program, average rent in 2006 was $264 and in 2011 it was $320.

7. **Rent Self-sufficiency:** in 2006, households paid 30% of the total rental costs while in 2011 they pay 25% of total rental costs.

8. **Employment Status:** in 2006, 51.7% of eligible household heads were employed. In 2010 the number declined to 48.4% and in 2011 it reached 46.6%.

Employment Rate of Household Heads by Year and Selected Type of Assistance						
	Year					
	2006		2010		2011	
	NOT EMPLOYED	EMPLOYED	NOT EMPLOYED	EMPLOYED	NOT EMPLOYED	EMPLOYED
FAMILY DEVELOPMENTS	50.5%	49.5%	61.1%	38.9%	66.3%	33.7%
MIXED-INCOME DEVELOPMENTS	32.1%	67.9%	44.1%	55.9%	45.5%	54.5%
PROJECT BASED VOUCHERS	34.6%	65.4%	39.7%	60.3%	48.9%	51.1%
SCATTERED SITE PROPERTIES	33.6%	66.4%	38.7%	61.3%	34.9%	65.1%
TENANT BASED VOUCHERS	48.5%	51.5%	50.9%	49.1%	52.0%	48.0%
Total	47.3%	52.7%	50.9%	49.1%	53.0%	47.0%

9. **Employment and Housing Assistance:** In 2006 the highest employment rate occurred among household heads in mixed income developments (67.9%), scattered site developments (66.4%), project-based vouchers (65.4%), tenant based vouchers (51.5%), and LIPH (49.5%). In 2011 the highest employment rate occurred among household heads in scattered site properties (65.1%), mixed income developments (54.5%), project-based vouchers (51.1%), tenant based vouchers (48.0%), and LIPH (33.7%).

10. **Earnings:** Average earnings in 2006 were $20,494 and in 2011 average earnings were $24,183. In 2006, the highest earnings occurred for families who use project-based vouchers ($26,620) and secondly those who used tenant based vouchers ($20,972). Persons in family developments earned $18,706 in 2006. In 2011, the highest earnings occurred for families in scattered site properties ($28,481), tenant based vouchers ($24,753), project-based vouchers ($23,848), and mixed income developments ($23,840). Persons in family developments earned $19,461 and 2011.

Average Household Earnings for Households with Employed Persons, by Year and selected Type of Assistance			
	Year		
	2006	2010	2011
FAMILY DEVELOPMENTS	$18,706	$20,791	$19,461
MIXED-INCOME DEVELOPMENTS	$20,201	$21,524	$23,840
PROJECT BASED VOUCHERS	$26,620	$23,089	$23,848
SCATTERED SITE PROPERTIES	$18,942	$27,284	$28,481
TENANT BASED VOUCHERS	$20,972	$23,038	$24,753
Average	$20,494	$22,875	$24,183

11. **Self-Employment:** in 2011 there were 30 individuals who were self-employed; 16 received vouchers and 14 LIPH. The average earnings of self-employed persons were $13,353 in 2011.

12. **Factors that Influence Employment Outcomes:** a generalized estimation equation procedure was used to identify the factors that influenced the probability that individuals will become employed. The analysis was restricted to work eligible household heads, between 2006 and 2011.

    a. Persons who use vouchers are 1.3 times more likely to work than are persons in LIPH.
    b. Persons who live in mixed-income developments are 2.1 times more likely to work than persons in LIPH.
    c. Persons in scattered site developments are 1.2 times more likely to work than those in LIPH.
    d. Household heads were married were 29% less likely to work than those who were single.
    e. Persons receiving public assistance were 72 times less likely to work than those who did not.
    f. The number of bedrooms did not influence the likelihood of working.
    g. Minority status differences did not influence the likelihood of working.

h. Women were 1.4 times more likely to work than were men.
i. The quality of school and the neighborhood was not associated with the likelihood of working.
j. The quality of home in the neighborhood was not associated with the likelihood of working.
k. Persons who participated in a FSS program were 57% less likely to be working during the time in which they participate in the program.

RESIDENT PARTICIPATION IN SELF-SUFFICIENCY PROGRAMS

Metrics:

1. participation in family self-sufficiency (FSS) programs
    a) enrollment in home ownership programs
    b) the number of inbound and outbound referrals
    c) number of families with escrow accounts
    d) enrollment in job skills and employment training programs
    e) enrollment in GED and continuing education
2. factors that influence the rate of employment
3. influence of the type of housing assistance on employment
4. impact of FSS program participation on employment
5. Rate of program exits to secure housing in the private sector
6. Factors that influence the rate of program exits
7. Rate of program exits relative to the type of housing assistance

Number of Households with at least one Member Participating in FSS Program					
	Year				
	2007	2008	2009	2010	2011
ELDERLY ONLY PROPERTIES	1	4	2	5	9
ELDERLY AND DISABLED PROPERTIES	19	17	33	18	15
FAMILY DEVELOPMENTS	23	27	32	35	104
MIXED-INCOME DEVELOPMENTS		2	4	38	28
MOD-REHAB SRO PROPERTIES					2
PROJECT BASED VOUCHERS		1	1	13	3
SCATTERED SITE PROPERTIES	2	4	6	8	13
TENANT BASED VOUCHERS	21	46	21	12	21
VETERANS SUPPORTIVE HOUSING	.	.	.		
OTHER LOW INCOME HOUSING ASST			.		1
Total	66	101	99	129	196

Number of all Persons in Supportive Services Programs				
	Year			
	2008	2009	2010	2011
	Persons in all FSS Programs	Persons in all FSS Programs	Persons in all FSS Programs	Persons in all FSS Programs
ELDERLY ONLY PROPERTIES	4	12	38	20
ELDERLY AND DISABLED PROPERTIES	17	33	19	15
FAMILY DEVELOPMENTS	27	33	35	104
MIXED-INCOME DEVELOPMENTS	8	92	121	74
MOD-REHAB SRO PROPERTIES				2
PROJECT BASED VOUCHERS	1	6	14	3
SCATTERED SITE PROPERTIES	4	6	8	13
TENANT BASED VOUCHERS	46	22	14	22
VETERANS SUPPORTIVE HOUSING	.	.		
OTHER LOW INCOME HOUSING ASST		.		1
Total	107	204	249	254

Number of Persons in School Full time 18 Years and Older				
	Year			
	2008	2009	2010	2011
	Student	Student	Student	Student
ELDERLY ONLY PROPERTIES				
ELDERLY AND DISABLED PROPERTIES	1			
FAMILY DEVELOPMENTS	40	38	33	41
MIXED-INCOME DEVELOPMENTS	12	14	14	19
MOD-REHAB SRO PROPERTIES				
PROJECT BASED VOUCHERS	1	5	11	14
SCATTERED SITE PROPERTIES	35	31	31	33
TENANT BASED VOUCHERS	148	159	162	162
VETERANS SUPPORTIVE HOUSING	.	.		
OTHER LOW INCOME HOUSING ASST		.		
Total	237	247	251	269

Number of Persons in School Full-time 20 Years and Older				
	Year			
	2008	2009	2010	2011
	Student	Student	Student	Student
ELDERLY ONLY PROPERTIES				
ELDERLY AND DISABLED PROPERTIES	1			
FAMILY DEVELOPMENTS	22	29	25	28
MIXED-INCOME DEVELOPMENTS	6	10	8	10
MOD-REHAB SRO PROPERTIES				
PROJECT BASED VOUCHERS		1	4	9
SCATTERED SITE PROPERTIES	22	22	25	26
TENANT BASED VOUCHERS	78	104	127	122
VETERANS SUPPORTIVE HOUSING	.	.		
OTHER LOW INCOME HOUSING ASST		.		
Total	129	166	189	195

DISTRIBUTION OF ACTIVE AND TERMINATED HOUSEHOLDS												
	Year											
	2006		2007		2008		2009		2010		2011	
	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
ACTIVE IN PROGRAM	4915	89.7%	4822	89.7%	4855	91.4%	4877	92.1%	4926	91.8%	4993	91.7%
PORT OUT	159	2.9%	124	2.3%	148	2.8%	144	2.7%	190	3.5%	194	3.6%
ABANDONED UNIT	20	.4%	23	.4%	23	.4%	23	.4%	33	.6%	22	.4%
DATA ADJUSTMENT	11	.2%	1	.0%	3	.1%	8	.2%		.0%		.0%
DECEASED	28	.5%	45	.8%	29	.5%	35	.7%	32	.6%	55	1.0%
EVICTED	45	.8%	52	1.0%	50	.9%	62	1.2%	52	1.0%	38	.7%
LEFT PROGRAM	142	2.6%	108	2.0%	102	1.9%	82	1.5%	72	1.3%	98	1.8%
OUT OF PROGRAM COMPLIANCE	17	.3%	73	1.4%	45	.8%	28	.5%	11	.2%	4	.1%
TERMINATION REASON NOT RECORDED	141	2.6%	128	2.4%	55	1.0%	37	.7%	48	.9%	40	.7%
Total	5478	100.0%	5376	100.0%	5310	100.0%	5296	100.0%	5364	100.0%	5444	100.0%

DISTRIBUTION OF TERMINATED HOUSEHOLDS ONLY												
	Year											
	2006		2007		2008		2009		2010		2011	
	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent	Count	Percent
PORT OUT	159	28.2%	124	22.4%	148	32.5%	144	34.4%	190	43.4%	194	43.0%
ABANDONED UNIT	20	3.6%	23	4.2%	23	5.1%	23	5.5%	33	7.5%	22	4.9%
DATA ADJUSTMENT	11	2.0%	1	.2%	3	.7%	8	1.9%		.0%		.0%
DECEASED	28	5.0%	45	8.1%	29	6.4%	35	8.4%	32	7.3%	55	12.2%
EVICTED	45	8.0%	52	9.4%	50	11.0%	62	14.8%	52	11.9%	38	8.4%
LEFT PROGRAM	142	25.2%	108	19.5%	102	22.4%	82	19.6%	72	16.4%	98	21.7%
OUT OF PROGRAM COMPLIANCE	17	3.0%	73	13.2%	45	9.9%	28	6.7%	11	2.5%	4	.9%
TERMINATION REASON NOT RECORDED	141	25.0%	128	23.1%	55	12.1%	37	8.8%	48	11.0%	40	8.9%
Total	563	100.0%	554	100.0%	455	100.0%	419	100.0%	438	100.0%	451	100.0%

Cox Regression Analysis of Terminations

Implication: People are leaving who are more upwardly mobile

Variables in the Equation						
	B	SE	Wald	df	Sig.	Exp(B)
Housing Recode (LIPH)			33.091	4	.000	
Housing Recode(1 HCV)	.879	.171	26.445	1	.000	2.410
Housing Recode(2 Mixed)	.821	.301	7.430	1	.006	2.274
Housing Recode(3 Scattered)	-.380	.383	.982	1	.322	.684
Housing Recode(4 Elderly/Disabled)	.700	.195	12.836	1	.000	2.014
Married Household	.001	.315	.000	1	.997	1.001
EMPLOYED INDIVIDUAL	1.480	.121	150.713	1	.000	4.394
Number Bedrooms Recode			7.795	2	.020	
Number Bedrooms Recode(1)	-.423	.152	7.726	1	.005	.655
Number Bedrooms Recode(2)	-.043	.511	.007	1	.933	.958
Minority Status	-.391	.199	3.840	1	.050	.677
Single family home value 2009	.000	.000	.106	1	.744	1.000
Gender	-.299	.167	3.219	1	.073	.741
Total Tenant Payment	-.022	.001	489.286	1	.000	.979

INCOME TARGETING

Strategic Objective: Increase marketing efforts to high income eligible families

Brief Summary of Past Findings:

HANH has a long way to go to reach its AMI targeted goal. The results suggest that the goal or timetable may need to be adjusted-- perhaps defined only in terms of those newly entering housing assistance. Specifically, the AMI goal is as follows: 40% of families should have incomes below the “extremely low income limit” (below 30% of AMI) and 60% of families should have incomes in the “very low income limit” and “low income limit” (from 30% to 50% of AMI and from 50% to 80% of AMI respectively).
In 2006, 77.0% of all assisted households were classified in the extremely low income limit, 17.9% were classified in the very low income limit, and 4.6% were classified in the low income limit. The respective percentages in 2010 were as follows: 77.6%, 16.2%, and 5.7%. Hence, no progress was made in this respect.
The AMI profile of families who recently entered HANH housing assistance (i.e. in 2009 and 2010) was as follows: 78.8% were in the extremely low limit, 17.2% in the very low limit, 3.9% in the low limit, and .1% above the 81% income limit.
Respective figures in 2011 were as follows: 80.1%, 14.4%, 5.0%, .5%.

- Metrics related to the impact of income targeting

    1. household income relative to AMI
    2. household income relative to AMI for 2006 cohort
    3. household income relative to AMI for recent program entrants

Households Defined by AMI Income Limit and Type of Assistance												
	Year											
	2006				2010				2011			
	AMI CODE				AMI CODE				AMI CODE			
	Extremely Low	Very Low	Low Income	Above Low Income	Extremely Low	Very Low	Low Income	Above Low Income	Extremely Low	Very Low	Low Income	Above Low Income
ELDERLY ONLY	161	19			229	34	4		266	37	3	
ELDERLY AND DISABLED	599	35	7	1	609	56	11		601	41	3	
FAMILY DEVELOPMENTS	492	109	37	11	491	73	36	6	546	72	19	5
MIXED-INCOME DEVELOPMENTS	124	51	13	1	199	72	28		216	72	27	
MOD-REHAB SRO	69	1			76	1			75	2		
PROJECT BASED VOUCHERS	25	8	1		146	65	15	1	186	56	18	
SCATTERED SITE PROPERTIES	103	29	6	1	100	43	20	7	104	40	19	6
TENANT BASED VOUCHERS	2217	617	160	9	1960	445	165	11	1984	401	157	13
VETERANS SUPPORTIVE HOUSING					20	1	1		21		2	
OTHER LOW INCOME HOUSING ASST	8		1		1				1			
Total	3798	869	225	23	3831	790	280	25	4000	721	248	24

Households Defined by Percent in AMI Income Limit and Type of Assistance		
Year		
2006	2010	2011
AMI CODE	AMI CODE	AMI CODE

	Extremely Low Income Limit	Very Low Income Limit	Low Income Limit	Above Low Income Limit	Extremely Low Income Limit	Very Low Income Limit	Low Income Limit	Above Low Income Limit	Extremely Low Income Limit	Very Low Income Limit	Low Income Limit	Above Low Income Limit
ELDERLY ONLY PROPERTIES	89.4%	10.6%	.0%	.0%	85.8%	12.7%	1.5%	.0%	86.9%	12.1%	1.0%	.0%
ELDERLY AND DISABLED PROPERTIES	93.3%	5.5%	1.1%	.2%	90.1%	8.3%	1.6%	.0%	93.2%	6.4%	.5%	.0%
FAMILY DEVELOPMENTS	75.8%	16.8%	5.7%	1.7%	81.0%	12.0%	5.9%	1.0%	85.0%	11.2%	3.0%	.8%
MIXED-INCOME DEVELOPMENTS	65.6%	27.0%	6.9%	.5%	66.6%	24.1%	9.4%	.0%	68.6%	22.9%	8.6%	.0%
MOD-REHAB SRO PROPERTIES	98.6%	1.4%	.0%	.0%	98.7%	1.3%	.0%	.0%	97.4%	2.6%	.0%	.0%
PROJECT BASED VOUCHERS	73.5%	23.5%	2.9%	.0%	64.3%	28.6%	6.6%	.4%	71.5%	21.5%	6.9%	.0%
SCATTERED SITE PROPERTIES	74.1%	20.9%	4.3%	.7%	58.8%	25.3%	11.8%	4.1%	61.5%	23.7%	11.2%	3.6%
TENANT BASED VOUCHERS	73.8%	20.5%	5.3%	.3%	75.9%	17.2%	6.4%	.4%	77.7%	15.7%	6.1%	.5%
VETERANS SUPPORTIVE HOUSING	.0%	.0%	.0%	.0%	90.9%	4.5%	4.5%	.0%	91.3%	.0%	8.7%	.0%
OTHER LOW INCOME HOUSING ASST	88.9%	.0%	11.1%	.0%	100.0%	.0%	.0%	.0%	100.0%	.0%	.0%	.0%
Total	77.3%	17.7%	4.6%	.5%	77.8%	16.0%	5.7%	.5%	80.1%	14.4%	5.0%	.5%

Persons Less than Two Years in Program: Households Defined by Percent in AMI Income Limit and Type of Assistance				
	Extremely Low Income Limit	Very Low Income Limit	Low Income Limit	Above Low Income Limit
	Row N %	Row N %	Row N %	Row N %
ELDERLY ONLY PROPERTIES	85.5%	13.2%	1.3%	.0%
ELDERLY AND DISABLED PROPERTIES	94.1%	5.4%	.5%	.0%
FAMILY DEVELOPMENTS	90.0%	9.4%	.6%	.0%
MIXED-INCOME DEVELOPMENTS	80.8%	13.7%	5.5%	.0%
MOD-REHAB SRO PROPERTIES	96.4%	3.6%	.0%	.0%
PROJECT BASED VOUCHERS	72.4%	21.3%	6.3%	.0%
SCATTERED SITE PROPERTIES	60.0%	40.0%	.0%	.0%
TENANT BASED VOUCHERS	87.6%	8.8%	2.9%	.6%
VETERANS SUPPORTIVE HOUSING	91.3%	.0%	8.7%	.0%
OTHER LOW INCOME HOUSING ASST	.0%	.0%	.0%	.0%
Total	87.0%	10.4%	2.5%	.1%

RENT SIMPLIFICATION

(Need info from HANA to complete this)

Strategic Objective: Rent simplification was designed as a means of streamlining operational processes and becoming more efficient. The impact of rent simplification was not measured in the 2010 evaluation.

- Metrics used to measure rent simplification. We will examine the cost effectiveness of the simplification program, i.e. cost per person served, total rent generated per dollar of cost

    8. Number of persons whose rent was affected by simplification
    9. impact of simplification on housing opportunities
    10. cost effectiveness of the rent simplification program

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

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

TABLE OF CONTENTS

43. 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.

The Authority has chosen to implement the CARES program in conjunction with the West Rock Revitalization Plan based upon statistical data from a 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 get more residents self sufficient, 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.

44. Eligibility/Threshold Requirements

To be eligible to participate in the CARES program, the following criteria must be met;

a. All adult members of the household 18 year of age or over must execute a CARES Addendum to the Standard PHA or HCV Lease Agreement;
b. Be current in all lease obligations to HANH;
c. Be a resident in "good standing" as defined in the ACOP;
d. Have been employed at least 12 months out of the prior 36 months before applying for the CARES program;
e. Have a GED or High School diploma or be capable of obtaining such GED or High School diploma within 24-months of applying for program. Applicants for the program that do not have a GED or High School diploma must show progress towards meeting this goal;
f. Enroll in the Authority's FSS Program; and
g. Open an IDA account

Families will live at West Rock for up to 24-months with supportive housing to become self-sufficient and will be based upon their education level (GED or High School diploma or not); household income (above or below the Federal Poverty

Level); the employability of each person based upon their employment history as well as the results of their employability assessment.

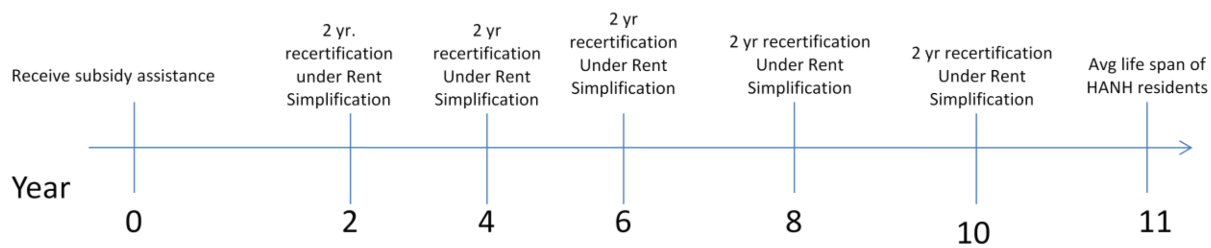
45. Program Overview

Brookside and Rockview families will be given the options, at lease up, to stay in a public housing program or reside in a Project Based Voucher (PBV) unit or to accept a Tenant Based CARES Program Voucher (CPV) as part of the CARES Program. Residents that opt to stay in public housing or a PBV unit will be given 72 months of rental assistance. After the 72 months have expired, residents who elect to stay in public housing or PBV units will be required to pay 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. Thus, if a family of four receives rental assistance (calculated as the difference between the Flat Rent and the TTP) and there are two adults and two children ages 12 and 15, and assuming that the prorated rental assistance for each member of the household is $200 per month, the family will have its rent increased by $400 per month after the end of the seven year period. During the term, the prorated amount of assistance would continue for the child over the age of 18 if that child was enrolled in a minimum of 3 hours or 3 credits in secondary or vocational education. Assistance for residents who are deemed exempt from the program by the case manager and the needs assessment will also continue to receive assistance. 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 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. Life happens and families may experience unforeseen circumstances such as a loss of job, downturn in the economy or an unforeseen family circumstance that will hinder them from entering the CARES Program.

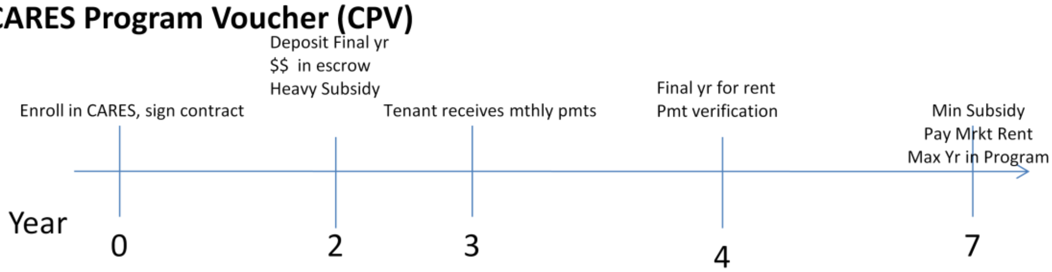
Residents who elect to take the CPV option will be given up to two years to transition in to the CARES Program and a total of seven years to reach self sufficiency based upon their income and job readiness at the signing of their lease. The first two years will enable residents the time to meet the basic requirements of the program. At the end of the seven year program, 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 CPV assistance, and assistance will be adjusted annually for inflation (Exhibit A). In the third year of the program, an amount equal to the sum of the rental assistance that the family would have otherwise received in the final year 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 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. If the funds deposited in the REEF are fully expended prior to the final year of the program, there would be no available funds in the final year but if the funds deposited into the REEF have not been used by the end of the program term of rental assistance, it 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 will consist of the Executive Director's office, the Director of Operations or designee, the Service Center Director or designee, a WRIC elected representative, a representative from Workforce Alliance Board, and a representative from the Department of Social Services.

The first step to self-sufficiency is encouraging families to seek affordable housing and manage their household expenses on a fixed income which will empower them to make their own choices. At the time of enrollment into the program, each family will sign a CARES Addendum and go through an assessment process where income, bedroom size, and family composition will be evaluated. For the first 24 months of the program, residents who elect to enroll in the CARES Program will be required to live in the newly redeveloped West Rock community to receive the supportive services and management needed to allow them to become self-sufficient. During this time the monthly subsidy payments will be made directly to the landlord. Beginning in year 3, the families will undergo a recertification to determine the monthly subsidy for the remaining five years in the CARES Program and the REEF income disallowance basis, be responsible for paying the landlord in full, and to provide HANH with payment receipts for 12 consecutive months to ensure compliance with the program. The families will receive a pre-determined subsidy payment each month, instead of the traditional method of payments being made to the landlord, based on the assessment. HANH will do periodic reviews to make sure funds are being spent to cover housing costs; however, there are no income exclusions, deductions or utility allowances necessary since the HAP data already takes this information into account (Exhibit A). Subsidy amounts paid to the families will be adjusted to reflect cost of living increases annually. These stepped requirements will eliminate the need for recertification and verification of income. The established subsidy payment schedule for the term of the program enables HANH to assist the families with the most support in the early years where it is needed. Providing this oversight and acceleration in subsidy in the early years of the program along with the development of the skills necessary for long-term self-sufficiency will increase the independence of the residents over time and result in a gradual declining need for subsidy.

Public Housing/HCV Program



CARES Program Voucher (CPV)



Additionally, participating residents will also establish Individual Development Accounts (IDA) if they elect to take the CPV option. HANH's contribution will be the resident's income disallowance portion to be contributed to the IDA based upon the initial Individual Services Plan and income verification process that is established by the families and a case manager at the time of lease up. If a family's income increases, they can deposit the difference between the increase in income and the monthly rental payment into their REEF account. Families that enroll in the CARES Program that experience an increase in year three (in CARES) in earned income will be allowed an optional exclusion from the increase from Annual Income for the five years at 100 percent. Families already receiving the HUD mandatory income disallowance can, at the time of enrollment in the CARES program, stop receiving those benefits and begin with a new basis with the CARES REEF disallowance at 100 percent. For families enrolled in HANH's optional income disallowance, participants can elect to opt out of HANH's disallowance and enter the CARES REEF program. The REEF disallowance will establish a new baseline when they enter the program and continue for five additional years or to the end of the CARES program, whichever comes first. The Authority also provides the same Optional Income Exclusion for any increase in income earned by a Resident Owned Business.

HANH is embarking on this CARES pilot program in the West Rock 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 above, combined with the development of unassisted rental units, will be effective in achieving housing and economic transitions for a substantial numbers of West Rock families.

Exhibit A - Housing Choice Voucher - HAP 7 Year Schedule

Family Size	1	2	3	4	5	6
Median Household HAP to Owner (9/10)	795	895	1000	1090	1147	1214
Median Utility Allowance	122	292	357	362	425	430
Median Monthly Cash Payment	**917**	**1187**	**1357**	**1452**	**1572**	**1644**

Assistance							
Years in Program	Cost of Living Increase	Subsidy Value					
1 Supportive Component **Monthly**	Lease up Year	917.00	1,187.00	1,357.00	1,452.00	1,572.00	1,644.00
Annually		11,004.00	14,244.00	16,284.00	17,424.00	18,864.00	19,728.00
2 Supportive Component **Monthly**	3%	944.51	1,222.61	1,397.71	1,495.56	1,619.16	1,693.32
Annually		11,334.12	14,671.32	16,772.52	17,946.72	19,429.92	20,319.84
3 Tenant Based Component **Monthly**	3%	972.85	1,259.29	1,439.64	1,540.43	1,667.73	1,744.12
Annually		11,674.14	15,111.46	17,275.70	18,485.12	20,012.82	20,929.44
4 Tenant Based Component **Monthly**	3%	1,002.03	1,297.07	1,482.83	1,586.64	1,717.77	1,796.44
Annually		12,024.37	15,564.80	17,793.97	19,039.68	20,613.20	21,557.32
5 Tenant Based Component **Monthly**	3%	1,032.09	1,335.98	1,527.32	1,634.24	1,769.30	1,850.34
Annually		12,385.10	16,031.75	18,327.79	19,610.87	21,231.60	22,204.04

6 Tenant Based Component **Monthly**	3%	1,063.05	1,376.06	1,573.13	1,683.27	1,822.38	1,905.85
Annually		12,756.65	16,512.70	18,877.62	20,199.19	21,868.55	22,870.16
7 Tenant Based Component **Monthly**	3% (Amount deposited into Escrow)	1,094.95	1,417.34	1,620.33	1,733.76	1,877.05	1,963.02
Annually		13,139.35	17,008.08	19,443.95	20,805.17	22,524.60	23,556.26
Total Cash Assistance		84,317.73	109,144.11	124,775.53	133,510.74	144,544.69	151,165.05

Program Steps

1. 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.

2. CARES Addendum to Replace HAP Contract

At the time of lease up, families moving to West Rock will make their voluntary decision to enter into the CARES program. A CARES Addendum to the lease agreement will be signed which will go into effect at the beginning of year three. This addendum will replace the HAP Contract as monthly rental payments will no longer be sent directly to the landlord and HAP contracts are between HANH and the landlord. A monthly cash payment will be sent directly to the resident per the CARES addendum between HANH and the resident.

3. 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. It is important to note that those residents who do not meet the Eligibility/Threshold requirements under the CARES program and are categorized under one or more of the exemptions described in "5. Exemptions for Residents Residing in Public Housing or HCV units", will have the opportunity to reside in the development under the traditional Public housing or HCV units

4. 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. If deemed exempt, that person will be required to enroll and to remain enrolled in the Authority's Family Self Sufficiency (FSS) 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

5. Exemptions for residents remaining in Public Housing or Project Based Voucher Units

There are exemptions to the program for not having to pay the Flat Rent/Market Rent but who elect to remain in Public Housing or PBV units in the West Rock development. Persons disabled or deemed unemployable, and returning residents that have a right to return under the MOA between the former residents of Brookside and Rockview and HANH which will grandfather them in to return to the property and not be subject to the CARES program unless they voluntarily choose to.

Families that meet one or more of the following criteria are exempt from having to pay flat rent at the end of the 72 months:

- The adult is precluded from obtaining or maintaining employment due to domestic violence or other circumstance beyond his or her control; or
- The adult is employed and unable to pay their pro-rata share of the flat rent due to (1) a documented medical impairment that limits his/her work hours, or (2) the need to care for a disabled or elderly member of the household; or

- The adult has a documented and substantive barrier to employment such as severe mental or physical health problems, one or more severe learning disabilities, domestic violence, or child who has serious physical or behavioral health problems; or
- Enrolled in a bona-fide employment or adult educational or literacy training program for a minimum of 16 hours per week or two full time classes.

If any adult in the family meets one of the following exemption criteria, the family is not subject to the CARES Program. A person is exempt if:

- He/she is incapacitated (as recognized by the Social Security Administration); or
- Age 50 or older; or
- Responsible for the care of an incapacitated family member; or
- A non-parent caretaker relative; or
- Caring for a child under the age of 2.9 (subject to include children at the time of initial move-in); or
- Pregnant, if a physician has certified that she is unable to work; or
- Unemployable (defined as "not able to hold or find a job")

An adult who believes that he/she is exempt under one or more of the aforementioned criteria must provide documentation to the Authority to support their position.

6. Hardship Policy and Guidelines

i. <u>Hardship Policy:</u>

Prior to imposition of any change in rent, the household will be provided with advanced notice as required by their lease and/or governing documents. Households that are notified of a rent increase will also be informed, in writing, of their ability to seek a waiver based on financial hardship provided that the hardship is related to extraordinary deductions or extraordinary cost of living (rent, utilities, medical expenses, child care expenses).

ii. <u>Hardship Criteria:</u>

The following criteria will trigger a review for consideration of a Hardship cash disbursement from the REEF.

<u>Extraordinary Cost of Living:</u>

In the CARES program, a hardship review will be conducted if the monthly total shelter costs (rent plus utilities), when combined with un-reimbursed monthly medical, disability, and dependent costs, exceeds forty percent (40%) of a household's monthly income (monthly income is defined as annual income divided by twelve).

<u>Medical, Disabled Expenses Greater than $6,000.00:</u>

In the CARES program, hardship review may be conducted if a household's total unreimbursed medical, disability, and dependent expenses exceed $6,000.00 per year. This includes the full cost of Medicare and private insurance.

Persons with disabilities always retain the right to request Reasonable Accommodations.

iii. **<u>REEF Cash Disbursement Request Process:</u>**

All REEF cash disbursement requests must originate with the household and must be submitted to Property Manager or Occupancy Specialist within thirty (30) calendar days of the date of the rent adjustment notification or hardship event, whichever occurs first. It will be the responsibility of the household to complete an "Application for Hardship Waiver" form and to provide all documentation required to show eligibility.

Once the Property Manager or the Occupancy Specialist receives the required documentation, the information shall be forwarded to the Director of Operations.

At the applicant's option, the Hardship Review Committee shall include a public housing resident.

In cases of hardship based on income loss, the Hardship Review Committee shall consider whether or not the applicant has made a good faith effort to secure alternative income sources. In addition, the Committee shall consider whether or not the loss of income is due to circumstances beyond the applicant's control.

The Hardship Review Committee shall render a decision on the request and a written decision shall be forwarded back to the Executive Director for signature. The Executive Director may sustain or decline the recommendation of the Committee. After signature by the Executive Director, the Director of Operations or Service Center Director, as applicable, will inform the parties of the decision. The written decision shall inform the parties as to the relief granted as well as the term of the relief. Households that disagree with the decision may request a grievance through the HANH grievance process. In cases where an appeal is sought, no action shall be taken by the HANH until the grievance process is completed.

iv. **<u>Hardship Committee Remedies :</u>**

The Hardship Review Committee will examine each family's circumstances on a case-by-case basis. The Hardship Review Committee has a choice of <u>four</u> remedies it can recommend as it deems appropriate. Depending on income, deductions and family circumstances the Committee may take action including, but not limited to:

- Give exceptional expenses cash payment from the REEF account for rent payments and un-reimbursed utility expenses due to job loss, not to exceed a 90 day period.

- Give exceptional expenses cash payment from the REEF account for medical expenses that exceed $6,000 after all other options have been exhausted.
- Permanent exclusion from CARES due to a disability or other exemption listed under the definitions of exemptions above and re-entry into Public Housing or PBV units.
- Appropriate combination of remedies listed above.

:

The Hardship Committee shall require that all family, except elderly and disabled families reapply to the Hardship Committee after the end of the 90 day period for which the exceptional expenses cash payment is granted if the family wants the exemption to continue for more than 90 days.

7. Cash Payments to Tenants

As a result of implementing a CARES Addendum to the lease agreement, which will replace HAP contracts, residents who enroll and participate in the CARES Program will begin receiving a monthly cash payment to cover their rental payments and utility expenses. This is in lieu of receiving a utility allowance reimbursement and a direct rental payment to the landlord. For the duration 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. If the funds deposited in the REEF are fully expended prior to the final year of the program, there would be no available funds in the final year but if the funds deposited into the REEF have not been used by the end of the program term of rental assistance, it 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 will consist of the Executive Director's office, the Director of Operations or designee, the Service Center Director or designee, a WRIC elected representative, a representative from Workforce Alliance Board, and a representative from the Department of Social Services.

8. 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 can voluntarily deposit the difference between the increase in income and the monthly rental payment into their REEF account. Families that can experience an increase in earned income will be allowed to exclude the increase from Annual Income for four years at 100 percent. The Authority also provides the same Optional Income Exclusion for any increase in income earned by a Resident Owned Business.

9. REEF Cash Deposit

In addition to the traditional IDA account, which we are calling a REEF for delineation of the CARES Program; HANH will deposit an amount equal to 12 months of cash payments that would have otherwise been received in the final year of the program into the REEF account. This money will be available to access

10. CARES Income Disregard

If a family's income increases, they can deposit the difference between the increase in income and the monthly rental payment into their REEF account. Families that enroll in the CARES Program that experience an increase in year three (in CARES) in earned income will be allowed an optional exclusion from the increase from Annual Income for the five years at 100 percent. Families already receiving the HUD mandatory income disallowance can, at the time of enrollment in the CARES program, stop receiving those benefits and begin with a new basis with the CARES REEF disallowance at 100 percent. For families enrolled in HANH's optional income disallowance, participants can elect to opt out of HANH's disallowance and enter the CARES REEF program. The REEF disallowance will establish a new baseline when they enter the program and continue for five additional years or to the end of the CARES program, whichever comes first. The Authority also provides the same Optional Income Exclusion for any increase in income earned by a Resident Owned Business.

11. 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.

12. 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.

13. Early Graduation from CARES Program

Residents can graduate from the program earlier than the seven 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.

14. 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.

15. 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 as set forth in the aforementioned paragraph "5. Appeals Process".

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.

16. 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 4

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
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%	

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