HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

2012 MOVING TO WORK ANNUAL REPORT

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I. Introduction

A. Overview of Agency's Goals and Objectives

Following the 1998 QHWRA legislation for public housing reform, public housing authorities are required to develop and submit to HUD Five-Year Plans and Annual Reports that articulate key policies and objectives for effective administration of its federal housing programs.

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 30 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 the MTW Annual Plan that articulates 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 Report states HANH's MTW goals and objectives and our current status toward achieving these goals and objectives for FY 2012 (October 1, 2011 to September 30, 2012).

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

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

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

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

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

According to the MTW Agreement, HANH's MTW program does not include HUD grant funds committed to specific grant purposes, namely: HANH's HOPE VI grants for Monterey Place, HANH's HOPE VI grants for Quinnipiac Terrace/Riverview, any future HOPE VI Revitalization grants and other competitive grant funds awarded for specific purposes. These grant funded programs committed to specific purposes require HANH to provide periodic reports to HUD. Although these grant funded programs are not included in HANH's MTW program, HANH has included information, where relevant, regarding these grant funded programs in this MTW Annual Report for FY 2012.

HANH's original MTW Agreement with HUD became effective retroactively to October 1, 2000. The initial seven-year term of HANH's MTW status expired on September 30, 2008. HUD proposed a new, revised MTW Agreement that would provide MTW status for 10 years. HANH executed the Amended and Restated Moving to Work Agreement on May 2, 2008. The Amended and Restated MTW Agreement governs HANH's MTW status through 2018. HANH made the agreement available for public review and comment for a 30 day period and conducted a public hearing at the end of the review period. The public hearing was conducted on February 25, 2008. The HANH Board of Commissioners approved the Amended and Restated MTW Agreement through Resolution No. 02-22/08-R on February 26, 2008.

HANH's MTW program is the product of an extensive planning process, conducted from 1998-2000, to establish long-term plans for improving our agency's operations and for transforming our public housing stock. During 2006-2007, HANH engaged in a planning process in order to update and reinvigorate our agency's plans. As a result of this planning process, HANH developed a Three-Year Strategic Plan for FYs 2007-2009. This Three Year Plan forms the basis of the agency's long-term planning process. The plan was updated in 2010 and includes HANH's Strategic Planning for FY2010 through 2012. 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. The 2012 Annual MTW Plan set forth a long-term vision for the agency for the next 10 years. The long-term vision for the agency centers on streamlining its processes to become more effective and innovative. The long-term vision also calls for the agency to enhance its efforts to promote the economic self-sufficiency of its residents and to increase the housing choices for them and its program participants, as well. The agency recognizes that its long-term viability rest with the economic well being of its residents and the variety of housing choices that it is able to provide them. The long-term vision also calls for the agency to develop relationships with local non-profit organizations to enhance the delivery of its programs, as well as looking to develop commercial ventures that will both expand housing choices in addition to making the agency more efficient.

HANH's 2012 MTW Plan was originally approved on June 21, 2011. There have been 2 amendments to the Plan. The following schedule indicates notice, hearing and approval by the Board of Commissioners.

Original Plan
Public Notice – May 2, 2011
Public Hearing – May 25, 2011
Board of Commissioner Approval – June 21, 2011
HUD Approval – September 8, 2011

Amendment #1 added clarification re. the CARES initiative, established HCV income eligibility at mixed finance developments, included CHOICE application intentions and Ribicoff disposition plans.
Public Notice – November 23, 2011
Public Hearing – December 22, 2011
Board of Commissioner Approval – January 17, 2012 Resolution # 01-06/12-S
HUD Approval July 30, 2012

Amendment #2 added authorities for 100% project based vouchers at Valley Townhouses and Farnam Court; intention to apply for CNI for Farnam Court, Demo/Disposition intention for Farnam, Ribicoff and Valley; additional uses for funds added and deleted references to Choice Neighborhood Initiative for Church St. South development
Public Notice – March 29, 2012
Public Hearing – April 25, 2012
Board of Commissioner Approval – May 15, 2012 Resolution # 05-87/12-R
HUD Approval July 30, 2012

HANH's MTW 2012 Annual Report was made available for public review on November 2, 2012 and was the subject of a public hearing on November 26, 2012. The Annual Report was approved by the HANH Board of Commissioners on December 18, 2012.

B. New Objectives for FY 2012

During FY 2012 HANH initiated several additional new initiatives designed to increase the efficiency and cost effectiveness of the program, increase resident/participant self sufficiency and to increase participant's housing choices. HANH proposed the following new initiatives which are more fully described in "Section III: Non-MTW Related Housing Authority Information and Section V: On-going MTW Activities":

- *CARES Initiative – self sufficiency initiative geared toward families residing in the newly redeveloped West Rock community that introduces term limits, escrow accounts and self sufficiency support services. During FY2012 staff was recruited to administer the CARES Family Self Sufficiency Program (CFFS) program). 101 Brookside phase 2 residents have received the Cares orientation.*

- *Income eligibility for HCV PBV n Mixed Income developments (Brookside I)- Establish income eligibility criteria for Housing Choice Voucher Program to enable HANH to award project based vouchers for Mixed Income developments for families of up to 80 percent of area median income so long as not less than 40 percent of project based vouchers awarded in any one year shall be awarded to families earning at or below 30 percent of area median income. (MTW agreement provides waiver for HANH to establish its own income limits).*

- *Youth Initiative – provision of support to HANH's families with children by providing additional youth support services, after school and summer programming, truancy prevention services and leadership development opportunities. (Required MTW Funding flexibility ONLY). There are now three Youth Leadership Councils established and running at three of our developments.*

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

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

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

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

- *Dispose of Ribicoff Cottages and Extensions as part of the redevelopment of this development to complete the revitalization of West Rock community.*

- *Dispose of Farnam Court as part of the redevelopment of this property*

- *Dispose of Valley Townhouses as part of the redevelopment of this property.*

- *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)*

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

- *Legacy Attachment to Increase the Allowed Percentage of Project Based Units from 75 Percent to 100 Percent*

C. On-going HANH Initiatives

During FY2012 HANH continued to make progress towards the following initiatives.

Increase housing choice:

- Development of Mixed Use Development at 122 Wilmot Road. HANH continued its development activities of a mixed use property at this site.
- Design Guidelines, TDC and HCC Waivers. HANH has implemented its revised design guidelines used them throughout FY2012. TDC and HCC alternatives have been approved by HUD. During FY2012 HANH reviewed its HCC and TDC limits and submitted its update to HUD.
- HCV Initiatives.
  - Foreclosure protection program continued during FY12
  - Expanded Housing Opportunities continued during FY12.
  - Project Based Voucher Program continued in FY12 as outlined in the MTW 2012 Annual Plan and previous plans.
  - Tenant Based Voucher for Supportive Housing for the Homeless continued during FY12
- Increased Cap on PBV units in a development as previously approved continued in FY12
- Over Income for Project Based Vouchers at Mixed Income Developments
  - 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

- Enhanced Family Self –Sufficiency program has demonstrated marked success and continued during FY12
- Promoting Self-Sufficiency/Earned Income Exclusion initiative continued during FY12

Cost effective and efficient service delivery

- Rent simplification. HANH's rent simplification program offers a standardized rent tier table with deductions included, alternate year recertification, alternate year inspections for high performing landlords. Due to Rent Simplification, LIPH and HCV residents are not required to come in for annual recertification interviews on an annual basis. This reduces administrative costs such as staff time and mailings. Customer service is improved for residents who do not have to come in and supply information to HANH annually, unless it is a change initiated by them. HANH has fully implemented its Rent Simplification initiative and all activities continued during FY2012.
- Revised Inspection protocols for LIPH and HCV units. Alternative HCV unit inspections for high performing landlords reduce the administrative and staff costs for conducting inspections and it provides an incentive for landlords to ensure that the units are up to Housing Quality Standards. HANH conducts UPCS inspections on 20% of its inventory.
- Local Asset Based Management Program. Under the First Amendment to the MTW Agreement 10-15-08, HANH is permitted to design and implement its own Local Asset Based Management Program so long as the HANH and HUD agree that the principles and understanding outlined in the Amendment are adhered to. HANH developed a program during FYs 2009 and 2010. During FY11 HANH interfaced with HUD's Technical Assistance Team moving the agency closer to the goals of Asset Based Management. HANH continued this approach during FY 2012.
- Mandatory Direct Deposit. Direct Deposit alleviates the cost to print paper checks and mailing costs associated with them and it guarantees that HAP payments will be electronically deposited a lot quicker the mailing a check to the landlord.

The following projects continued during FY2012 and required MTW funding flexibility ONLY:

- Project Modernization. During FY12 the projects at McQueeney, Crawford Manor, Valentina Macri and Ruoppolo were completed. The projects at McConaughy Terrace, Fulton Park, Westville Manor, and UFAS compliance are on-going.

During FY12 the project at Fulton Park was deferred until FY13 due to capacity issues. Vacancy Reduction. HANH has continued to show improvement from the baseline FY08 vacancy rate of 10%. HANH closed the fiscal year with a vacancy rate of 5%

- Supportive Services. All planned supportive service initiatives have been implemented and continued during FY12 including:
    - Resident Services for families,
    - Resident services for Elderly/Disabled,
    - Supportive Services Contracts in E/D buildings,
    - Section 3 Employment and Training
    - Re-Entry pilot program housed fourteen (14) individuals during FY12.
    - One individual graduated from the program and one reoffended leaving the census at twelve (12).
- Deconcentration of Poverty -
    - Housing Choice Voucher: By providing participants with additional information to aid their housing search in areas of low-poverty, HANH may facilitate participant's expanded housing search. HANH utilizes real estate consultants to assist in the identification of units in areas of low poverty and link participants to these units. During FY 2012, this initiative continued.
    - LIPH: Income targeting -Marketing initiatives for Higher Income Eligible families were planned to continue during FY12, however this initiative was deferred.
- 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 initiative continued in FY2012.
    - 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 enhanced the efforts of Resident Owned Businesses in becoming more technically proficient and innovative companies in offering comprehensive goods and services. HANH's goal was to create three new Resident Owned Businesses during FY 2012. Two (2) new businesses were launched.
    - SEHOP Capital Improvement Program. HANH launched the Capital Improvement Program during FY2010 and continued this program during FY2012. This program supports new homeowners with necessary capital improvements that arise after being in the home for a minimum of three years. Twenty-three (23) homeowners participate in the program.

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

- Major redevelopment efforts at William T. Rowe and West Rock (Brookside, Rockview, 122 Wilmot Road and Farnam Court) used the HANH Alternative TDC and used its authority to provide project based vouchers in excess of 25 percent of the units.
    - William T. Rowe redevelopment was completed and fully leased during FY2012
    - Development of Mixed Use (residential and commercial space) at 122 Wilmot Road using fungibility as previously approved continued to progress in FY12.
    - Development of Brookside Phase 1 Rental using fungibility was completed during FY12.
    - Development of Brookside Phase 2 Rental using fungibility continued during FY12
    - Development of Rockview Phase I Rental using fungibility continued during FY12.
    - Farnam Court Transformation Plan
- Full fungability for development purposes

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

NEW

- Supportive Housing Initiative with the State of CT Department of Mental Health and Addiction Services
- DMHAS Mental Health Transformation grant providing housing to homeless individuals served through the State Department of Mental Health and Addiction Services

ON-GOING

- ARRA Funded Initiatives (CFRC based grants). HANH utilized its competitive ARRA funds for the Brookside, Quinnipiac Terrace III, William T. Rowe redevelopment projects and Ruoppolo Manor UFAS conversions. The use of these funds is included and referenced herein as non-MTW initiatives.
- Resident Opportunities and Supportive Services (ROSS) grant. HANH has received funding through the ROSS grant program to support its resident services and supportive services programming.
- Property Disposition. HANH anticipated disposition of: 620 Grand Ave. (Warehouse), Valentina Macri, Rockview Phase I, and William T. Rowe. During FY 12 disposition was completed for 620 Grand Ave. The disposition for William T. Rowe is ongoing and will be disposed of during FY 2013. Draft disposition approval was received for Valentina Macri and is pending for Rockview Phase I.
- Research and Evaluation. HANH has undertaken a research and evaluation study of its MTW program. This study began in FY 11 and continued in FY12. (See appendix)
- Section Eight Homeownership Program (SEHOP). HANH continued its successful SEHOP program that assists LIPH and HCV residents and participants with achieving their homeownership goals. During FY 2012, 6 homes were purchased bringing the total number of homes purchased to thirty-five (35).
- Project Based Voucher Program. HANH continued to utilize its ability to project base vouchers to support goals of supportive housing, deconcentration of poverty and to support housing choice goals.
- Capital Fund Financing Program. HANH has issued bonds for Brookside Phase 1 Rental under the CFFP.
- Energy Performance Contracting. HANH procured an ESCO to pursue energy saving improvements.
- Mandatory Conversion analysis. HANH has no units listed on HUD's current list of developments requiring mandatory conversion.
- Elderly Designation. HANH received approval to designate 26 units as elderly only at the 122 Wilmot Road development.

II. General Housing Authority Operating Information

A. Who we serve?

HANH served 5,136 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 81% of LIPH and 77% of HCV families in this income category. 26% percent of LIPH families and 31% of HCV families earn wages. Less than 5% of all families report no income. 87% of households in LIPH range from 1 person to 3 person families and 78% of households in HCV range from 1 person to 3 person families. The following table summarizes the population demographics.

At baseline, without MTW status HANH would have served a total of 4,101 families. Current numbers reflect an increase of approximately 1,035 families or 25% indicating that MTW status has allowed HANH to increase the number of families being served.

HANH Population Demographics

	LIPH		HCV	
Total households	2166	*41%*	3066	*59%*
Total individuals	4329	*36%*	7567	*64%*
Average income	$ 12,932.00		$ 14,760.00	
Average TTP	$ 293.00		$ 336.00	
No income	95	*4%*	138	*5%*
Extremely low income	1764	*81%*	2360	*77%*
Very low income	227	*10%*	461	*15%*
Low income	39	*2%*	152	*5%*
Above low income	136	*6%*	95	*3%*
Households with wages	557	*26%*	958	*31%*
Households with public assistance	259	*12%*	139	*5%*
Households with social security	1285	*59%*	1303	*42%*
Households with other non-wages	443	*20%*	532	*17%*
Minority households	1502	*69%*	1774	*58%*
Non-minority	664	*31%*	1292	*42%*
Elderly families	589	*27%*	555	*18%*
Disabled families	1179	*54%*	1136	*37%*
1 member	1094	*51%*	1031	*34%*
2 members	473	*22%*	716	*23%*
3 members	301	*14%*	639	*21%*
4 members	169	*8%*	383	*12%*
5 members	82	*4%*	189	*6%*
6 members	34	*2%*	70	*2%*
7 members	9	*0%*	26	*1%*
8+ members	5	*0%*	12	*0%*

B. Housing Stock Information

A. Housing Stock Information:	
Number of public housing units at the end of the plan year:	HANH began FY2012 with 2,473 MTW LIPH units. Of these, 2,182 were available for occupancy (difference represents approved vacancies for units off line for modernization, officers in residence, offices and TRC offices/food banks.) As of September 30, 2012, HANH has a MTW public housing stock of 2,523 public housing units. This includes 1,136 site-based family units; 1,053 Elderly/Disabled units; 144 Elderly only units, and 190 Scattered Site units. Of these units, 2,263 are available for occupancy (difference represents 260 approved vacancies for units off line for modernization, officers in residence, offices and TRC offices/food banks.) This represents an overall increase of 50 units (newly brought on line Brookside Phase I rental). Further, this represents an increase in units available for occupancy of 121 units as units previously approved offline for modernization have been brought back into the portfolio. This reflects a reduction of 442 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.

Description of significant capital expenditures by development (>30% of the Agency's total budgeted capital expenditures for the fiscal year)	HANH incurred capital expenditures of $2,558,098 during FY2012. This was $97,240 less than projected. The main difference is due to retainage not released and requisitions not submitted during the fiscal timeframe. • Agency wide UFAS compliance: On- going effort and $81,148 was spent during FY2012. • Agency wide vacancy reduction: On- going effort and $1,307,288 was spent during FY2012. • Ruoppolo Manor: Security and elevator upgrade, $169,536 was spent during FY2012. • Val Macri: Structural remediation on second story walk way. $82,043 was spent during FY2012. • Environmental Remediation: Various agency wide contracts. $161,286 was spent during FY2012. • Architectural & Engineering: Various agency wide contracts. $194,258 was spent during FY2012

Description of any new public housing units added during the year of development (specifying bedroom size, type, accessible features, if applicable);	The following LIPH units were added during FY2012: **Brookside** **Brookside Phase I Rental-** 50 LIPH units added including row house and walk up style units 12 one bedroom 35 two bedrooms 1 three bedroom 2 four bedroom

Number of public housing units removed from the inventory during the year by development specifying the justification for the removal.	No units were removed from inventory during FY2012. HANH requested disposition approval of 17 units at Valentina Macri during FY 2012 however the approval is still pending. HANH disposed of vacant land at the former Rockview public housing development as part of the Master Redevelopment Plan at West Rock.

Number of MTW Housing Choice Vouchers (HCV) units authorized;	HANH has budgetary authority for 4,388 housing choice vouchers. This number did not change during FY2012.

Number of non-MTW HCV units authorized; and	At the start of FY 2012, HANH administered 80 Single Room Occupancy vouchers; and 35 VASH vouchers that are not included in the MTW program. In April 2012, HANH was awarded an additional 50 VASH vouchers bring the total to 85 vouchers.
Number of HCV units project-based during the Plan year, including description of each separate project.	HANH anticipated beginning FY 2012 with 331 project based vouchers under lease. During FY2012, HANH anticipated adding 96 PBVs to a total of 427. HANH actually began FY2012 with 331 PBVs under contract and added 50 for a total of 381 PBVs under contract. HANH added the following project base voucher units:

Project	Anticipated	Actual
Foreclosure/suppo rtive	1	0
CUHO	8	0
Brookside Phase 1 Rental	50	50
Valentina Macri	17	0
MHA supportive housing	20	0
Total	96	50

HANH ended FY 2012 with 381 PBVs under lease.

Overview of other housing managed by HANH.	NEW William T. Rowe – **26 market rate units**

B. Leasing information, Actual	

Actual total number of MTW Public Housing units leased in the Plan year;	HANH began FY 2012 with 2,066 units occupied out of 2,182 available units. This represents an adjusted occupancy rate of 95%. HANH ended FY2012 with 2,198 leased units out of 2,263 available units. This represents an adjusted occupancy rate of 97%. This exceeded our estimates for FY2012. Of HANH's total stock listed above, 260 units are approved off line for administrative, other resident activity, self sufficiency, police officer, casualty loss, demolition-disposition pending and modernization. This leaves 2,263 units available for lease.
Actual total number of HCV units leased in the Plan year;	At the start of FY2012 HANH had 3,100 vouchers under lease. The remainder of HANH's MTW HCV funds are used for modernization, redevelopment and supportive services purposes as approved in the MTW agreement and detailed elsewhere in this report. HANH intended to end FY2012 with 3,349 MTW HCV units under lease. HANH's actual utilization was 3,192 MTW HCV units. The difference is primarily accounted for by delays in project based voucher project completion.
Actual total number of non-MTW Public Housing units leased in plan year	None
Actual total number of non-MTW HCV units leased in the Plan year; and	The agency lease up rates for FY 2012 for its non MTW SRO Vouchers is 71 out of 80 for a utilization rate of 89%. The agency lease up rate for its non MTW VASH vouchers was 38 out of 85 for a utilization rate of 45%. The VA has been slow to refer applicants and HANH has been interfacing with the VA to assist in the process. VA has indicated a need to hire additional case managers to support the additional vouchers to be leased through HANH. HANH has dedicated staff responsible for the VASH program. Additionally, HANH will explore providing priority status for HCV inspections as needed to facilitate the lease up of these vouchers.
Description of issues relating to any potential difficulties in leasing units (HCV or PH).	HANH had no difficulty leasing units that were available for lease. CUHO New Construction HANH did not meet the HCV leasing goals due to delays in completion of project based voucher developments by private developers. Projects are anticipated to be completed during FY2013.

Number of project based vouchers in use at the start of the Plan year	HANH began FY2012 with 331 PBV under lease. During FY2012 HANH added 50 project based units at Brookside Phase 1 Rental bringing the total to 381.

C. Waitlist Information	
Number and characteristics of households on the waiting lists at end of plan year	At the start of FY 2012, HANH had 1069 HCV applicants and 5195 LIPH applicants on the respective waitlists. At the close of FY2012, HANH had 3870 HCV applicants and 6168 LIPH applicants on the respective waitlists.
Descriptions of waiting lists and any changes that were made during Plan year	LIPH Accessible Waitlist: list is open LIPH Site based Family Development Waitlists: The Site Base Family Waitlists are closed for 2 and 3 bedroom units. The 4 and 5 bedroom Waitlists are open Westville Manor, McConaughy Terrace, Waverly Townhouses, Valley Townhouses and Farnam Courts. LIPH Site Based Elderly Designated Waitlist: the waitlist is open LIPH Site Based Elderly/Disabled Waitlists 4538; the list is open. LIPH Supportive Housing Waitlist: list is open HCV Tenant Based: The list is currently closed. The 2, 3 and 4 bedroom list was open from December 19 to December 23, 2011. The 1 bedroom list was open from December 19, 2011 to January 13, 2012 and March 12, 2012 to March 23, 2012. Lottery selections have been completed HCV Project Based Supportive Housing: lists are open

Policies for Mixed Finance Developments

HANH's public housing portfolio presently includes five mixed finance and/or HOPE VI developments: Monterey Place, Eastview Terrace, Quinnipiac Terrace, "New" Rowe and Brookside Phase I. The housing in these developments is owned and managed by private companies, according to management agreements, which have established their own policies for admissions and occupancy.

The management agent of the mixed finance development must establish written policies for admissions and occupancy. The admissions and occupancy policies for the mixed finance development must be submitted to, and approved by, HANH.

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

In addition, HANH has engaged in mixed finance redevelopment of its Rockview, Brookside Phase II and 122 Wilmot Road. As part of mixed finance redevelopment, HANH or its agents may establish admissions and occupancy policies for these mixed finance developments, according to the same guidelines stated above. The Authority has executed a Mixed Finance Amendment to its

Consolidated Annual, Contribution Contract (Mixed Finance ACC Amendment to provide for the development of the William T. Rowe, Monterey Place, Eastview Terrace, Brookside Rental Phase 1, Brookside Rental Phase 2, Quinnipiac Terrace Phase 1, 2, and 3 and 122 Wilmot Road. The MTW 2013 Plan provides for Mixed Finance ACC Amendments for Rockview Phase 1, Ribicoff Cottages, Farnam Courts, Fair Haven and Valley Townhouses.

III. Non – MTW Related Housing Authority Information (Optional)

Planned vs. Actual Uses of other HUD or Federal Funds

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

ARRA funded projects- CFRC competitive grants

Brookside Infrastructure- awarded $4,733,966 for infrastructure improvements related to the redevelopment of Brookside (West Rock). Construction of the infrastructure related to Phase I, II and Homeownership was completed in FY 2012.

William T. Rowe- awarded $10,000,000 for redevelopment of this development. Construction of the redevelopment of William T. Rowe was initiated during August 2010. Construction was completed during FY2011. The Authority expended the remaining balance of the ARRA funds during FY 2012.

Ruoppolo Manor – awarded $2,476,400 for UFAS conversions at elderly/disabled development. Construction related activities were completed in FY2012.

Amount Awarded $4,733,966

Brookside	Brookside	$4,604,793
Brookside	Brookside Administration	$129,173
Brookside	**Total spent from Inception through 9/30/2012**	**$4,733,966**

Amount Awarded $10,000,000

Rowe	Rowe	$10,000,000
Rowe	**Total spent from Inception through 9/30/2012**	**$10,000,000**

Amount Awarded $2,476,400

Ruoppolo Manor	UFAS Administration	$ 244,301
Ruoppolo Manor	UFAS Construction Management	$ 318,000
Ruoppolo Manor	UFAS Modifications	$1,914,099
	Total spent from inception through 9/30/2012	**$2,476,400**

ARRA –Formula based.

HANH expended the balance of its formula based funds during FY2012:

Administration	Program Administration	$ 44,352
Scattered Sites	Repair and Abate Vacancies;	$ 160,772
Essex Townhouses	Repair and Abate Vacancies; PNA	$ 136,315
Fairmount	PNA	$ 28,031
Ruoppolo Manor	PNA	$ 13,031
Winslow Celentano	Repair and Abate Vacancies; PNA	$ 182,371
Farnam Courts	Repair and Abate Vacancies; PNA	$ 180,420
McQueeney	Kitchens and Bathrooms, PNA	$ 1,044,024
Rowe	PNA	$ 13,031
Crawford Manor	Façade and Roof Repair; PNA	$ 2,306,781
Newhall Gardens	Heating System Upgrade, Mold Remediation and Flooring; PNA	$ 333,690
Waverly	Repair and Abate Vacancies; PNA	$ 69,288
Valley	Repair and Abate Vacancies; PNA	$ 103,650
McConaughy	Repair and Abate Vacancies; PNA; Furnace Replacement	$ 443,223
Abraham Ribicoff Cottages and Extension	Mold and Asbestos Remediation: PNA	$ 391,150
Westville Manor	Repair and Abate Vacancies; PNA	$ 562,810
Katherine Harvey	PNA	$ 3,277
C.B. Motley	PNA	$ 3,277
Wolfe	PNA	$ 3,277
Val Macri	PNA	$ 15,000
	Total	**$ 6,037,769**

Resident Opportunity and Self-Sufficiency (ROSS) grants

HANH is the recipient of the following ROSS grants used for resident support services in family developments and elderly/disabled developments:

	Amount Awarded		Amount Spent FY2012
CT004REF002A007	$348,223	Family Developments	$ 58,237
CT004RPS047A009	$720,000	Resident Services Coordinator	$242,937
CT004RFS038A010	$ 58,896	FSS Coordinator	$ 58,896
CT004RFS151A01	$ 69,000	FSS Coordinator	$ 21,866
	$1,196,119		**$381,936**

Planned Sources and Uses of Other HUD or Federal Funds

Planned Sources and Uses of Other Non-MTW Funds

FY2012

Planned ***Unaudited***

Sources		Actual
CSS Endowment Accounts	***$600,000***	***$398,484***
ROSS Grants	***$264,000***	***$381,936***
S8 Mod Rehab Program	***$547,800***	***$662,409***
S8 VASH Program	***$298,622***	***$418,426***
ARRA Formula	***$302,288***	***$78,220***
ARRA Competitive	***$677,276***	***$981,355***
Total Non-MTW Sources	***$2,689,986***	***$2,920,830***
Uses		
Supportive Housing (ROSS/CSS) - Salaries/Administrative	***$864,000***	***$780,420***
S8 Mod Rehab Program HAP Expenses	***$547,800***	***$483,139***
S8 VASH Program HAP Expenses	***$298,622***	***$341,382***
ARRA Formula Projects	***$302,288***	***$78,220***
ARRA Competitive		
Ruoppolo Manor UFAS conversion	***$677,276***	***$175,113***
Brookside		***$806,242***
Rowe		
Total Non-MTW Uses	***$2,689,986***	***$2,664,516***
Net Surplus/ (Deficit)	***$0***	***$256,314***

Discussion of Non-MTW Activities Proposed by Agency

Non-MTW Initiatives. During FY2012, HANH pursued the following non-MTW related initiatives. Separate approvals were sought where necessary.

Supportive Housing Initiative with Department of Mental Health and Addiction Services-
This initiative was implemented during FY2010. In FY2012 HANH planned to provide twenty (20) vouchers to participants receiving DMHAS' Intensive case management (ICM) services. Participants are screened by DMHAS and given preference on the supportive housing wait list. In FY2012, 19 participants were leased up.

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.

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 has obligated five (5) vouchers and twenty (20) LIPH units for participants in the MHT program. Applications for these vouchers were 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 for HANH's Supportive Housing Programs. For the twenty (20) LIPH units, there is an admission preference for individuals exiting homelessness. During FY 2012 four vouchers have been issued but not leased. Six participants have been leased in LIPH.

Property Dispositions-
HANH intended to dispose of the following properties during FY2012:

- 620 Grand Ave. (Warehouse) Disposition-COMPLETED

  With the transition to HUD's Asset Management Model, HANH believes that maintenance of a large centralized warehouse presents management problems for project-based management and may prove to be unaffordable. HANH plans to dispose of its warehouse. Disposition of warehouse was begun in 2008 with efforts to negotiate the sale of this property. During FY 2011 a buyer was secured but as the closing date neared the buyer decided to attempt re-negotiations with HANH. The re-negotiated purchase price was not favorable to HANH and HANH placed the asset back on the real estate market. Disposition of the warehouse will result in reduced operating costs and added revenue from the sale. HANH procured the services of a Real Estate Broker and a sale took place during FY 2012.

- Valentina Macri Court- IN PROGRESS

  HANH planned to dispose of the property to a developer for supportive housing for the formerly homeless. During FY 2012 HANH has been in discussion with HUD regarding the disposition approval for this property. Approval was pending during FY2012. It is anticipated that disposition will be completed during FY 2013. Draft approval was received and final approval is pending.

- Disposition of Rockview Manor –IN PROGRESS

  HANH submitted an application for disposition during FY12. We are currently awaiting HUD approval. During FY 2012 the disposition approval was sought.

- William T. Rowe Disposition- IN PROGRESS

  HUD approved disposition in 2010. During FY 2010, HANH began construction on the New William T. Rowe and the development was completed during FY2012. The property will be disposed to Yale-New Haven Hospital via fee simple transfer as part of a Swap Agreement with the Hospital. HANH cannot dispose of the 904 Howard Avenue, William T. Rowe location until the demolition is completed in July 2013.

- Sheffield Manor Disposition (51-55 Division)

HANH has entered into an Option Agreement with Columbus House, Inc. which expires April 28, 2013. Transfer of the property is subject to HUD approval under Section 18 of the Housing Act of 1937, as amended. The property will not be transferred until such approval is obtained.

- 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. The Option Agreement expires June 30, 2013.

- Disposition of Ribicoff Cottages and Extensions

HANH intended to submit a disposition application for Ribicoff Cottages and Extensions, located at 200 Brookside Avenue and adjacent to the redevelopment efforts ongoing at West Rock (Brookside and Rockview). In addition, the Authority intends to apply for various financing, including but not limited to federal funding, LIHTC, HTCC and FHLB. The demolition and disposition of Ribicoff Cottages and Extensions is needed to complete the redevelopment of the community in accordance with the West Rock Revitalization Plan that the Authority began implementing in 2002. The Plan provided for the comprehensive redevelopment of this community including the redevelopment of the demolished Rockview and Brookside developments. To date, 274 units of housing and 10,000 square feet of commercial space have been financed with HUD's assistance. The redevelopment of the Ribicoff development is vital to ensure the long term success of our efforts in this community since these units are situated in the middle of an otherwise completely redeveloped community.

The Plan for Ribicoff is to develop 110 units of Mixed Finance housing under 24 CFR 941 subpart F. The revision to 24 CFR 970 that was published on October 24, 2006, and took effect November 24, 2006, included a new provision at 24 CFR 970.3(12) which provides that dispositions for Mixed-Finance housing developed in accordance with 24 CFR 941 (Subpart F) are NOT subject to 24 CFR 970. However, these dispositions are still subject to Section 18 of the Housing Act of 1937 (the Act). The property will be disposed of to an owner in which an affiliate of Glendower, which is an instrumentality of the Authority, will be a Limited Partner. This ownership and overall financing model has been used by HANH in all of its previous Mixed Finance deals.

Other funding models such as the use of Capital Funds were considered but with the significant reduction is these funds over the past few years, the amount of funding that is needed to meet our modernization needs exceeds our expected availability of these funds by at least 3 to 1 over the next 20 years. HANH has made a strategic planning decision that it is more cost effective to demolish and redevelop these units as Mixed Finance housing than it would be to use limited Capital Funds to do modernization.

Voucher funds are being used to provide leveraging to help finance new construction rather than being used to renovate the development. For every dollar of voucher funds that we use in a Mixed Finance deal we leverage at least $2.50 of non-federal funds for every dollar of project based voucher expenditures (over a 15 year contract term). For example, it would cost an estimated $10,677,000 to renovate 100 units at this development based on the 2009 Physical Needs Assessment. With this renovation, you would still have the same ineffective site design that does not provide for delineation between public and private spaces or connect the development to the broader community and the infrastructure issues related to constant sewer back-up would not be addressed, neither would the inadequate size of the units be addressed. Additionally, the use of voucher funds to pay for renovation does not leverage private funding. Finally, using $10.7 million of voucher funds to complete renovation not only does not leverage any private capital; moreover, the net present value of using $10.7 million at a discount of three percent (3%) is $10,366,000 as compared to the net present value of providing 80 vouchers that are needed to fill the gap for constructing 110 new units of housing at $12.6 million of voucher payments over a 15 year period to leverage $24 million of non-federal funds. With the $12.6 million dollars of voucher funds we can develop an entirely new development that is built to today's urban design standards as well as today's energy conservation standards. The new development would also provide ten percent (10%) accessible units and two percent (2%) hearing and two percent (2%) visually impaired units.

The redevelopment of this property will not result in the loss of any affordable housing units but instead will create 10 new affordable housing units. HANH completed plans for this property during FY12 but has not submitted the disposition application due to dispute with HUD regarding disposition approval process changes that HUD has recently unilaterally implemented.

- Disposition and/or demolition of Farnam Courts.
  HANH intended to submit a disposition and/or demolition application for Farnam Courts. Farnam is located at 210 Hamilton Street and was also included in the HANH's 2012 Choice Neighborhoods Implementation Grant for funding. During FY2012 the CNI was not awarded. In addition, the Authority intends to apply for various financing, including but not limited to federal funding, LIHTC, HTCC, FHLB. The demolition and disposition of Farnam Court is part of the overall Farnam Court Choice Neighborhood Implementation Transformation Plan that HANH submitted an application for funding in April 2012 under HUD's Choice Neighborhood Implementation Grant. The certification submitted with this application deemed the project "severally distressed" as defined by HUD. The Transformation Plan provides for one for one replacement of the 240 existing units, as well as for the development of an additional 124 affordable units serving families between 50 and 60 percent of median income. Therefore, there would be no reduction in the loss of affordable rental housing as a result of this demolition and disposition. Moreover, the redeveloped Farnam will utilize the Enterprise Green Communities Standard.

  The property will be disposed of to an owner in which an affiliate of Glendower, which is an instrumentality of the Authority, will be a Limited Partner. This ownership and overall financing model has been used by HANH in all of its previous Mixed Finance deals.

  As stated above, other funding model such as the use of Capital Funds were considered but with the significant reduction in these funds over the past few years these funds would be inadequate to meet the need. The estimated cost of renovating Farnam is $20.4 million. The same argument that we made with respect to Ribicoff regarding the use of Capital Program Funds or voucher funds to do renovation applies to Farnam Courts. The site has poor design with no delineation between public and private streets, lacks connection to the surrounding community, has poor lines of sight that reduces security, has buildings that are not energy efficient and do not meet 504 accessibility standards. Additionally, the Authority does not have the financial capacity to allocate $20.4 million and not address the issues outlined in the preceding sentence. Under the current financing scheme, we would provide 240 vouchers that would have a net present value over 15 years of $44.4 million, but would leverage $76 million in non-federal funds. Thus, for an additional $20 million in voucher payments we get a totally new revitalized Farnam that is fully integrated into the surrounding community that meets Enterprise Green Communities Standards and leverages $76 million in non-federal funds.

  HANH completed plans for this property during FY12 but has not submitted the disposition application due to dispute with HUD regarding disposition approval process changes that HUD has recently unilaterally implemented.

- Disposition of Valley Townhouses. HANH intends to submit a disposition application for Valley Townhouses, located at 210 Valley Street for the purpose of submitting a mixed-finance proposal. The disposition of Valley Townhouses will allow for the preservation of the forty (40) existing units and also provide for four (4) additional affordable rental units. The rehabilitation is predicated on the Capital Needs Assessment performed in 2010. The scope of work includes unit rehabilitation, site work and newly constructed units utilizing Energy Star Standards.

  The Plan is to develop 44 units of Mixed Finance housing under 24 CFR 941 subpart F. The revision to 24 CFR 970 that was published on October 24, 2006, and took effect November 24, 2006, included a new provision at 24 CFR 970.3(12) which provides that dispositions for Mixed-Finance housing developed in accordance with 24 CFR 941 (Subpart F) are NOT subject to 24 CFR 970. However, these dispositions are still subject to Section 18 of the Housing Act of 1937 (the Act).

  The property will be disposed of to an owner which is an affiliate of Glendower, which is an instrumentality of the Authority, will be a Limited Partner. This ownership and overall financing model has been used by HANH in all of its previous Mixed Finance deals.

Other funding model such as the use of Capital Funds were considered but with the significant reduction is these funds over the past few years, the amount of funding that is needed to meet our modernization needs exceed our expected availability of these funds by at least 3 to 1 over the next 20 years. HANH has made a strategic planning decision that it is more cost effective to redevelop these units as Mixed Finance housing than it would be to use limited Capital Funds to do modernization.

Voucher funds are being used to provide leveraging to help finance this redevelopment. For every dollar of voucher funds that we use in a Mixed Finance deal we leverage at least $2.50 of non-federal funds for every dollar of project based voucher expenditures (over a 15 year contract term). Use of voucher funds to pay for this redevelopment will allow for the leverage of private funding. For example, using $8.3 million of voucher payments (over a 15 year period) will leverage $13 million of non-federal funds. The non-federal funds will allow for a comprehensive renovation inclusive of site design and infrastructure.

HANH's redevelopment efforts are supported by an understanding of the local community demographic and housing trends.

Demographic Trends in New Haven Past 10 Years

The 2010 data shows that New Haven has 54,967 housing units as compared to 52,941 housing units in 2000, which indicates an increase of 3.8%. The vacancy rate in 2000 was 7.1% and in 2010 it rose to 9.8% which indicates a slackening in the demand for housing. Moreover, it should be noted that New Haven has the highest concentration of assisted housing in the State with 33% of the units being assisted. The primary housing issues in New Haven are affordability and the age of the housing stock: 36.7% of the housing stock was constructed before 1960, which means that more than a third of the housing stock is more than 50 years old. The housing initiative undertaken by Elm City under its MTW Agreement addresses all of these concerns by providing housing of choice for a wide range of incomes, providing newer housing stock to replace the aging housing portfolio and does so without negatively impacting on the availability of affordable housing in the City.

The percentage of the population in New Haven in Poverty in 2000 is 24.4%.

Residents with income below the poverty level in 2009:

New Haven:	32.3%
Whole state:	11.9%

Residents with income below 50% of the poverty level in 2009:

New Haven:	13.7%
Whole state:	4.4%

Research and Evaluation-
HANH undertook an evaluation study of its MTW program. Report is included in Appendix.

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.

It was anticipated that 5 residents would purchase during FY2012 through the SEHOP and an additional 3 families through the Brookside Homeownership Program. During FY2012, six (6) Residents have purchased homes through SEHOP bringing the total number of homes purchased to thirty-five. Two homes were sold under the Brookside Homeownership Program.

Project Based Voucher Program-

In its Administrative Plan, HANH 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 set forth its PBV Goals in the Administrative Plan and determined that the use of PBV's shall serve to "increase housing choice for low income families". Since that time, HANH has continued to expand its PBV program through competitive award and redevelopment activities. At the beginning of FY12, there were 331 PBV units under contract, during the course of FY12 HANH added an additional 50 units at the Brookside Phase 1 Rental.

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 pledged its Capital Fund and Replacement Housing Funds to pay debt service for Brookside Phase 1 Rental pursuant to 24 CFR part 990.400.

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

HANH has strategically procured a generation rate reduction of electricity and natural gas commodities in a deregulated market to support its efforts in the energy conservation. HANH successfully obtained a rate reduction through a competitive procurement process which has developed a reduction in its energy operating expenditures. Under current program regulations, HANH may propose to retain 50% of the savings obtained. Using MTW flexibility, HANH proposes to retain 100% of the savings generated. HANH placed 100% of the savings into an escrow account which will be utilized to self finance energy conservation measures. Retaining the savings and investing in ECM's will assist HANH in achieving its energy interests and goals and reduce overall operating costs. To date HANH has produced a savings in its electrical costs from June 2010 through May 2012 in the amount of $686,267.00. Natural gas savings from September 2010 through May 2012 are $77,675. HANH further continues to reduce electricity consumption through the purchase of Energy Star appliances. Further, during FY2012, HANH competitively procured and selected an ESCO.

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 and SAC removed 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. HANH currently has no clusters listed.

Elderly Designation-

HANH received approval for elderly designation at the following developments: Katherine T. Harvey Terrace, Newhall Gardens, Constance B. Motley, Prescott Bush, Edith B. Johnson, 69 Webster St. and 122 Wilmot Road.

Choice Neighborhood Initiative Grant-

HANH proposed to apply for CNI funding in FY2012. HANH did submit application but was not successful in receiving funding.

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 (Optional)

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, Farnam Courts, Valley Townhouses. • 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

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

V. Proposed MTW Activities

All proposed activities were implemented and are discussed as on-going MTW activities in Section VI. On-going MTW Activities: HUD approval previously granted.

VI. Ongoing MTW Activities: HUD approval previously granted

Increased Housing Choice

New in 2012

Defining Income Eligibility for the Project Based Voucher Programs
Implemented FY 2012

Under HUD regulation, 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 provide 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 and HANH may award up to 15 percent of the PBV's allocated to for any mixed finance project to families with incomes between 50 and 80 percent of Area Median Income.

B. Analysis of Impact on Stated Objective	Increasing the income range for families residing in PBV units within mixed finance developments will allow for families in the extremely low, very low and low income ranges to lease in these developments. This promotes housing choice by developing communities that work by providing housing that serves a wide range of incomes. Further, the broader range of incomes results in lower subsidy costs which reduces the cost of the program allowing for the provision of more affordable housing.
C. Actual Performance v. Baseline/Benchmark	During FY2012 Brookside Phase 1 Rental was completed and provided Housing Choice for low income families by providing 15 percent of the 50 PBV units to residents with incomes between 50 and 80 percent of the AMI. Completed 8 units in the Brookside Phase 1 Rental development. Benchmark was achieved for the Brookside Phase 1 Rental Development.
D. Benchmarks revised?	N/A
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change.

G. Authorization Cited	Attachment C, Section C(3)(a) of the MTW Amended and Restated Agreement authorizes the Authority to establish eligibility criteria for the housing Choice Voucher program.

Increase the Allowed Percentage of Project Based Units under Section 18 of the Housing Act of 1937 from 75 percent to 100 percent
Implemented FY 2012 (revised from a previously approved MTW 2012 Initiative)

Successful redevelopment of under performing and underfunded public housing units often requires conversion of these units to project based units. To cover the capital costs and on-going operating costs, HUD's established limits on project basing are often insufficient. Attachment C. Section D. (e) authorizes HANH to determine the percentage of housing voucher assistance that it is permitted to project base. Section D (e) waives certain provisions of Section 8(o) (13) of the Act that prohibits the Agency from awarding not more than 25 percent of the dwelling units in any building with project based assistance. In those cases where project base units are needed to ensure viability of mixed finance projects, under its 2010 MTW Annual Plan HANH 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. Under the 2012 MTW Annual Plan HANH was authorized to Project Based up to 100% of the units in a public housing development that is voluntarily converted to PBV under this initiative.

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). HANH has been approved to dispose of properties under Section 18 of the Housing Act of 1937 prior to conversion to Project Based Vouchers.

HANH conducted an analysis of the feasibility of converting ACC units to Project Based Units using criteria similar to that set forth under Section 22 and has identified four (4) developments as being potential candidates for conversion under this initiative: Fairmount, Farnam, Ribicoff Cottages and Extensions, Valley Townhouses. Additionally this initiative is appropriate for new development of affordable housing units such as CUHO (new construction).

HANH sought and was approved to use its flexibility to allocate the number of PBV units in a project from 75 percent as previously approved by HUD to 100 percent for the purpose of converting ACC units to PBV units under this initiative. The purpose is to provide cash flow to enable HANH to borrow private funds for the purpose of rehabilitating aging developments in HANH's portfolio. HANH also seeks to waive the requirement of one-year tenancy which will allow participants greater flexibility in housing options.

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

HANH will limit the amount of project base units in non-mixed finance projects to no more than 50% of the units in the project; provided, however, that the agency may project base up to 75 percent of the units in such project if the project will provide replacement units for public housing units lost as a result of demolition or disposition, if the project is undertaken in a area where significant investments are being made, if the project will help to reduce de-concentration of very low income families, or if the project is located in areas that provide increased access to transportation or employment opportunities. Under the prior MTW Demonstration Agreement HANH was specifically authorized to provide assistance up to 50 percent of the units in a project. This authorization has been essential with helping to promote increased housing opportunities, as well as, to leverage private funds.

**B.
Analysis of Impact on Stated Objective**

HANH sought and was approved to use its flexibility to allocate the number of PBV 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 for mixed finance developments. In non-mixed finance developments, HANH is authorized to project based between 50% and 75% of units as described above.

Increasing the cap from for mixed finance projects and to 50 percent in other cases, helps to increase the supply of affordable housing in areas that promote de-concentration of poverty, provide housing in areas that are accessible to employment, schools, shopping and transportation, and help promote investments in areas that where other significant investments are being made. Increasing the cap will also increase the number of affordable units by increasing the amount of private debt a project can afford to pay.

Additionally, this initiative will provide cash flow to enable HANH to borrow private funds for the purpose of rehabilitating aging developments in HANH's portfolio. HANH also waived the requirement of one-year tenancy which will allow participants greater flexibility in housing options.

The metric for the Cap on Project Based Units in a Project is the number of additional affordable low-income housing units created as result of the increase of the cap. The Projects that benefited from this project are QT III, Brookside Phase 1 Rental Brookside Phase II Rental, Rockview, MHA (Fair Haven).

Several developments are expected to benefit from this initiative. During FY 2012 planning proceeded on several of these projects. Data is presented for the projects that have been completed.

**C.
Actual Performance v. Baseline/Benchmark**

	Baseline		Benchmark	Actuals
	% of units to be created		% of units created	% PBV
QT III	25%		48%	48%
Brookside Phase 1	25%		50%	50%
Mutual Housing of South Central Connecticut (Fair Haven)	25%		45%	Under construction
Brookside Phase 2 Rental	25%		50%	Under Construction
Rockview Phase 1 Rental	25%		61%	Under Construction

**D.
Benchmarks revised?**

N/A

E. Revisions to Data collection methodology

None

F. Did authorization change?

No change.

G. Authorization Cited

Section D.1.e and D.7 of Attachment C authorizes the Agency to set its own limit in spite of the 25 percent cap under Section 8(o) (13) of the Act.

Development of Mixed Use Development at 122 Wilmot Road:
Implemented FY2011

The Authority purchased a site at 122 Wilmot that is slightly more than one acre. The site had a deteriorated structure that was approximately 15,000 square feet. The structure has been demolished. The Authority is redeveloping the site as a mixed use facility with 9,186 square feet of commercial and community space and 47 units of housing with supportive services to allow elderly persons to age in place. Thirty four of the forty-seven units will be ACC units with 26 being designated elderly and the remaining 8 units for the elderly disabled. Thirteen PBV units will also be designated elderly, however, should the waitlist be exhausted, and then the Agency would allow for the tenancy of near elderly persons for this development. The agency received tax credit allocation of 9% credits. This initiative will develop quality affordable housing for seniors with supportive services and will develop commercial space providing much needed amenities for the community and job opportunities in a remote area of the City that services four public housing developments.

B. Analysis of Impact on Stated Objective	Development will provide increased housing choice for elderly and elderly disabled residents with supportive services offered on site. Modern facility will reduce operating costs and run more efficiently than other aging infrastructure. Commercial portion will be revenue generating.
C. Actual Performance v. Baseline/Benchmark	The Development closed on December 22, 2011 and has yet to be completed. Therefore, no analysis can be determined as of yet.
D. Were benchmarks revised?	No
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change
G. Authorization Cited	Section C.14 authorized the Agency to enter into commercial business ventures to promote its neighborhood stabilization goals Attachment C. Section B.b.ii authorizes the Agency to use its flexibility to use its Section 8 (o) funds to develop assisted living and commercial facilities, including the acquisition of property.

Implement Local Total Development Cost (TDC) Limits and Hard Construction Cost (HCC) Limits:
Implemented FY2010

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

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

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

Use of the Alternate TDC's during FY2012, allowed for the construction and completion of 101 Rental units (50 ACC/50 HCV).

During FY2012, HANH submitted revised TDC limits and is awaiting HUD approval.

<table>
<tr>
<td>B.
Analysis of Impact on Stated Objective</td>
<td>HANH's design standards provide larger units with additional amenities. The units have materials that are of higher quality than average for long-term viability and durability. These units are more marketable and expand the quality of housing for low income families.

Projects that are completed using the new guidelines provide quality space and thereby housing of choice. The developments are more energy efficient, have a longer useful life and require less emergency work order requests.

A secondary positive impact is the anticipated faster lease ups and fewer turnovers.

Measures of success of this initiative include assessment of the marketability and desirability of the units, REAC scores and requests for work orders.

At baseline, 0 completed units.

During FY2012 approval of Alternate TDC's allowed for the construction and completion of Brookside Phase 1 Rental (50 ACC/50 HCV). In prior fiscal years, units were completed at Quinnipiac Terrace Phase 3 and William T. Rowe and Brookside Phase 1 Homeownership. The alternative TDC's are designed with HANH's design standards to meet the market needs and desirability based upon the ease of marketing the units and lease up time.</td>
</tr>
<tr>
<td>C.
Actual Performance v. Baseline/Benchmark</td>
<td>During FY 2012, 50 affordable LIPH and 50 affordable HCV units at Brookside Phase 1 Rental were constructed and completed. In prior fiscal years, units were completed at Quinnipiac Terrace Phase 3 and William T. Rowe and Brookside Phase 1 Homeownership.

Given the recent completion and occupancy, data is not yet available for REAC scores and work order requests for all properties, however, New Rowe earned a REAC score of 98 versus the old William T. Rowe property that had averaged a REAC score of 63 over the last three years of its operation. Quinnipiac Terrace 3 earned a REAC score of 89 on last inspection. Eastview Terrace has earned an average REAC score of 95 over the past three years of its existence. These scores are compared to HANH's overall average at other properties which has average an 80 over the past three years.

<table>
<tr><td>Development</td><td>Average REAC</td><td>Average Work orders per unit</td></tr>
<tr><td>HANH developments (those not reflecting local TDCs)</td><td>80</td><td>7</td></tr>
<tr><td>Quinnipiac Terrace III</td><td>89</td><td>1.3</td></tr>
<tr><td>Eastview Terrace</td><td>95</td><td>5</td></tr>
<tr><td>Rowe</td><td>98</td><td>.57</td></tr>
</table>
</td>
</tr>
</table>

D. Were benchmarks revised?	No
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change
G. Authorization Cited	Amended and Restated Moving to Work Agreement, Attachment C, and Section C.16 provides authorization for HANH to establish reasonable cost formulas for development and redevelopment activities.

Over Income for Brookside Phase 2 Rental for PBV:
Implemented: FY2011

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 Act. 24 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 amended 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.

B. Analysis of Impact on Stated Objective	Increasing the income range for families residing in PBV units within mixed finance developments will allow for families in the extremely low, very low and low income ranges to lease in these developments. This promotes housing choice by developing communities that work by providing housing that serves a wide range of incomes. Further, the broader range of incomes results in lower subsidy costs which reduces the cost of the program allowing for the provision of more affordable housing.
C. Actual Performance v. Baseline/Benchmark	The development closed in September 2011 and during FY2012 construction was underway and has yet to be completed. Therefore, no analysis can be determined as of yet.
D. Were benchmarks revised?	No
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change
G. Authorization Cited	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 Act 24 CFR 982.201(b).

HCV Preference and set-aside for victims of foreclosures:
Implemented FY2009

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

This program includes 25 TBV and 25 PBV but the combined total will not exceed 50 Vouchers may be awarded to families whose housing is threatened because the property they are leasing goes into foreclosure and new owners who are purchasing a property in foreclosure. Tenants apply via the waitlist. Owners apply through the PBV RFP process. The program is not designed for the landlord who is in foreclosure. Due to the lack of demand for PBV units but high demand for TBVs for this population, some vouchers were reallocated. Of the 25 PBV, 10 were reallocated for Tenant Based Supportive Housing and 15 were reallocated for Project Based Supportive Housing for the Homeless.

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

During FY09 HANH began accepting referrals for this program. During FY2010, 25 tenant based vouchers were awarded and applications for the project based vouchers were received. During FY 2011, 10 were reallocated for tenant based supportive housing and 5 were reallocated and awarded for project based Supportive Housing for the Homeless. During FY2012 24 of the tenant based vouchers remained leased.

B. Analysis of Impact on Stated Objective	At baseline no families participated in this program. It is anticipated that up to 50 families will apply and be granted such assistance. Benchmark: Preserve affordable housing opportunity for up to 50 families whose housing was otherwise threatened by foreclosure. Return up to 25 foreclosed properties to operation. Cost effectiveness for participants as PBV subsidized rents assist in keeping quality units affordable issued.
C. Actual Performance v. Baseline/Benchmark	HANH has currently issued 25 foreclosure TBV and leased up 24 households. Demand for the PBVs was not sufficient therefore vouchers were reallocated to areas of greater demand. 10 of the 25 PBVs were reallocated for tenant based supportive housing and 7 were leased up; 5 were reallocated and awarded for PBVs for Supportive Housing for the Homeless, 0 leased.
D. Were benchmarks revised?	Yes. HANH reallocated vouchers as set forth above.
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change.

G. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C, Section D.4. Waiting List Policies authorizes HANH to establish preferences that differ from the currently mandated program requirements of the 1937 Act and its implementing regulations. Section D.1.e authorizes HANH to determine the percentage of housing voucher assistance that it is permitted to project-base

Promote Expanded Housing Opportunities for HCV Program:
Implemented FY2008

Under HANH's MTW Agreement with HUD, HANH is authorized to develop its own Leased Housing Program through exceptions to the standard HCV program, for the purposes of creating a successful program with stable landlords, high-quality properties, and mixed-income neighborhoods. This includes reasonable policies for setting rents and subsidy levels for tenant-based assistance. During FY 2008, HANH began to implement MTW Rent Standards that allow HANH to approve exception rents in the following cases: Wheelchair accessible units; Large bedroom-size units, (4 bedrooms or larger); Expanded housing opportunities in neighborhoods with low concentrations of poverty; Housing opportunities in new development projects that include significant public investment to promote revitalization of neighborhoods; and Mixed-income housing opportunities that promote expanded housing opportunities and deconcentration of poverty.

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

B. Analysis of Impact on Stated Objective	HANH's ability to approve exception rents has the impact of expanding housing choice for low income families that otherwise have difficulty accessing housing under the HCV program. Approval of exception rents slightly increases the annual expenditures under the HCV program. By allowing exception rents, families were able to locate and move into homes with 4 and 5 bedrooms, accessible features and in non-impacted area that they would not have been able to lease within the 110% Voucher Payment Standard. The Exception Rent average was 126% of the FMR.-

C. Actual Performance v. Baseline/Benchmark	Exception Rents Issued FY2008 - Base Year 0 HANH does not have tracking data for this fiscal year Exception Rents Issued FY2009 – 3 Exception rents were requested, 3 exception rents were approved 2 - Accessible Unit/Non-Impacted Area 1 – Hard to House due to Bedroom Size Lease Up rate Exception Rents Issued FY2010 – 9 Exception rents were requested, 9 exception rents were approved 1 – Accessible Unit 7 – Hard to House due to Bedroom Size 1 – Hard to House due to Bedroom Size/Non-Impacted Area Lease Up rate Exception Rents Issued in FY2011 – 2 Exception rents were requested, 2 exception rents were approved 0- Accessible units 1- hard to house due to BR size 1- Access to non-impacted area Lease Up rate Exception Rents Issued in FY2012 – 0 Exception rents were requested, 0 exception rents were approved 0- Accessible units 0- hard to house due to BR size 0- Access to non-impacted area Lease Up rate
D. Benchmarks revised?	N/A
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change.
G. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C- Section D.2.a authorizes HANH to adopt and implement any reasonable policy to establish payment standards, rents or subsidy levels for tenant-based assistance that differ from the currently mandated program requirements in the 1937 Act and its implementing regulations.

Tenant Based Vouchers for Supportive Housing for the Homeless
Implemented FY 2011

Under HANH's MTW Agreement with HUD, HANH is authorized to develop its own Leased Housing Program through exceptions to the standard HCV program, for the purposes of creating a successful program with stable landlords, high-quality properties, and mixed-income neighborhoods. In FY 2011 HANH reallocated 10 of the existing 25 project based vouchers set aside for Foreclosure Protection to a Tenant Based Program for Supportive Housing for Homeless. Preference in the tenant selection process will be give to person and families that are homeless or are at risk of becoming homeless. HANH entered in a Memoranda of Understanding with organizations that provide housing for homeless with supportive services. Seven vouchers out of 10 were awarded in FY 2011. No further lease ups occurred during FY 2012.

B. Analysis of Impact on Stated Objective	Expand housing opportunities for the homeless by providing permanent housing with supportive services which will also enable them to become self sufficient.
C. Actual Performance v. Baseline/Benchmark	Provided seven (7) vouchers to New Haven Home Recovery for permanent housing for the homeless.
D. Benchmarks revised?	N/A
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change.
G. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C, Section D.4. Waiting List Policies authorizes HANH to establish preferences that differ from the currently mandated program requirements of the 1937 Act and its implementing regulations.

Cap on Project Based Units in a Project:
Implemented FY2010-

This initiative is being closed out in this MTW Report as subsequent approvals of the initiative: *Increase the Allowed Percentage of Project Based Units under Section 18 of the Housing Act of 1937 from 75 percent to 100 percent* have made this initiative unnecessary.

Attachment C. Section D. (e) authorizes HANH to determine the percentage of housing voucher assistance that it is permitted to project base. Section D (e) waives certain provisions of Section 8(o) (13) of the Act that prohibits Agency from awarding not more than 25 percent of the dwelling units in any building with project based assistance. In those cases where project base units are needed to ensure viability of mixed finance projects, HANH implemented project base up to 75 percent of the units in the development provided the project leverage non-public housing authority investments and increases housing choices for low income families.

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

B.
Analysis of Impact on Stated Objective

Increasing the cap from 25 to 75 percent for mixed finance projects and to 50 percent in other cases, helps to increase the supply of affordable housing in areas that promote de-concentration of poverty, provide housing in areas that are accessible to employment, schools, shopping and transportation, and help promote investments in areas that where other significant investments are being made. Increasing the cap will also increase the number of affordable units by increasing the amount of private debt a project can afford to pay.

The metric for the Cap on Project Based Units in a Project is the number of additional affordable low-income housing units created as result of the increase of the cap. The Projects that benefited from this project are QT III, Brookside Phase 1 Rental Brookside Phase II Rental, Rockview, MHA (Fair Haven).

C.
Actual Performance v. Baseline/Benchmark

	Baseline		Benchmark	Actual
	% of units to be created		% of units created	% PBV
QT III	25%		48%	48%
Brookside Phase 1	25%		50%	50%
Mutual Housing of South Central Connecticut (Fair Haven)	25%		45%	Under construction
Brookside Phase 2 Rental	25%		50%	Under Construction
Rockview Phase 1 Rental	25%		61%	Under Construction

D.
Were benchmarks revised?

E. Revisions to Data collection methodology

N/A

F. Did authorization change?

No change.

G. Authorization Cited

Section D.1.e and D.7 of Attachment C authorizes the Agency to set its own limit in spite of the 25 percent cap under Section 8(o) (13) of the Act.

Farnam Courts Transformation Plan
Implemented FY 2010

HANH applied for the Choice Neighborhoods Initiative Implementation Grant in 2012 but was unsuccessful. HANH is undertaking this Transformation Plan as a Mixed Finance Development.

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. Units will be replaced on and off site. 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.

B. Analysis of Impact on Stated Objective	Farnam Court redevelop will include on site and offsite redevelopment of desirable units offering increased housing choice and reduced operating costs. HANH anticipates the project will result in redesign of the infrastructure to create more traffic flow through the community, redesign of the housing units to be more spacious and removal of barriers that individuals and families are facing by providing supportive services
C. Actual Performance v. Baseline/Benchmark	The Authority was not awarded a 2012 Choice Neighborhoods Initiative Implementation Grant. During FY2012 HANH continued to work on the transformation plan. During FY 2012 HANH selected the developer, executed an option agreement for off site parcel and obtained on local approvals. Design/development documents have been completed.
D. Benchmarks revised?	N/A
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change.

G. Authorization Cited	Amended and Restated Moving to Work Agreement, Attachment C: Section B.1.b.ii provides authorization to HANH to use its Housing Choice Voucher funds for the acquisition, new construction, reconstruction or moderate or substantial rehabilitation of housing or commercial facilities. The project would not be feasible without the ability to commingle funds. Amended and Restated Moving to Work Agreement, Attachment C: Section B.1.b.ii provides authorization to HANH to use MTW funds for the acquisition, new construction, reconstruction or moderate or substantial rehabilitation of housing or commercial facilities.

New in 2012

Caring About Resident Economic Self Sufficiency (CARES) Pilot Program for the Brookside Phase 2 Rental Development
Implemented FY2012

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

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

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

Residents and participants are incentivized to enroll in the CARES program because of the intensive supportive services offered, the escrow payment and the increased control over the use of their funds (including subsidy dollars). Along with intensive supportive services for a 24-month period over the 72 months, residents will receive a lump sum of the equivalent to the subsidy payments in the final year of the program deposited into an escrow account (REEF) to be used with the approval of HANH during the term of the program. The funds in the REEF may be used to cover the following costs; a hardship (as defined under the Hardship Policy and Guidelines), purchase of a vehicle to attain or maintain employment (a onetime payment not to exceed $3,000 after all other options have been exhausted), start a small business (a onetime payment not to exceed $2,500 after all other options have been exhausted), purchase a computer, down payment on a home, and/or enroll in higher education, subject to the approval of HANH. The monthly subsidy payment will be pre-determined at an initial assessment conducted prior to lease up at the newly redeveloped West Rock Community in a manner consistent with the Authority's Rent Simplification Program.

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

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

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

B. Analysis of Impact on Stated Objective	Increase family self sufficiency through intense assessment of family needs, development of service plans, assistance with self sufficiency activities and incentivized escrow savings plan. Increased housing choice by increasing family options for housing and through term limited assistance the ability to offer assistance to additional families.
C. Actual Performance v. Baseline/Benchmark	Project under construction.
D. Were benchmarks revised?	No
E. Revisions to Data collection methodology	None
F. Did authorization change?	No
G. Authorization Cited	For public housing, Attachment C. (C)(11) of our MTW Agreement authorizes the agency to determine family payments, including total tenant payment and tenant rent. The agency is authorized to adopt and implement reasonable policies for setting rents in public housing. The agency is authorized to adopt and implement term limits for its public housing assistance. For Housing Choice Vouchers, Attachment C (D)(1)(a) authorizes the agency to determine the term and content of HAP contracts. Attachment C(D)(1)(b) authorizes the agency to determine the lease period when vouchers expire.

Approved Prior to 2012

Family Self-Sufficiency Program:
Implemented FY2007

HANH's FSS program provides intensive counseling and case management services to help participant families achieve their self-sufficiency goals, according to each family's needs. In 2007, HANH revised its FSS program to include additional services to assist residents in addressing a full range of barriers to achieving self sufficiency and employment. This change has allowed HANH to provide much needed services to a larger number of LIPH and Section 8 residents. Service referrals focus on remedial education, literacy classes, GED preparation, vocational and financial management, job skills/ employability, etc. Further HANH has invested in Computer/Learning Labs which 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.

<table>
<tr><td>B.
Analysis of Impact on Stated Objective</td><td>Residents progress towards self-sufficiency by addressing barriers they experience. Residents achieve economic self-sufficiency through employment.

Increased employment
Increased family income</td></tr>
<tr><td>C.
Actual Performance v. Baseline/Benchmark</td><td>Baseline:
During FY2009 25 residents participated in the job skills/employment training program.
Average Family Income - $18,526.00

<table>
<tr><td>Year</td><td>Residents in employment training</td><td>Average family income</td><td>% with increased family income</td><td># referrals</td><td># Newly employed</td><td># residents in other classes</td></tr>
<tr><td>2009</td><td>25</td><td>$18,526</td><td>43%</td><td>304</td><td>73</td><td>365</td></tr>
<tr><td>2010</td><td>32</td><td>$19,038</td><td>68%</td><td>181</td><td>9</td><td>168</td></tr>
<tr><td>2011</td><td>38</td><td>$25,743</td><td>23%</td><td>192</td><td>63</td><td>193</td></tr>
<tr><td>2012</td><td>73</td><td>$20,924.</td><td>26%</td><td>385</td><td>44</td><td>172</td></tr>
</table>

Specialized Training 2012
<table>
<tr><td>Year</td><td># resident referred</td><td># residents enrolled</td></tr>
<tr><td>2012</td><td>4</td><td>3</td></tr>
</table>

Four were accepted in the program, three actually enrolled in training programs:
1 EMT Training Program Will graduate in December of 2012
1. Certified Nurses' Aide Program. Graduated from New Haven Adult Education Program. Will take State certification test in November
1 enrolled in Gateway Community College with a major in Nursing (RN). Will graduate approximately 12/15.</td></tr>
<tr><td>D.
Were benchmarks revised?</td><td>No</td></tr>
<tr><td>E. Revisions to Data collection methodology</td><td>None</td></tr>
<tr><td>F. Did authorization change?</td><td>No change.</td></tr>
</table>

G. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C- Section B. 1. b.iii authorizes HANH provide case management activities , such as housing counseling in connection with rental or homeownership assistance, energy auditing, activities related to the provision of self-sufficiency and other services , employment counseling, education, training and other services related to assisting tenants, owners, contractors, and other persons or entities participating or seeking to participate in other housing or training and educational activities assisted pursuant to this section.

Promoting Self-Sufficiency/Earned Income Exclusion
Implemented FY2008

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

B. Analysis of Impact on Stated Objective	This initiative will increase resident's family self sufficiency. Residents will report increase in earned income. Resident will improve credit and build income for the first four years of the program.

C.
Actual Performance v. Baseline/Benchmark

Please note that each year some FSS participants continue in the program, some graduate and/or drop out and new participants are added. The data presented includes all participants in the program at the close of any given fiscal year. Criteria for program admission have not changed over time and remain available to any resident/participant who expresses an interest.

Year	Average Income	Average credit score	% who improved credit score	% who improved income	First time employed	Home purchase/ready
2008	$20,317	534	10%	37%	Not tracked 2008	2
2009	$18,526	587	60%	43%	Not tracked 2009	4
2010	$19,038	660	54%	68%	9	4
2011	$25,743	603	43%	23%	7	6
2012	$20,280	590	63%	26%	4	6

During 2011
Average Income of residents enrolled is $25,743.00 (39% increase over baseline year). This increase is accounted for by 20 FSS participants who were previously employed and received wage increase; 7 FSS participants who went from zero income to full time employment; and 2 FSS participants who went from part time to full time employment during the fiscal year.

Average credit score of residents enrolled in FSS: 603 (3% increase over baseline year). During FY 2011, 6 residents graduated the program after obtaining homeownership or achieving homeowner readiness status. These residents had achieved solid credit scores. Additional residents (7) were admitted to the program with improved credit scores as one of their goals. This accounts for some decline in the credit score since FY2010.

FY 2012
Average income of residents enrolled $20,280.65
Average credit score 590
48% of those enrolled decreased their debt
29% increased their savings
46% paid their bills on time
Average Saved income increased by 5% with an average of $4,076.00 per family
Six residents purchased homes

Average income of residents enrolled in FSS increased as well as average credit scores. These successes were noted despite overall economic downturn and challenges in economy.

D.
Were benchmarks revised?

No

E. Revisions to Data collection methodology

None

F. Did authorization change?	No change.
G. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C- Section B. 1. b.iii authorizes HANH provide case management activities , such as housing counseling in connection with rental or homeownership assistance, energy auditing, activities related to the provision of self-sufficiency and other services , employment counseling, education, training and other services related to assisting tenants, owners, contractors, and other persons or entities participating or seeking to participate in other housing or training and educational activities assisted pursuant to this section.

Approved Prior to 2012

***Rent Simplification**:*
Implemented FY2008

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

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

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.

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.

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

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.

B. **Analysis of Impact on - Stated Objective**	HANH's Rent Simplification Program is designed to reduce the administrative burden of administering the program thereby developing a more cost effective program. During the implementation year, FY08, all families were scheduled to be seen to establish the baseline data. During FY09 when only 1/3 of elderly/disabled families and ½ of all other families were seen, administrative savings are realized as staffing levels were reduced in accordance with implementation. Additionally with the simplified rent tables, it is anticipated that rent calculation errors will be decreased. Additionally, the Rent Simplification Program is meant to incentivize savings for families as income increases within an income tier do not have to be reported and do not result in rent increases. During FY11 HANH recipients experienced the next phase of the rental portion increase however this did not result in an overall increase in TTP and did not exceed the rent burden percentage established of 28.5%. FY12 represented the final phase in year of HANH's rent simplification program. 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. Rent Simplification has relieved the burden for residents and participants having to come into the office to update information. Rent Simplification ensures no family pays more than 28.5% of their income toward housing expenses. HANH will continue to evaluate the effectiveness of this initiative on incentivizing work. HANH tracked calculation errors beginning in FY2011 out of 400 files reviewed there were 45 errors noted and corrected.

C. **Actual Performance v. Baseline/Benchmark**	Baseline: 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 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. HANH's administrative savings related to personnel savings over FY08 equaled $133,000. Benchmarks: Rent burden does not exceed 28.5% of household income Family income will increase Number of annual recertifications will decrease from approximately 5000 to 2000

Housing Choice Voucher

Year	Income	TTP	# recerts	# change in rent tiers	# HH with exceptional expenses	# HH on minimum rent	# enrolled in FSS
2008	**$14,661**	**$322**	**2,947**	**1995**	**107**	**281**	**70**
2009	**$13,392**	**$220**	**1,888**	**1586**	**87**	**280**	**71**
2010	**$14,970**	**$346**	**1,373**	**1256**	**86**	**280**	**71**
2011	**$14,801**	**$337**	**991**	**1139**	**70**	**306**	**71**
2012	**$14,756**	**$336**	**1,238**	**1348**	**65**	**299**	**72**

Low Income Public Housing

Year	Income	TTP	# recerts	# change in rent tiers	# HH with exceptional expenses	# HH on minimum rent	# enrolled in FSS
2008	**$13,100**	**$275**	**1,514**	**827**	**49**	**164**	**70**
2009	**$13,435**	**$304**	**1,009**	**593**	**116**	**152**	**75**
2010	**$13,346**	**$219**	**891**	**498**	**215**	**152**	**86**
2011	**$12,807**	**$293**	**456**	**432**	**196**	**180**	**94**
2012	**$12,927**	**$292**	**519**	**525**	**180**	**178**	**87**

Administrative effectiveness/efficiency

Year	rent calculation errors	Administrative savings
2008	Not available	$133,000
2009	Not available	$133,000
2010	54 – 0 changes TTP	$133,000
2011	45 – 12 changes TTP	$133,000
2012	20 – 1 changes TTP	$133,000

Satisfaction

Year	% LIPH satisfied	% HCV satisfied	% LL satisfied
2008	N/A	N/A	N/A
2009	N/A	N/A	N/A
2010	N/A	N/A	N/A
2011	83%	91%	85%
2012	In progress	In progress	In progress

	Deferred administrative costs remain at $133,000. No additional savings. Rent tiers set at 28.5%
D. Were benchmarks revised?	No
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change.
G. Authorization Cited	HANH's Amended and Restated MTW Agreement Attachment C Section C.11 and Section D.2 authorizes HANH to develop alternative rent policies and term limits.
H. Hardship Reviews	During FY2012, 243 hardship reviews were requested. 121 were granted. 122 were denied. Denials were due to lack of documentation of extraordinary expense or household gaining income.

LIPH Public Housing UPCS Inspection
Implemented FY2008- Final year of initiative- MTW authorization 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. Beginning in FY2008 and every year subsequent, HANH completed a random sampling of no less than 20% of units for UPCS inspections.

HUD subsequently has permitted all PHAs to inspect on a similar schedule. This activity continued in FY2012 however will no longer be reported on as an MTW initiative in future years.

B. Analysis of Impact on Stated Objective	Initiative is geared toward increased cost effectiveness. A comprehensive preventative maintenance program ensures that units, sites, buildings and systems receive regular inspections. Consistent oversight of work order completion rates ensures that the work that is identified is performed in a timely manner. As such, HANH has implemented a cost effective initiative that reduces the number of UPCS inspections that must be completed each year. By targeting UPCS inspections at properties most in need, HANH can maximize use of limited resources. Positive impact with reduced cost savings of 50% of the overall cost of inspections and negligible change to the overall agency REAC score.

<table>
<tr><td>C.
Actual Performance v. Baseline/Benchmark</td><td>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.
<table>
<tr><td>Year</td><td>Average REAC score</td><td>Cost for pre-REAC inspections</td></tr>
<tr><td>2008</td><td>82.11</td><td>$16,446.50</td></tr>
<tr><td>2009</td><td>79.59</td><td>$ 4,930.25</td></tr>
<tr><td>2010</td><td>76.62</td><td>$ 9,414.00</td></tr>
<tr><td>2011</td><td>81.27</td><td>$ 7,082.00</td></tr>
<tr><td>2012</td><td>Not available</td><td>$11,285.95</td></tr>
</table>
Inspection of 100% of units did not have a significant impact on resultant REAC scores. Targeted inspections focused upon lower scoring properties from previous year's inspections is a cost effective way of approaching building and site maintenance.</td></tr>
<tr><td>D.
Were benchmarks revised?</td><td>No</td></tr>
<tr><td>E. Revisions to Data collection methodology</td><td>None</td></tr>
<tr><td>F. Did authorization change?</td><td>No change.</td></tr>
<tr><td>G. Authorization Cited</td><td>The Amended and Restated MTW Agreement, Attachment C- Section C.9 authorizes HANH to develop simplified property management practices including alternative property and system inspection protocols.</td></tr>
</table>

Housing Choice Voucher HQS Inspections:
Implemented FY2011

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.

<table>
<tr><td>B.
Analysis of Impact on Stated Objective</td><td>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.

However for recertifications, inspection resources will be targeted at landlords with a history of HQS violations. Landlords who have successfully passed historical inspections may be expected to continue to do so and need not be inspected annually. Requests for special inspections will be honored. Anticipated impact is increased landlord and participant satisfaction and increased cost efficiency without a compromise of the housing quality of units under lease in the HCV program.</td></tr>
<tr><td>C.
Actual Performance v. Baseline/Benchmark</td><td>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.

At baseline the cost of the inspection contract was $262,000.00.

<table>
<tr><td>Year</td><td>Cost of contract</td><td>% participant satisfaction</td><td>% LL satisfaction</td><td>% unit fails at next inspection</td></tr>
<tr><td>2008</td><td>$156,600.00*</td><td>N/A</td><td>N/A</td><td>Unavailable</td></tr>
<tr><td>2009</td><td>$209,955.00</td><td>N/A</td><td>N/A</td><td>Unavailable</td></tr>
<tr><td>2010</td><td>$232,325.00</td><td>N/A</td><td>N/A</td><td>Unavailable</td></tr>
<tr><td>2011</td><td>$224,216.00</td><td>89%</td><td>85%</td><td>Unavailable</td></tr>
<tr><td>2012</td><td>$287,446.00</td><td>In process</td><td>In process</td><td>Unavailable</td></tr>
</table>
*Contract payment information available beginning January 1, 2008

During FY 2008 through 2010, HANH’s contract was based upon a per inspection rate.

During FY2011, HANH renegotiated its contract to provide inspections needed under the revised and approved inspection by covering the costs of 3 FTE inspectors to inspect 100% of units.

During FY2012 HANH continued its previous contract.</td></tr>
<tr><td>D.
Were benchmarks revised?</td><td>No</td></tr>
<tr><td>E. Revisions to Data collection methodology</td><td>None</td></tr>
<tr><td>F. Did authorization change?</td><td>No change.</td></tr>
<tr><td>G. Authorization Cited</td><td>The Amended and Restated MTW Agreement, Attachment C- Section C.9 authorizes HANH to develop and test alternative methods for administering its Section 8 (HCV) program.</td></tr>
</table>

Implement Mandatory Direct Deposit for Housing Choice Voucher Landlords
Implemented FY2010

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

<table>
<tr><td>B.
Analysis of Impact on Stated Objective</td><td>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.</td></tr>
<tr><td>C.
Actual Performance v. Baseline/Benchmark</td><td>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. At baseline, HANH was saving $57,060 in processing costs for the 49% of LL who had direct deposit. It was anticipated that additional savings could be generated by increasing the number of LL receiving the HAP by direct deposit.

Goal: HANH seeks to increase direct deposit utilization to 100%. In order to reach this goal, all new owners are required to enter in Direct Deposit Agreements. Additional outreach to existing landlords will occur to transition those LL as well.

HANH implemented a mandatory Direct Deposit Program during FY2010 in which all new landlords are enrolled in direct deposit.

<table>
<tr><th>Year</th><th># LL with direct deposit</th><th>Total # LL</th><th>% enrolled</th><th>Estimated savings</th></tr>
<tr><td>2009</td><td>634</td><td>1,300</td><td>49%</td><td>$57,060</td></tr>
<tr><td>2010</td><td>889</td><td>1320</td><td>67%</td><td>$80,010</td></tr>
<tr><td>2011</td><td>918</td><td>1321</td><td>69%</td><td>$82,620</td></tr>
<tr><td>2012</td><td>935</td><td>1329</td><td>70%</td><td>$84,150</td></tr>
</table>

The cost to process one check is estimated at $7.50. The increase in enrollment during FY2012 saves an additional $1,530.00 over the previous year for an annual savings of $84,150.

HANH will continue to outreach to landlords during FY2013 to discuss the benefits of direct deposit.</td></tr>
<tr><td>D.
Were benchmarks revised?</td><td>No</td></tr>
<tr><td>E. Revisions to Data collection methodology</td><td>None</td></tr>
<tr><td>F. Did authorization change?</td><td>No change.</td></tr>
</table>

G. Authorization Cited	The Amended and Restated MTW Agreement Attachment C Section D.1 authorizes HANH to determine the term and content of the HAP contracts to owners during the term of the MTW demonstration.

VII. Sources and Uses of Funding

A. Unaudited Financial Statements

	Planned	Unaudited Actual
Sources		
Rent	$4,628,738	$3,793,064
Operating Subsidy	$13,467,735	$15,884,888
Capital Grants	$2,162,719	$2,106,243
Other Revenue	$982,497	$779,913
HCV Subsidy	$52,394,748	$53,422,696
Developer Fees	$420,000	$137,836
CFFP Bond	$4,002,148	$1,519,538
Prior Year MTW Transfer		$4,836,469
Total Sources	**$78,058,585**	**$82,480,647**
Uses		
LIPH	$18,739,820	$17,748,855
HCV Administration	$2,642,980	$2,475,452
Community and Economic Development Salaries/Administrative	$417,320	$574,105
COCC Deficit - does not include Supportive Services $967,861	$967,861	$4,072,715
HCV HAP Expenses	$37,500,000	$40,207,711
Project Based Vouchers		
Brookside Phase 1 Rental	$615,000	$0
William T Rowe	$480,000	$457,042
Val Macri	$189,000	$0
Mutual Housing - New Units	$300,000	$26,922
CUHO	$100,800	
Foreclosure	$225,000	
Total Project Based and Other Vouchers	$1,909,800	$483,964
Supportive Housing- MTW Initiatives		
Family and Youth Coordinator	$78,400	$78,400
Eastview terrace Youth Services	$182,000	$110,738
McQueeney Supportive Services	$153,000	$130,947
Crawford Manor Supportive Services	$219,000	$147,248
Ruopolo Manor	$95,000	$77,888
Robert T. Wolfe	$147,500	$108,705
William T. Rowe	$78,000	$0
Winslow Celentano	$138,000	$1,105
Fairmont $138,000	$138,000	$4,207
Total Supportive Housing - MTW Initiatives	$1,228,900	$659,238
Capital Projects - MTW Initiatives, using CFP and MTW Funds		

Agency Wide UFAS Compliance	$100,000	$81,149
Agency wide vacancy reduction	$385,000	$1,307,289
Agency wide property damage repairs	$150,000	$282,614
Fulton Park Structural Repairs	$100,000	$0
McConaughy Terrace - furnance and water heater	$72,000	$0
McConaughy Terrace - interior repairs	$220,000	$0
McConaughy Terrace - off site sewar repair	$225,000	$0
Ruopolo Manor - security & elevator upgrade	$117,619	$169,536
Westville Manor - erosion control Phase 2	$100,000	$0
20-24 Westminster Rehabilitation/Rebuild	$200,000	$0
Val Macri Structural Remediation	$150,000	$82,043
IQC A/E Boroson	$75,000	$66,435
IQC A/E O'Riordan Migani	$75,000	$71,277
IQC A/E Zared	$75,000	$56,548
IQC A/E Environmental Eagle	$75,000	$45,979
IQC A/E Environmental Environmed	$150,000	$73,883
IQC A/E Fuss & O'Neill	$75,000	$41,424
Capital projects Contingency	$310,719	
FY2011 Carryover Projects		$279,921
Total Capital Projects - MTW Initiatives, using CFP and MTW Funds	$2,655,338	$2,558,098
Development Projects - MTW Initiatives, using CFP and MTW Funds		
Development expenses	$675,000	$1,505,329
CFFP Bond Repayment (CFP Funds) - Brookside	$1,518,288	
Brookside I Rental	$2,058,890	$2,730,228
Brookside IB Infrastructure	$683,750	
Brookside Homeownership	$745,524	$397,873
Rockview - I Rental	$774,496	$28,521
122 Wilmot	$5,490,618	$4,490,383
Farnum and Fair Haven		$919,504
Valley		$164,568
Ribicoff		$241,459
Val Macri		$12,181
Rowe Demolition		$632,780
Rowe		$2,562,979
Columbus House	$50,000	$14,703
Total Development Projects - MTW Initiatives, using CFP and MTW Funds	$11,996,566	$13,700,508
Total Uses	**$78,058,585**	**$82,480,646**
Surplus/(Deficit) $	$0	$0

The Authority has entered into contracts for major repairs, renovations and development of its properties that will result in a significant reduction in Authority current liquid reserves and accumulation of future liquid reserves. Subsequent to September 30, 2011 the aggregate commitment of current funds to date for uncompleted contracts aggregated approximately **$22.3** million. Additional contracts in excess of **$22.6** million are in various stages of approval with a high expectation of commitment in near future years. The funds required to pay these contract commitments are currently held in reserve accounts in the name of the Authority or will be earned by the Authority in near future years.

Contracts ($22.3million)

Rowe Land Swap Escrow – closed in FY2010- $5.2

Rowe Environmental – closed in FY2010- $.5

QT III Costs – closed in FY2010 - $1788,149

Rowe Costs – closed in FY2010 - $1,946,043

Brookside Phase 1 Rental – closed in FY2011 (October 2010) - $124,991

Brookside Home Ownership – closed in FY2011 - $1,172,882

In approval stages – ($22.6 million)

Brookside Phase 2 Rental -closed FY 201120112011 $91,873

Rockview Phase 1 Rental - expected to close FY 201320132013 $6,607,714

122 Wilmot Road - closed FY 2012 $3,116,633

Farnam Courts – expected to close 2014 - $25,000,000

Ribicoff Cottages and Extensions – expected to close 2013 - $5,000,000

295 Wilmot Road (Community Center) expected to close 2013 - $2,500,000

HANH expended the balance of its ARRA formula based funds during FY2012:

Administration	Program Administration	$
Scattered Sites	Repair and Abate Vacancies;	$ 25,161
Essex Townhouses	Repair and Abate Vacancies; PNA	$
Fairmount	PNA	$ 15,000
Ruoppolo Manor	PNA	$
Winslow Celentano	Repair and Abate Vacancies; PNA	$
Farnam Courts	Repair and Abate Vacancies; PNA	$
McQueeney	Kitchens and Bathrooms, PNA	$
Rowe	PNA	$
Crawford Manor	Façade and Roof Repair; PNA	$ 3,277
Newhall Gardens	Heating System Upgrade, Mold Remediation and Flooring; PNA	$ 3,277
Waverly	Repair and Abate Vacancies; PNA	$
Valley	Repair and Abate Vacancies; PNA	$ 15,000
McConaughy	Repair and Abate Vacancies; PNA;	$

	Furnace Replacement	
Abraham Ribicoff Cottages and Extension	Mold and Asbestos Remediation: PNA	$
Westville Manor	Repair and Abate Vacancies; PNA	$
Katherine Harvey	PNA	$ 3,277
C.B. Motley	PNA	$ 3,277
Wolfe	PNA	$ 3,277
Val Macri	PNA	$ 6,674
	Total for FY2012	**$ 78,220**

B. Planned Sources and Expenditures of State or Local Funds

State

Project	Funding source	Planned Expenditure	Actual
Brookside Rental Phase 1	CHFA Construction Loan	$ 0	$ 29,884

Local

Project	Funding source	Planned Expenditure	Actual
Brookside	City of New Haven	$3,500,000.00	$3,069,902
Ruoppolo Manor UFAS conversion	City of New Haven	$271,800	$ 20,206

C. Planned vs. Actual Use of COCC

FY2012	**Budget**	**Unaudited Actual**
Sources		
Management Fees	$2,435,106	$1,899,515
Bookkeeping Fees	$688,820	$412,575
Capital Administration	$240,062	$266,105
Fee For Service	$1,116,991	$0
Total COCC Sources	$4,480,979	$2,578,195
Uses		
Administrative and Operating Costs	$5,448,840	$6,650,910

Total COCC Uses	$5,448,840	$6,650,910
Net Surplus/ (Deficit) - transferred to MTW Use	($967,861)	($4,072,715)

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

Not applicable

Description of How Fungibility was Used

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

	Unaudited FY 2012 Total	FY2012 Budget														
		HANH SOURCES									*NON-HANH SOURCES*					
		ROSS	*Capital Grants*	*RHF Grants*	*ARRA Competitive*	*ARRA Formula*	*Developer Fees*	*CFFP/Tax Exempt Bond*	*Other*	*MTW*	*State Tax Credit*	*City of New Haven*	*Tax Credit Equity*	*DECD*	*Bank Loan*	*Other*
Community and Economic Development																
Supportive Housing Salaries/Administrative	$1,354,525	$381,936							$398,484	$574,105						
Family and Youth Coordinator	$78,400									$78,400						
Eastview terrace Youth Services	$110,738									$110,738						
McQueeney Supportive Services	$130,947									$130,947						
Crawford Manor Supportive Services	$147,248									$147,248						
Ruopplo Manor	$77,888									$77,888						
Robert T. Wolfe	$108,705									$108,705						
William T. Rowe	$0									$0						
Winslow Celentano	$1,105									$1,105						
Fairmount	$4,207									$4,207						
Total Community and Economic Development	**$2,013,763**	**$381,936**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**	**$398,484**	**$1,233,343**	**$0**	**$0**	**$0**	**$0**	**$0**	**$0**
Capital Projects																
Ruppolo Manor - UFAS Conversion	$195,319				$175,113							20,206				
McQueeney - Kitchens and Bathrooms; PNA	$0															
Crawford Manor - Façade and Roof repair; PNA	$0															
McConaughy - Repair and Abate Vacancies; PNA; Furnace Replacement	$0															
Abraham Ribicoff Cottages and Extension - Mold and Asbestos Remediation; PNA	$0															
Agency Wide UFAS Compliance	$81,149		$81,149													
Agency wide vacancy reduction	$1,310,566		$1,307,289			$3,277										
Agency wide property damage repairs	$282,614		$282,614													
Fulton Park Structural Repairs	$0															
McConaughy Terrace - furnance and water heater	$0															
McConaughy Terrace - interior repairs	$0															
McConaughy Terrace - off site sewar repair	$0									$0						
Ruopplo Manor - security & elevator upgrade	$169,536									$169,536						
Westville Manor - erosion control Phase 2	$0															
20-24 Westminster Rehabilitation/Rebuild	$0															
Val Macri Structural Remediation	$82,043									$82,043						
IQC A/E Boroson	$66,435		$66,435													
IQC A/E O'Riordan Migani	$71,277		$71,277													
IQC A/E Zared	$56,548		$56,548													

IQC A/E Environmental Eagle	$45,979		$45,979													
IQC A/E Environmental Environmed	$73,883		$73,883													
IQC A/E Fuss & O'Neill	$41,424		$41,424													
Physical Needs Assessments						$74,943										
FY2011 Carryover Projects			$279,921													
Capital projects Contingency	$0															
Total Capital Programs	$2,281,454	$0	$2,306,519	$0	$175,113	$78,220	$0	$0	$0	$251,579	$0	$20,206	$0	$0	$0	$0
Development																
Development expenses	$1,505,328									$1,505,328						
CFFP Bond Repayment (CFP Funds) - Brookside Phase I	$1,519,538			$1,519,538												
Brookside I Rental	$6,636,256				$806,242			$1,519,538		$1,210,690		3,069,902				29,884
Brookside IB Infrastructure	$0															
Brookside Homeownership	$397,873									$397,873						
Rockview - I Rental	$28,521									$28,521						
122 Wilmot	$4,490,383									$4,490,383						
Farnum and Fair Haven	$919,504									$919,504						
Valley	$164,568									$164,568						
Ribicoff	$241,459									$241,459						
Val Macri	$12,181									$12,181						
Rowe Demolition	$1,145,095									$1,145,095						
Rowe	$1,664,169													$1,664,169		
Columbus House	$14,703									$14,703						
Total Development Projects	$18,739,578	$0	$0	$1,519,538	$806,242	$0	$0	$1,519,538	$0	$10,130,305	$0	$3,069,902	$0	$1,664,169	$0	$29,884
LIPH Operating Deficit Funding - Prior Year Reserves	$0															
COCC Operating Deficit Funding	$4,072,715									$4,072,715						
TOTAL SOURCES	**$27,107,510**	**$381,936**	**$2,306,519**	**$1,519,538**	**$981,355**	**$78,220**	**$0**	**$1,519,538**	**$398,484**	**$15,687,942**	**$0**	**$3,090,108**	**$0**	**$1,664,169**	**$0**	**$29,884**

MTW Initiatives Requiring MTW Funding Fungibility Only

Modernization/Capital Improvement Program

HANH ambitious modernization program is made possible by the funding flexibility of the MTW program and enables improvements listed in the above table at the following developments: Ruoppolo Manor, McQueeney Towers, Crawford Manor, McConaughy Terrace; Ribicoff Cottages and Extensions; Fulton Park, Valentina Macri, Westville Manor and various vacancy reduction and UFAS compliance initiatives agency-wide. It also supports the architect/engineering services required by these activities and the abatement testing, remediation and monitoring associated costs. During FY12 the projects at McQueeney, Crawford Manor, Valentina Macri and Ruoppolo were completed. The projects at McConaughy Terrace, Fulton Park, Westville Manor, and UFAS compliance are on-going. During FY12 the project at Fulton Park was deferred until FY13 due to capacity issues. Vacancy Reduction initiatives have allowed HANH to continue to show improvement from the baseline FY08 vacancy rate of 10%. HANH closed the fiscal year with a vacancy rate of 5%

Supportive Services/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; Section 3 employment and training; job skills training; education support; specialized job training program; SEHOP capital improvement program; youth initiative and the community re-entry program.

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

Income Targeting/Deconcentration of Poverty

Housing Choice Voucher: By providing participants with additional information to aid their housing search in areas of low-poverty, HANH may facilitate participant's expanded housing search. HANH utilizes real estate consultants to assist in the identification of units in areas of low poverty and link participants to these units. During FY 2012, this initiative continued.

Low Income Public Housing: 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). HANH's new admissions to LIPH consisted of 81% residents in the Extremely Low income category and 91% in the very low income categoryy. 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 other sections of this MTW Annual Report. As this data indicates, the vast majority (80% 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 80% of HANH's residents at the extremely low-income level, this creates challenges in creating viable communities. The result becomes communities plagued 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.*

Income targeting has been successfully initiated at the following developments: Eastview Terrace, the New Rowe and Brookside Phase I. The percentage of extremely low income residents in HANH's traditional developments is 83%. The percentage in HANH's mixed finance development 69%. HANH's efforts will continue to focus on diversification of income for residents at traditional developments.

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 initiative continued in FY2012.*
- *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 enhanced the efforts of Resident Owned Businesses in becoming more technically proficient and innovative companies in offering comprehensive goods and services. HANH's goal was to create three new Resident Owned Businesses during FY 2012. Two (2) new businesses were launched.*
- *SEHOP Capital Improvement Program. HANH launched the Capital Improvement Program during FY2010 and continued this program during FY2012. This program supports new homeowners with necessary capital improvements that arise after being in the home for a minimum of three years. Twenty-three (23) homeowners participate in the program.*

Redevelopment Initiatives

HANH has one of the most ambitious redevelopment programs and it is made possible through MTW funding flexibility. Projects additionally are made possible through the HANH Alternative TDC and its authority to provide project based vouchers in excess of 25 percent of the units. Currently, the following major redevelopments are underway:

William T. Rowe Redevelopment: - Completed

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

122 Wilmot Road – Under Construction

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

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

West Rock Revitalization (Brookside Phase I, Brookside Phase II and Rockview Phase I)::
HANH received approval of HUD to dispose of the Brookside property in FY 2010. HANH requested 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 - Completed
The phase for which RHF funds will be used is Brookside Phase I Rental. The phase will consist of 101 family units in two-story townhouse structures. The projected subsidy mix is 50% Public Housing and 50% Project-based Section 8, with all units also being Low Income Housing Tax Credit units under Section 42. The units are a mix of one-, two-, three and four-bedroom units, including 14 handicapped-accessible units.

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

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

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

FY2010:
Submitted application for HOPE VI – 11/19/10
Application for CFFP submitted to HUD – 2/10/10

Updated RHF Plan for Use of 2007, 2008 and 2009 approved by HUD in FY 2010
Disposition Application submitted to HUD and approved in FY 2010

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

FY2012
Construction Completion - FY2012

Brookside Phase II and 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 commenced Brookside Phase II consisting of 100 units and 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.

Fungability**: **Implemented: FY2007 (clarified and included as an initiative in 2012 MTW Plan)
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 for Brookside Phase I Rental, Brookside Phase 2 Rental, Rockview Phase 1 Rental, and 122 Wilmot Road. The use of fungibility, allows HANH's to produce housing for a broader range of income residents and broader range of housing types.

Measures of success of this initiative include the range of housing types produced and range of incomes that occupy these types of housing. To date we have completed Quinnipiac Terrace Phase III Rental which encompasses 17 ACC, 16 PBV; Eastview Terrace which encompasses 102 units, with 14 units above 50% of the AMI or 13.7%. Brookside Phase 1 Rental which encompasses 101 units with 50 units above 50% AMI or 50% of the units. Brookside Homeownership allowed for the completion of 6 units. William T. Rowe, encompasses 26 market rate units out of the 104 or 25% of the units are market rate.

VIII. Administrative

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

Voluntary Compliance Agreement

HANH executed the Voluntary Compliance Agreement (VCA) regarding Fair Housing and Equal Opportunity in June 2007 and has designated a Reasonable Accommodations Coordinator and the Accessible-Unit Construction/Rehabilitation Coordinator. Throughout FY2012 Quarterly reports on HANH's compliance with the VCA's obligations have been submitted.

HANH has welcomed three monitoring visits since execution of the VCA; however a visit was not scheduled during FY 2011 or FY2012. All of the reports have recognized significant progress made by HANH in meeting the goals outlined. At this point, HANH is focused on development of the planned UFAS units and common area modifications

B. Results of Agency Directed Evaluations of Demonstration

HANH has contracted with an outside evaluator to assess HANH's MTW program and the effectiveness of MTW initiatives. See Appendix for preliminary findings.

C. Performance and Evaluation Report for Capital Fund activities not included in the MTW Block Grant –RHF funds

HANH intended to use the FY 07, 08 and 09 funds for development of a Phase 1 of the Brookside revitalization project and the William T. Rowe project, as well as to either accumulate these funds for these projects. FY 2010RHF funds will be used to pay debt services of the CFFP Financing as set forth under 24 CFR Part 990.440. Part 990.400 permit PHAs to pledge up to 50 percent of RHF funds to repay debt associated with the development of replacement units. Both the Brookside Phase I and New Rowe projects have been completed during FY2012.

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

Grant	Total Grant Amount	Increment	New Obligation Deadline	New Expenditure Deadline
CT26R00450107	$541,850	1st	10/12/10	10/12/12
CT26R00450207	$568,890	2ND	10/12/10	12/12/12
CT26R00450108	$871,883	1st	10/12/10	12/12/12
CT26R00450208	$177,216	2nd	10/12/10	10/12/12
CT26R00450109	$896,759	1st	09/14/12	09/14/14

CT26R00450209	$154,619	2nd	09/14/11	09/14/13
CT26R00450409	$403,299	3rd	04/01/12	04/01/14
Total	**$3,614,516**			

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.

Description of Projects

Brookside Phase 1 Rental - Completed

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

William T. Rowe - Completed

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.

122 Wilmot Road – Under Construction

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

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

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

CFFP Financing

RHF funds for FY 2010 through 2021 will be used, pursuant to 24 CFR Part 990.440, to provide security for repayment of debt for the development of replacement units at the site. Part 990.400 permit PHAs to pledge up to 100 percent of these funds to repay debt associated with the development of replacement units at Brookside Phase 1 Rental and 122 Wilmot Road.

Key Milestones for Projects

Brookside Phase 1 Rental

Construction Started
January 14, 2011
Construction Completion
November 2012

Brookside Homeownership

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

William T. Rowe -***completed***

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

CFFP Financing

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

D. Certification that the Agency has met the three Statutory Requirements

Initial Incomes of Families Assisted by MTW

At 91.72%, HANH has met the requirement that 75% of families assisted be below 50% of AMI at admission.

Fiscal Year	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017
Total number of newly admitted families assisted	344	329	344	425	433	447					
Number of families with incomes below 50% of area median	332	310	322	387	394	410					
Percentage of families with incomes below 50% of area median	96.50%	94.22%	93.60%	91.06%	90.99%	91.72%					

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

Baseline number of families to be served (total number of families)[1]	4,101
Total number of families served this fiscal year (HCV:2,975; LIPH: 2,161)	5,136
Numerical Difference	+1,035
Percentage Difference	+ 25%

HANH has served considerably more families since achieving MTW status primarily through its modernization and redevelopment efforts made possible by MTW flexibility. During FY12 HANH served 25% more families than at baseline.

1 Based upon agreed upon baseline calculation discussions with HUD (March 2012)

Housing Authority of New Haven (CT004)

	Agreement Year BASELINE September 2001	FY2002	FY2003	FY2004	FY2005	FY2006	FY2007	FY2008	FY2009	FY2010	FY2011	FY2012	FY2013
Families Served through MTW Public Housing	1,970	2,086	1,895	1,737	1,640	1,553	1,531	2,359	1,898	2,017	2,294	2,161	
Families Served through MTW Vouchers	2,857	2,889	2,994	3,176	3,454	3,312	3,106	3,030	3,042	3,075	3,089	2,975	
Other Families Served through MTW	0	0	0	0	0	0	0	0	0	0	0		
NUMERATOR - Families Served Total	**4,827**	**4,975**	**4,889**	**4,913**	**5,094**	**4,865**	**4,637**	**5,389**	**4,940**	**5,092**	**5,383**	**5,136**	**0**
Baseline Number of Families (Public Housing)	1,970	1,970	1,852	1,852	1,575	1,432	1,490	1,365	1,303	1,061	1,061	1,060	1,060
Incremental Increase to Baseline	0	36	0	0	0	58	28	28	53	0	0	0	0
Incremental Decrease to Baseline	0	-154	0	-277	-143	0	-153	-90	-295	0	-1	0	0
Baseline Number of Families (Vouchers)	2,857	2,857	2,934	2,934	2,934	2,992	3,026	3,026	3,026	3,026	3,032	3,041	3,041
Incremental Increase to Baseline	0	77	0	0	58	34	0	0	0	6	9	0	0
Incremental Decrease to Baseline	0	0	0	0	0	0	0	0	0	0	0	0	0
DENOMINATOR - Baseline Total	**4,827**	**4,786**	**4,786**	**4,509**	**4,424**	**4,516**	**4,391**	**4,329**	**4,087**	**4,093**	**4,101**	**4,101**	**4,101**
% TOTAL	**100%**	**104%**	**102%**	**109%**	**115%**	**108%**	**106%**	**124%**	**121%**	**124%**	**131%**	**125%**	**0%**
Compliance Determination	**N/A**	**N/A**	**N/A**	**N/A**	**N/A**	**N/A**	**N/A**	**N/A**	**N/A**	**C**			

Data Source Families Served		
Source	*Year*	*Amount*
September 2001 - Vouchers - Pulled from page 184 of HANH's FY2002 Annual MTW Report.	FY2001	2,857

September 2001 - Public Housing - Pulled from last page of HANH's FY2002 Annual MTW Report.	FY2001	1,970
FY2002 - Vouchers - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2002	2,889
FY2002 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2002	2,086
FY2003 - Vouchers - Pulled from September 2003 VMS Report that includes: 2,946 MTW and 48 All Other.	FY2003	2,994
FY2003 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2003	1,895
FY2004 - Vouchers - Pulled from September 2004 VMS Report that includes: 3,176 MTW.	FY2004	3,176
FY2004 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2004	1,737
FY2005 - Vouchers - Pulled from September 2005 VMS Report that includes: 3,333 MTW and 121 HOPE VI.	FY2005	3,454
FY2005 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2005	1,640
FY2006 - Vouchers - Pulled from September 2006 VMS Report that includes: 3,306 MTW, 1 All Other and 5 Tenant Protection.	FY2006	3,312
FY2006 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2006	1,553
FY2007 - Vouchers - Pulled from September 2007 VMS Report that includes: 3,106 MTW.	FY2007	3,106
FY2007 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2007	1,531
FY2008 - Vouchers - Pulled from September 2008 VMS Report that includes: 3,030 MTW.	FY2008	3,030
FY2008 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2008	2,356

FY2009 - Vouchers - Pulled from September 2009 VMS Report that includes: 3,042 MTW.	FY2009	3,042
FY2009 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2009	1,898
FY2010 - Vouchers - Pulled from September 2010 VMS Report that includes: 19 Homeownership, 2,873 MTW, 168 Ports and 15 Tenant Protection.	FY2010	3,075
FY2010 - Public Housing - Pulled from HANH FY2010 Annual MTW Report (page 11).	FY2010	2,017
FY2011 - Vouchers - Unit month average pulled from VMS (see third tab).	FY2011	3,089
FY2011 - Public Housing - Pulled from Development Detail Report for 09.27.11. Includes 178 units approved for demo/dispo. This is out of 2,542 (occupancy rate of 90%).	FY2011	2,294
FY2011 - Other MTW Families Served - Obtain information from agency.	FY2011	

Incremental Increases/Decreases to Baseline			
Reason for Change	*Program*	*Year of Change*	*Change Amount*
Voucher Baseline - HANH gives "Section 8 Participant Demographics" on page 184 of their FY2002 Annual MTW Report. This number is given as of the beginning of FY2002 (which would be October of 2001). This is very close to when HANH signed their MTW Agreement. Best number available.	HCV	FY2001	2,857

Public Housing Baseline - HANH gives public housing households served as 1,146 (families) and 824 (elderly) at the beginning of FY2002 (which would be October of 2001). This is very close to when HANH signed their MTW Agreement. Best number found.	PH	FY2001	1,970
Public Housing - 154 actual units demo/dispo in 2002. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2002	-154
Public Housing - 36 HOPE VI public housing units added in 2002. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY2002	36
Vouchers - 77 Enhanced Vouchers became part of MTW program on 8/1/02.	HCV	FY2002	77
Public Housing - 277 actual units demo/dispo in 2004. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2004	-277
Vouchers - Housing Conversion for Ethan Gardens (28 in 01/05). Housing Conversion for Eastview Terrace (30 in 05/05).	HCV	FY2005	58
Public Housing - 143 actual units demo/dispo in 2005. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2005	-143
Vouchers - Housing Conversion for Canterbury Gardens (34 in 12/05).	HCV	FY2006	34
Public Housing - 58 HOPE VI public housing units added in 2006. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY2006	58
Public Housing - 153 actual units demo/dispo in 2007. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2007	-153

Public Housing - 28 HOPE VI public housing units added in 2007. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY2007	28
Public Housing - 90 actual units demo/dispo in 2008. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2008	-90
Public Housing - 28 HOPE VI public housing units added in 2008. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY2008	28
Public Housing - 53 new units brought online at Eastview Terrace.	PH	FY2009	53
Public Housing - 295 actual units demo/dispo in 2009. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2009	-295
Vouchers - Housing Conversion for 77-79 Orchard Street Apartments (6 in 08/10).	HCV	FY2010	6
Vouchers - William T. Rowe Apartments (9 in 7/11).	HCV	FY2011	9
Public Housing - ADJUSTMENT - Demo/dispo report for FY2010 was updated to show one actual unit demolished.	PH	FY2011	-1

MTW Start Date: 09.28.01

HANH Fiscal Year: 10/01-09/30

Baseline for the Mix of Family Sizes to Be Served

	1 person	2 people	3 people	4 people	5 people	6+ people	Total
Baseline percentages of family sizes to be maintained	32.01%	24.05%	19.97%	12.95%	6.07%	4.95%	100%
Number of families served by family size this fiscal year	2,032	1,190	937	551	270	155	5,135
Percentage of families served by family sizes this fiscal year	39.57%	23.17%	18.25%	10.73%	5.26%	3.02%	100%
Percentage Difference	+7.56%	-0.88%	-1.72%	-2.22%	-0.81%	-1.93%	

HANH has continued to serve virtually the same mix of family sizes since baseline. An approximate 7% increase in 1 person families has been noted which is accounted for by HANH's complete modernization of its elderly only developments which feature primarily 1 person units.

To: Board of Commissioners

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

Date: December 18, 2012

RE: Approval of MTW Annual Report for FY 2012

ACTION:	Recommend that the Board of Commissioners adopt Resolution Number 12-272/12-R
TIMING:	Immediately.
DISCUSSION:	As a Moving to Work (MTW Agency, in lieu of the five year and annual plans required of other agencies, HANH is required to submit to HUD an annual MTW Plan and an Annual MTW Report. The MTW Annual Report is prepared at the end of each fiscal year. It reports HANH's progress and challenges in achieving the objectives established in the Annual Plan for the year. The MTW Annual Report must be submitted to HUD within 90 days after the end of the fiscal year (by December 31th). Attached is a copy of HANH's proposed MTW Annual Report for Fiscal Year 2012. This resolution requests the Board's authorization for the Executive Director to submit to the U.S. Department of Housing and Urban Development (HUD) the MTW Annual Report for FY 2012, and all required and related certifications, documents and HUD forms.
STAFF:	Karen DuBois-Walton, Ph.D. Executive Director

Housing Authority of the City of New Haven

Resolution Number 12-272/12-R

APPROVING THE SUBMISSION OF HANH'S MTW REPORT FOR FY 2012

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

WHEREAS, HANH has signed an MTW Agreement with HUD regarding the operation of HANH's MTW program; and

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

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF COMMISSIONERS OF THE HOUSING AUTHORITY OF THE CITY OF NEW HAVEN that the Board Authorizes the Executive Director to take such actions and execute such documents as necessary to finalize and submit to the U.S. Department of Housing and Urban Development HANH's MTW Annual Report for Fiscal Year 2012, including all required certifications, documentation, and HUD forms, of which this Board Resolution is a part.

I hereby certify that the above resolution was adopted by a majority of the Commissioners present at a meeting duly called at which a quorum was present, on December 18, 2012.

Karen DuBois-Walton, Ph. D.
Secretary/Executive Director
12.18.12
Date

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

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

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

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 Report for the PHA fiscal year beginning October 1, 2009, hereinafter referred to as "the Report", 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:

The PHA made the proposed Report 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 Report and invited public comment.
The PHA will carry out the Report 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.
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.
The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
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.
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.
The PHA has submitted with the Report a certification with regard to a drug free workplace required by CFR Part 24, Subpart F.
The PHA has submitted with the Report 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.
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.
The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
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.
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.
The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
The PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.

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).

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.

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

Housing Authority New Haven
PHA Name

CT004
PHA Number/HA Code

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

Title: Chairman

Signature

Date December 18, 2012

APPENDIX A

DOCUMENTATION OF PUBLIC HEARING AND PUBLIC COMMENT PERIOD

HANH's MTW Annual Report was made available for public comment on November 2, 2012. A copy of the notice placed in the New Haven Register is attached.

A Public Hearing was conducted on November 26, 2012 at 5:00 P.M. at 358 Orange Street.

The Report was approved by the Board of Commissioners on December 18, 2012 via Resolution Number #12-272/12-R.

Housing Authority of New Haven
Public Hearing Amendment #1 2013 Moving to Work Annual Report
Monday, November 26, 2012 @ 5:00 pm
360 Orange Street, New Haven, CT 06511

Attendance:
Brigitta Henderson, HANH
Catherine Hawthorne, HANH
Greg Harbolis, HANH
Renee Dobos, HANH

I. Meeting started at 5pm by Renee Dobos.

Renee Dobos 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 MOVING TO WORK 2012 ANNUAL REPORT

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 Report to the U.S. Department of Housing and Urban Development (the "HUD") that it must conduct a public hearing, consider comments from the hearing on the proposed amendments, obtain approval from the Board of Commissioners, and submit the amendments to HUD.

Pursuant to said Section VI B, the Authority will conduct a public hearing on **Monday, November 26, 2012 at 5:00 PM, in the 3rd floor Board of Commissioners Conference Room at 360 Orange Street, New Haven, CT 06511** to receive comments and recommendations. A copy of the report will be available for review starting **November 2, 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 Report, Attn: Brigitta Henderson, P.O. Box 1912, New Haven, CT 06509-1912. Any individuals requiring a reasonable accommodations to participate in the hearing may call Teena Bordeaux, Reasonable Accommodations Coordinator for HANH at 498-8800 extension 1507 or at the TDD Number 497-8434

At 5:08pm the meeting was then opened to take public comments.

Public Comments:
NONE

The meeting was adjourned at 5:15pm.

Appendix B

Local Asset Based Management:

Under the First Amendment to the MTW Agreement 10-15-08, HANH is permitted to design and implement its own Local Asset Based Management Program so long as the HANH and HUD agree that the principles and understanding outlined in the Amendment are adhered to. HANH developed a program wherein Excess Operating Reserves are funded from the General Fund Account and will be used to cover deficits through a journal voucher once per year to ensure that the transfer of funds from the General Fund to a project to cover any operating deficits are reflected on the income and expense statement of the project.

HANH used property level management accounting and budgeting for direct costs incurred by each property. Each project is charged a management fee of $63.29 per unit per month, bookkeeping fee of $7.50 per unit per month, asset management fee of $10 per unit per month and other fees that are reasonable and appropriate for services carried out by the Central Office Cost Center. The cost of vacant unit turnovers will be charged to projects based on the fee schedule for turnovers set forth in the third party unit turnover contract which was obtained through competitive procurement. Cost of legal services will be fee for service basis by charging the project for actual services performed by staff and outside counsel for direct services.

An indirect cost approach is used for the cost of implementing the CFP; leasing; centralized wait list; resident services supervisory staff and rent collection all of which are pro rated based upon the number of ACC units. Security costs will be allocated based upon fee schedule set forth in the third party security contract. Proceeds from the CFP, energy performance contracts and other similar sources to support project operations are not reflected in the operating statements for each project.

The COCC operates on the allowable fees and other permitted reimbursements from its LIPH and HCV programs, as well as revenues generated from non-public housing programs. HANH systematically reviews information regarding the financial, physical and management performance of each project and identifies non-performing assets. All non-performing assets will have a management plan that includes a set of measurable goals to address. During FY2009, HANH conducted an updated Physical Needs Assessment for each project. The work was completed in FY2010 and will be fully reported in the FY10 report. Finally, HANH has implemented a Risk Management Program in accordance with §990.270.

APPENDIX C

RESEARCH AND EVALUATION

During FY2010, HANH conducted a public procurement to select an evaluator for HANH's MTW program. Four responses were received. HANH selected EuQuant as the most responsive proposal. HANH entered into a contract with EuQuant for quantitative and qualitative analysis of Its MTW Program.

During FY2011 and FY2012, HANH continued to analyze its MTW Program. This evaluation focuses on determining the effectiveness of each MTW initiative toward meeting one of three statutory goals. Results are attached.

Preliminary results of the FY 2012 Evaluation

NEIGHBORHOOD CHARACTERISTICS IN THE CITY OF NEW HAVEN

	Poverty Rate	Violent Crime Rate_1000	School Ranking	Median Home value
	Mean	Mean	Mean	Mean
AMITY	23.5	27.9	50	$201,500
ANNEX	16.8	23.3	58	$216,400
BEAVER HILLS	19.0	25.3	47	$257,600
CITY POINT	36.1	35.1	55	$189,500
DIXWELL	28.6	46.0	62	$152,100
DOWNTOWN	27.1	35.4	46	$223,915
DWIGHT	40.5	31.7	49	$280,000
EAST ROCK	17.8	5.4	39	$494,361
EAST SHORE	5.5	4.8	48	$252,800
EDGEWOOD	19.4	32.5	51	$301,200
FAIR HAVEN	29.2	32.3	61	$195,478
HILL	38.9	29.3	66	$175,637
LONG WARF	63.4	50.4	64	$304,500
MILL RIVER	11.5	19.4	44	$276,400
NEWHALLVILLE	26.4	47.2	56	$170,100
OUTBOUND PORT LOCATION	17.7	.6	33	$226,100
PROSPECT HILL	16.5	16.5	45	$387,100
QUINNIPIAC MEADOWS	17.0	18.5	52	$187,100
WEST RIVER	23.2	31.7	57	$188,700
WEST ROCK	43.5	33.7	53	$191,600
WESTVILLE	7.4	6.1	42	$298,675

WOOSTER SQUARE	22.1	44.7	54	$265,000
AVERAGE	28.6	32.0	56	$219,847

AVERAGE POVERTY RATE OF NEIGHBORHOODS WHERE FAMILIES RESIDED IN 2012

	Poverty Rate
	Mean
ELDERLY ONLY PROPERTIES	28.9
ELDERLY AND DISABLED PROPERTIES	32.7
FAMILY DEVELOPMENTS	26.5
MIXED-INCOME DEVELOPMENTS	27.9
MOD-REHAB SRO PROPERTIES	40.4
PROJECT BASED VOUCHERS	33.6
SCATTERED SITE PROPERTIES	17.5
TENANT BASED VOUCHERS	27.9
VETERANS SUPPORTIVE HOUSING	24.7
Total	28.6

AVERAGE HOME VALUE OF NEIGHBORHOODS WHERE FAMILIES RESIDED IN 2012

	Median Home value
	Mean
ELDERLY ONLY PROPERTIES	$160,328
ELDERLY AND DISABLED PROPERTIES	$284,508
FAMILY DEVELOPMENTS	$220,337
MIXED-INCOME DEVELOPMENTS	$191,945

MOD-REHAB SRO PROPERTIES	$276,899
PROJECT BASED VOUCHERS	$215,382
SCATTERED SITE PROPERTIES	$210,953
TENANT BASED VOUCHERS	$211,749
VETERANS SUPPORTIVE HOUSING	$219,670
Total	$219,847

AVERAGE PERFORMANCE OF ELEMENTARY SCHOOLS IN NEIGHBORHOODS WHERE FAMILIES RESIDED IN 2012

	School Ranking
	Mean
ELDERLY ONLY PROPERTIES	61
ELDERLY AND DISABLED PROPERTIES	53
FAMILY DEVELOPMENTS	53
MIXED-INCOME DEVELOPMENTS	60
MOD-REHAB SRO PROPERTIES	49
PROJECT BASED VOUCHERS	57
SCATTERED SITE PROPERTIES	55
TENANT BASED VOUCHERS	56
VETERANS SUPPORTIVE HOUSING	53
Total	56

AVERAGE VIOLENT CRIME RATE IN NEIGHBORHOODS WHERE FAMILIES RESIDED IN 2012

	Violent Crime Rate Per 1000
	Mean
ELDERLY ONLY PROPERTIES	45.9

ELDERLY AND DISABLED PROPERTIES	28.0
FAMILY DEVELOPMENTS	35.1
MIXED-INCOME DEVELOPMENTS	34.3
MOD-REHAB SRO PROPERTIES	31.7
PROJECT BASED VOUCHERS	29.2
SCATTERED SITE PROPERTIES	19.1
TENANT BASED VOUCHERS	31.6
VETERANS SUPPORTIVE HOUSING	30.5
Total	32.0

AVERAGE UNEMPLOYMENT RATE IN NEIGHBORHOODS WHERE FAMILIES RESIDED IN 2012

	Unemployment rate
	Mean
ELDERLY ONLY PROPERTIES	21.1
ELDERLY AND DISABLED PROPERTIES	12.2
FAMILY DEVELOPMENTS	11.2
MIXED-INCOME DEVELOPMENTS	15.0
MOD-REHAB SRO PROPERTIES	5.8
PROJECT BASED VOUCHERS	10.6
SCATTERED SITE PROPERTIES	10.0
TENANT BASED VOUCHERS	13.4
VETERANS SUPPORTIVE HOUSING	12.5
Total	13.1

NUMBER OF HOUSEHOLDS ASISTED EACH YEAR

	Year

	2006	2007	2008	2009	2010	2011	2012
HHEAD	4915	4822	4855	4877	4928	4993	4993

NUMBER OF HOUSEHOLDS ASISTED BY HOUSING PROGRAM

	Year													
	2006		2007		2008		2009		2010		2011		2012	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
HCV	3107	63.2%	3035	62.9%	2972	61.2%	2947	60.4%	2909	59.0%	2915	58.4%	2913	58.3%
LIPH	1808	36.8%	1787	37.1%	1883	38.8%	1930	39.6%	2019	41.0%	2078	41.6%	2080	41.7%
Total	4915	100.0%	4822	100.0%	4855	100.0%	4877	100.0%	4928	100.0%	4993	100.0%	4993	100.0%

NUMBER OF HOUSEHOLDS ASISTED BY TYPE OF ASSISTANCE

	Year					
	2006		2010		2012	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
ELDERLY AND DISABLED PROPERTIES	642	13.1%	676	13.7%	677	13.6%
ELDERLY ONLY PROPERTIES	180	3.7%	267	5.4%	275	5.5%
FAMILY DEVELOPMENTS	658	13.4%	607	12.3%	643	12.9%
MIXED-INCOME DEVELOPMENTS	189	3.8%	299	6.1%	316	6.3%
MOD-REHAB SRO PROPERTIES	70	1.4%	77	1.6%	77	1.5%
PROJECT BASED VOUCHERS	34	.7%	227	4.6%	266	5.3%
SCATTERED SITE PROPERTIES	139	2.8%	170	3.4%	169	3.4%
TENANT BASED VOUCHERS	3003	61.1%	2583	52.4%	2547	51.0%
VETERANS SUPPORTIVE HOUSING	0	.0%	22	.4%	23	.5%
Total	4915	100.0%	4928	100.0%	4993	100.0%

NUMBER OF HOUSEHOLDS ASISTED BY TYPE OF FAMILY

	Year					
	2006		2010		2012	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
Disabled	1170	23.8%	1366	27.7%	1482	29.7%
Elderly	760	15.5%	952	19.3%	930	18.6%
Family	2477	50.4%	2150	43.6%	2133	42.7%
Single	508	10.3%	460	9.3%	448	9.0%
Total	4915	100.0%	4928	100.0%	4993	100.0%

DISABLED FAMILIES BY HOUSING PROGRAM

		Year					
		2006		2010		2012	
		NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
HOUSING_PROGRAM	HCV	738	63.1%	672	49.2%	706	47.6%
	LIPH	432	36.9%	694	50.8%	776	52.4%
	Total	1170	100.0%	1366	100.0%	1482	100.0%

DISABLED FAMILIES BY TYPE OF HOUSING ASSISTANCE

	Year					
	2006		2010		2012	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
ELDERLY ONLY PROPERTIES	20	1.7%	54	4.0%	61	4.1%
ELDERLY AND DISABLED PROPERTIES	301	25.7%	449	32.9%	493	33.3%
FAMILY DEVELOPMENTS	71	6.1%	121	8.9%	141	9.5%
MIXED-INCOME DEVELOPMENTS	24	2.1%	42	3.1%	48	3.2%
MOD-REHAB SRO PROPERTIES	31	2.6%	40	2.9%	39	2.6%
PROJECT BASED VOUCHERS	6	.5%	49	3.6%	71	4.8%
SCATTERED SITE PROPERTIES	16	1.4%	28	2.0%	33	2.2%
TENANT BASED VOUCHERS	701	59.9%	575	42.1%	589	39.7%

VETERANS SUPPORTIVE HOUSING	0	.0%	8	.6%	7	.5%
Total	1170	100.0%	1366	100.0%	1482	100.0%

ELDERLY FAMILIES BY HOUSING PROGRAM

		Year					
		2006		2010		2012	
		NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
HOUSING_PROGRAM	HCV	235	30.9%	473	49.7%	480	51.6%
	LIPH	525	69.1%	479	50.3%	450	48.4%
	Total	760	100.0%	952	100.0%	930	100.0%

PERCENT DISTRIBUTION OF FAMILIES BY NO OF PERSONS IN HOUSEHOLDS

	Year			
	2006	2010	2012	Total
	PERCENT	PERCENT	PERCENT	PERCENT
1	36.4%	40.7%	40.5%	39.2%
2	22.9%	21.3%	22.0%	22.0%
3	18.3%	18.5%	17.9%	18.2%
4	13.1%	10.8%	11.3%	11.7%
5	5.7%	5.4%	5.2%	5.4%
6	2.1%	2.3%	2.1%	2.2%
7	.9%	.5%	.7%	.7%
8	.5%	.3%	.3%	.3%

9	.1%	.1%	.1%	.1%
10	.1%	.0%	.0%	.0%
12	.1%	.0%	.0%	.0%
13	.0%	.0%	.0%	.0%
14	.0%	.0%	.0%	.0%
15	.0%	.0%	.0%	.0%
16	.0%	.0%	.0%	.0%

PERCENT DISTRIBUTION OF FAMILIES BY NO OF BEDROOMS IN HOUSEHOLD

	Year			
	2006	2010	2012	Total
	PERCENT	PERCENT	PERCENT	PERCENT
0	11.7%	12.9%	12.0%	12.2%
1	18.6%	20.5%	21.2%	20.1%
2	31.9%	30.0%	30.3%	30.7%
3	29.8%	28.2%	28.3%	28.8%
4	6.8%	7.3%	7.1%	7.1%
5	1.2%	1.0%	.9%	1.1%
6	.1%	.2%	.1%	.1%
7	.0%	.0%	.0%	.0%

TOTAL NUMBER OF PERSONS ASSISTED EACH YEAR

Year						
2006	2007	2008	2009	2010	2011	2012
NUMBER	NUMBER	NUMBER	NUMBER	NUMBER	NUMBER	NUMBER
11807	11419	11358	11334	11341	11489	11478

NUMBER OF PERSONS ASSISTED EACH YEAR BY HOUSING PROGRAM

		Year					
		2006		2010		2012	
		NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
HOUSING_PROGRAM	HCV	8028	68.0%	7363	64.9%	7300	63.6%
	LIPH	3779	32.0%	3978	35.1%	4178	36.4%
	Total	11807	100.0%	11341	100.0%	11478	100.0%

NUMBER OF PERSONS ASSISTED EACH YEAR BY TYPE OF HOUSING ASSISTANCE

	Year					
	2006		2010		2012	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
OTHER LOW INCOME HOUSING ASST	0	.0%	0	.0%	0	.0%
ELDERLY AND DISABLED PROPERTIES	678	5.7%	717	6.3%	732	6.4%
ELDERLY ONLY PROPERTIES	186	1.6%	281	2.5%	291	2.5%
FAMILY DEVELOPMENTS	1961	16.6%	1717	15.1%	1858	16.2%
MIXED-INCOME DEVELOPMENTS	454	3.8%	706	6.2%	756	6.6%
MOD-REHAB SRO PROPERTIES	70	.6%	77	.7%	77	.7%
PROJECT BASED VOUCHERS	95	.8%	530	4.7%	634	5.5%
SCATTERED SITE PROPERTIES	500	4.2%	557	4.9%	541	4.7%
TENANT BASED VOUCHERS	7863	66.6%	6729	59.3%	6557	57.1%
VETERANS SUPPORTIVE HOUSING	0	.0%	27	.2%	32	.3%
Total	11807	100.0%	11341	100.0%	11478	100.0%

AVERAGE AGE OF HOUSEHOLD HEADS

		AGE		
		Year		
		2006	2010	2012
		Mean	Mean	Mean
HOUSING_PROGRAM	HCV	45.2	47.8	48.1
	LIPH	52.0	51.1	50.9

AVERAGE AGE OF HOUSEHOLD HEADS

		AGE		
		Year		
		2006	2010	2012
		Mean	Mean	Mean
HOUSING_PROGRAM	HCV	45.2	47.8	48.1
	LIPH	52.0	51.1	50.9
	AVERAGE	47.7	49.1	49.3

AVERAGE AGE OF HOUSEHOLD HEADS BY TYPE OF ASSISTANCE

	AGE		
	Year		
	2006	2010	2012
	Mean	Mean	Mean
ELDERLY ONLY PROPERTIES	71.1	71.0	71.3
ELDERLY AND DISABLED PROPERTIES	60.2	57.8	57.1
FAMILY DEVELOPMENTS	43.4	41.6	41.6
MIXED-INCOME DEVELOPMENTS	43.5	42.1	42.4
MOD-REHAB SRO PROPERTIES	50.2	48.5	47.5
PROJECT BASED VOUCHERS	38.7	49.7	48.5
SCATTERED SITE PROPERTIES	42.5	42.8	44.3
TENANT BASED VOUCHERS	45.1	47.6	48.0
VETERANS SUPPORTIVE HOUSING	.	52.0	53.4
AVERAGE	47.7	49.1	49.3

GENDER OF HOUSEHOLD HEADS BY TYPE OF ASSISTANCE

	Year					
	2006		2010		2012	
	Gender		Gender		Gender	
	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE
	Row N %	Row N %	Row N %	Row N %	Row N %	Row N %
ELDERLY ONLY PROPERTIES	38.9%	61.1%	37.8%	62.2%	36.0%	64.0%
ELDERLY AND DISABLED PROPERTIES	52.8%	47.2%	55.5%	44.5%	55.2%	44.8%
FAMILY DEVELOPMENTS	8.2%	91.8%	6.4%	93.6%	6.5%	93.5%
MIXED-INCOME DEVELOPMENTS	11.6%	88.4%	13.4%	86.6%	12.3%	87.7%
MOD-REHAB SRO PROPERTIES	62.9%	37.1%	61.0%	39.0%	63.6%	36.4%
PROJECT BASED VOUCHERS	14.7%	85.3%	22.5%	77.5%	21.4%	78.6%
SCATTERED SITE PROPERTIES	6.5%	93.5%	8.8%	91.2%	8.3%	91.7%
TENANT BASED VOUCHERS	10.0%	90.0%	9.1%	90.9%	9.6%	90.4%
VETERANS SUPPORTIVE HOUSING	.0%	.0%	90.9%	9.1%	82.6%	17.4%
AVERAGE	17.1%	82.9%	18.7%	81.3%	18.8%	81.2%

GENDER OF HOUSEHOLD HEADS BY HOUSING PROGRAM

		Year							
		2006		2010		2012		Total	
		Gender		Gender		Gender		Gender	
		MALE	FEMALE	MALE	FEMALE	MALE	FEMALE	MALE	FEMALE
		Row N %	Row N %	Row N %	Row N %	Row N %	Row N %	Row N %	Row N %
HOUSING_PROGRAM	HCV	11.2%	88.8%	12.1%	87.9%	12.7%	87.3%	12.0%	88.0%
	LIPH	27.3%	72.7%	28.2%	71.8%	27.3%	72.7%	27.6%	72.4%
	Total	17.1%	82.9%	18.7%	81.3%	18.8%	81.2%	18.2%	81.8%

ETHNIC COMPOSITION OF HOUSING PROGRAMS

		Year					
		2006		2010		2012	
		Ethnicity		Ethnicity		Ethnicity	
		Hispanic or Latino	Not Hispanic or Latino	Hispanic or Latino	Not Hispanic or Latino	Hispanic or Latino	Not Hispanic or Latino
		Row N %	Row N %	Row N %	Row N %	Row N %	Row N %
HOUSING_PROGRAM	HCV	32.3%	67.7%	34.3%	65.7%	34.7%	65.3%
	LIPH	16.9%	83.1%	22.4%	77.6%	23.6%	76.4%
	Total	26.6%	73.4%	29.4%	70.6%	30.1%	69.9%

RACIAL COMPOSITION OF ASSISTED FAMILIES

		Year					
		2006		2010		2012	
		Column N %	Count	Column N %	Count	Column N %	Count
Race	American Indian/Alaska Native	.1%	7	.2%	8	.1%	7
	Asian	2.4%	117	1.3%	62	1.2%	61
	Black/African American	65.2%	3205	62.1%	3058	61.7%	3083
	Native Hawaiian/Other Pacific Islander	.0%	1	.0%	1	.0%	1
	White	32.2%	1585	36.5%	1799	36.9%	1841

PERCENT OF HOUSEHOLD HEADS MARRIED

	Year		
	2006	2010	2012
	Column N %	Column N %	Column N %
UNMARRIED HOUSEHOLD HEAD	94.7%	94.4%	94.5%

PERCENT OF HOUSEHOLD HEADS MARRIED

	Year		
	2006	2010	2012
	Column N %	Column N %	Column N %
UNMARRIED HOUSEHOLD HEAD	94.7%	94.4%	94.5%
MARRIED HOUSEHOLD HEAD	5.3%	5.6%	5.5%

APPENDIX D

CARES Contract of Participation

CARES CONTRACT OF PARTICIPATION (THE "CCOP")

ARTICLE I -PURPOSE

1.1 HANH is a participant in the Federal Moving to Work program ("MTW"). Pursuant to its MTW Agreement with the U.S. Department of Housing and Urban Development ("HUD"), HANH may design and test locally-developed approaches for providing housing to low-income

Families. These MTW activities may depart from requirements of the U.S. Housing Act of 1937, its

implementing regulations, and other HUD guidelines**.** Pursuant to its MTW authority, HANH has established

the CARES Program. The purpose of the Agreement is to state the rights, responsibilities, and obligations of

the Family and the HANH and including other activities to be completed by the Family

1.2 Our goal is to give every adult resident every opportunity to become self-sufficient. That means getting or finishing a high school or college degree, getting a job or improving their job situation. We believe that we can provide an incentive for our s residents that will motivate them to fulfill their dreams and goals and at the same time provide a real benefit to them. The CARES Program includes two related components. One is a 72-month time limit on providing rental assistance to adults at the Development. The second component of the program is that certain individuals will be required to participate in an extensive 24-month case management and supportive services program (the "CARES Family Self Sufficiency Program or CFSSP") designed to help them overcome barriers to becoming self-sufficient. Any adult resident who is not required to participate in the 24-month CFSSP or who is not subject to the 72-month time limit may voluntarily participate in the CFSSP. Unless exempt from the 72-month time limit or from participating in the CFSSP all adult residents of Brookside Phase 2 (the "Development") must be engaged in Work Activity for at least 35 hours per week after residing at the Development for 24 months.

Single parents with children 6 years or older, meet the Work Activity participation requirements if they participate in a countable activity for 30 hours a week. Single parents with children under 6 years old meet the Work Activity participation requirements if they participate for 20 hours.

1.3 Each participating Family in the FSS program is required to sign this **Contract of Participation** (the "CCOP") with 60 days of execution of the lease for the Development. . This CCOP outlines the responsibilities of the adult resident during the 72-month time limit for receiving rental assistance at the Development. The CCOP is based on a thorough assessment of the individual needs of each adult and specific supportive services focused to meet these needs.

Article II: Definitions

2.1 "Agent" shall refer to the Interstate Realty Management Company.

2.2 "Family" is used interchangeably with "Applicant," or "Participant" or and can refer to a single-person Family.

The term "Family" also includes, but is not limited to:

A Family with or without children;
An elderly Family;
A disabled Family;
A displaced Family;
The remaining member of a Family (or the legal guardian of the remaining minor member(s) of a Family, upon approval by the Owner);
A single person who is not elderly, displaced, or a person with disabilities, or the remaining member of a Family;
Two or more elderly or disabled persons living together, or one or more elderly or disabled persons living with one or more live-in aides is a Family;
Two or more near-elderly persons living together or one or more near-elderly persons living with one or more live-in aides.

2.3 "Housing Authority of the City of New Haven" is referred to as "HANH" or "PHA" or "Housing Authority" or "HA" throughout this document.

2.4 "MOA" means the Memorandum of Agreement among Tenant Representative Councils for the Brookside Avenue, Ribicoff Cottages, Rockview Circle, and Westville Manor public housing developments and HANH dated May 15, 2000.

2.5 "Owner" shall refer to Brookside 2 Associates, LLC. a Connecticut limited liability company.

2.6 "PHA Assisted" is used to refer, collectively, to the units at the Development receiving either a public housing or project based Section 8 subsidy.

2.7 "REEF" means the Resident Enrolled Escrow Account described in Article VIII of the CCOP.

2.8 "Returning West Rock Family" means former resident of West Rock as defined in the MOA.

2.9 "Welfare assistance" means income assistance from Federal or State welfare programs, and includes only cash maintenance payments designed to meet a Family's ongoing basic needs;
2.10 Work Activities shall mean:
1. Unsubsidized Employment: Full- or part-time employment in the public or private sector that is not subsidized by public program.

2. Subsidized Private Sector Employment: Employment in the private sector for which the employer receives a subsidy from any public funds to offset some or all of the wages and costs of employing an individual.

3. Subsidized Public Sector Employment: Employment in the public sector for which the employer receives a subsidy from any public funds to offset some or all of the wages and costs of employing a recipient. This includes work-study and stipend programs.

4. On-the-Job Training: Training in the public or private sector that is given to a paid employee while he or she is engaged in productive work and that provides knowledge and skills essential to the full and adequate performance of the job.

5. Job Search and Job Readiness Assistance: The act of seeking or obtaining employment, preparation to seek or obtain employment, including life skills training, and short-term substance abuse treatment, mental health treatment, or rehabilitation activities. Such treatment or therapy must be determined to be necessary and documented by a qualified medical, substance abuse or mental health professional. Job search and job readiness assistance activities must be supervised by the Case Manager or other responsible party on an ongoing basis no less frequently than twice per month in which the is scheduled to participate.

6. Work Experience: A Work Activity performed in return for rental assistance under Section 8(o) or Section 9(?) of the Act, that provides with an opportunity to acquire the general skills, training, knowledge, and work habits necessary to obtain employment. The purpose of work experience is to improve the employability of those who cannot find unsubsidized employment. This activity must be supervised by an employer, work site sponsor, or other responsible party on an ongoing basis no less frequently than once each day in which the person is scheduled to participate.

7. Community Service Programs: Structured programs in which the person performs work for the direct benefit of the community under the auspices of public or nonprofit organizations. Community service programs must be limited to projects that serve a useful community purpose in fields such as health, social service, environmental protection, education, urban and rural redevelopment, welfare, recreation, public facilities, public safety, and childcare. Community service programs are designed to improve the employability of recipients not otherwise able to obtain employment, and must be supervised on an ongoing basis no less frequently than once each day in which the individual is scheduled to participate. HANH shall take into account, to the extent possible, the prior training, experience, and skills of a recipient in making appropriate community service assignments.

8. Vocational Educational Training Not to Exceed 12 Months:

Organized educational programs that are directly related to the preparation of individuals for employment in current or emerging occupations requiring training other than a baccalaureate or advanced degree. Vocational educational training must be supervised on an ongoing basis no less frequently than ~~daily~~ once each day in which the individual is scheduled to participate and may include work-focused general education and language instruction.

9. Child Care for an Individual Participating in a Community Service Program: Providing childcare to enable another public housing or housing choice or TANF recipient to participate in a community service program. This activity must be supervised on an ongoing basis no less frequently than twice a month in which the person is scheduled to participate.

10. Job Skills Training Directly Related to Employment: Training or education for job skills required by an employer to provide an individual with the ability to obtain employment or to advance or adapt to the changing demands of the workplace. Job skills training directly related to employment must be supervised on an ongoing basis no less frequently than once each day in which the individual is scheduled to participate.

11. Education Directly Related to Employment: Education related to a specific occupation, job, or job offer. Education directly related to employment must be supervised on an ongoing basis no less frequently than once each day in which the individual is scheduled to participate.

12. Satisfactory Attendance at Secondary School or in a GED Program: Regular attendance, in accordance with the requirements of the secondary school or course of study, at a secondary school or in a course of study leading to a certificate of general equivalence, in the case of a work eligible individual who has not completed secondary school or received such a certificate. This activity must be supervised on an ongoing basis no less frequently than once each day in which the individual is scheduled to participate.

2.11 **"**Work" means:

1. Unsubsidized Employment: Full- or part-time employment in the public or private sector that is not subsidized by public program; or

2. Subsidized Private Sector Employment: Employment in the private sector for which the employer receives a subsidy from any public funds to offset some or all of the wages and costs of employing an individual~~; or~~

3. Subsidized Public Sector Employment: Employment in the public sector for which the employer receives a subsidy from any public funds to offset some or all of the wages and costs of employing a recipient. This includes work-study and stipend programs.

Article III. TERM OF AGREEMENT

2.1This CCOP will be effective for a maximum of 72 months (6 years), starting from the date of admission into the Development. Your participation in the program began upon your admission to the Development, beginning: _______and expires on_______

ARTICLE IV - CARES INITIAL FAMILY REQUREMENTS AND RESPONSIBILITIES

4.1 Each adult resident must attend a CARES orientation with a representative of the Authority within 30 days of executing the Lease for the Development.

4.2 At the briefing the Family will be given a subsidy calculation worksheet. This worksheet will include the date they leased at the Development and a chart of their anticipated subsidy schedule for the duration of the program.

4.3 Each adult resident must complete and execute CARES Self Sufficiency Assessment form within 60 days of executing the Lease for the Development.

4.4. Unless exempt from the 72 month time limit and from participating in the CFSSP each adult resident must complete and execute a CARES Individual Service Plan (the "ISP") within 60 days of executing the Lease for the Development.

4.5. Unless exempt from the 72 month time limit and from participating from the CFSSP, each adult resident 18 years of age and older must execute a CARES CCOP within 60 days of execution of the Lease for the Development.

4.6 Within two years of executing Lease at the Development, each adult resident that is not exempt from the 72 month time limit and from participating in the CFSSP must engage in Work Activities for at least 35 hours per week. A single parent with a child six (6) years of age or older meets the Work Activity participation requirement if they participate for 30 hours per week in a countable Work Activity. Single parents with a child less than six (6) meet the Work Activity requirement if they participate in a countable Work Activity for 20 hours.

4.7 The Family must permit HANH to conduct a home visit at HANH's request. Unless HANH has cause for more frequent visits, such as a follow-up visit, HANH will not request more than four home visits per year. HANH will provide at least fourteen (14) days prior notice before a visit, and the Family may request a rescheduling of the visit if employment, educational, or other good cause reasons prevent the Family from being available at the scheduled time; provided that HANH will stop PHA Assistance if four visits cannot be scheduled within a one-year period or if the Family unreasonably prohibits HANH from conducting the home visit. The Family must also permit a home visit within 60 days after the Family leases the new apartment.

4.8 The Family must comply with all CARES Program requirements described in this CCOP, the CARES Lease Addendum and the CARES policies and requirements of CARES Program.

4.9 The Family may not include a member convicted of manufacture or production of methamphetamine on the premises of any federally assisted housing.

4.10 The Family may not include a member who is subject to a lifetime registration requirement under a state sex offender registration program.

4.11 Each adult resident must comply with the terms and conditions of his/her Individual Service Plan and demonstrate continuing and on-going progress towards meeting the goals and objectives such forth in the Individual Service Plan.

4.12 The Family must comply with all requirements of the HANH Housing Choice Voucher Administrative Plan or Low Income Housing Admission and Continuing Occupancy Policy, whichever is applicable, which are incorporated into the CCOP by reference, except for those requirements which are modified under the CARES. Copies of the Administrative Plan or Admission and Continuing Occupancy Plan will be given to the Family upon request.]

4.13 Each adult resident that is engaged in Work shall bring any and all payroll stubs and proof of income to Case Manager and pay rent based on all eligible income as set in the Lease.

4.14. If you have a bank account, your monthly bank statement must be submitted to your Case Manager.

4.15. If the Family is eligible, unless it has insurance through Medicaid or private coverage, it must obtain medical coverage through the HUSKY Program.

4.16 The Family must do its part in keeping the Development a clean and pleasant to live.

4.17 For those who successfully complete CARES, the entire amount of the funds escrowed in the REEF shall be made available to the Family. Successful completion of CARES is defined as being lease compliant; in Good Standing as defined in the Administrative Plan or the Admission and Continuing Occupancy Policy, whichever is applicable; having at least one adult member of the Family engaged in Work for at least 35 per work; being able to pay the Flat Rent without any PHA Assistance or moving from the Development and moving to some other form of permanent housing without any rental assistance from any governmental agency, non-profit organization or private entity,; obtaining the goals and objectives set forth in the Individual Service Plan for each adult member of the Family; Family provides certification that no member of the Family is receiving Welfare Assistance; and each household must participate and reside in the Development for a minimum of 36 months before being deemed to have successfully completed CARES. We estimate that a Family must earn a minimum of $24,879.96 for a zero bedroom unit, $30,639.60 for a one bedroom unit, $34,080 for a two bedroom unit, and $46,640.04 for bedroom sizes four through six, to be able to afford to pay the Flat Rent without any rental assistance.

ARTICLE V -LIMITATION ON LENGTH OF PHA ASSISTANCE UNDER SECTION 8(o) and SECTION 9(e) OF THE HOUSING ACT OF 1937

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

5.2 After the 72 months have expired, adult residents who elect to stay at The Development will no longer be eligible for PHA Assistance unless they are exempt from the 72 month time limit as set forth below in Article VII. The Eligible PHA Assistance for the Family will be determined by pro-rating the PHA Rental Assistance that can be provided to the Family based upon the number of members of the Family who are no longer eligible for assistance, unless the Family member is otherwise exempt from the 72-month limitation as set forth below .The amount of Eligible PHA Assistance shall be determined as set forth below:
For Public Housing Units, HANH will pro-rate the Family's PHA Assistance by:

a. Step 1. Determining total tenant payment in accordance with 24 CFR 913.107(a). Annual income includes income of all Family members, including any Family member who is exempt from the 72 month time limit on receiving PHA Assistance.

b. Step 2. Subtracting the total tenant payment from the HANH Flat Rent applicable to the unit. The result is the Maximum PHA Assistance for which the Family could qualify if all members were exempt from the 72 month time limit ("Family Maximum PHA Assistance").

c. Step 3. Dividing the Family Maximum PHA Assistance by the number of persons in the Family (all persons) to determine the Maximum PHA Assistance per each Family member who are exempt from the 72 month time limit ("Eligible Family member"). The PHA Assistance per eligible Family member is the "Member Maximum PHA Assistance."

d. Step 4. Multiplying the Member Maximum PHA Assistance by the number of "Eligible" Family Members.”

e. Step 5. The product of steps 1-4, as set forth in this paragraph is the amount of PHA Assistance for which the Family is eligible ("Eligible PHA Assistance"). The Family's rent is the Flat Rent minus the amount of the Eligible PHA Assistance.

For Section 8 Voucher Assistance. HANH will prorate the PHA Assistance as follows:

a. Step 1. Determine the amount of the pre-proration PHA Assistance in accordance with 24 CFR 887.353. Annual income includes income of all Family members, including any Family member who is exempt from the 72 month time limit on receiving PHA Assistance.

b. Step 2. Subtracting the total tenant payment from the HANH Flat Rent applicable to the unit. The result is the Maximum PHA Assistance for which the Family could qualify if all members were exempt from the 72 month time limit ("Family Maximum PHA Assistance").

c. Step 3. Dividing the Family Maximum PHA Assistance by the number of persons in the Family (all persons) to determine the Maximum PHA Assistance per each Family member who are exempt from the 72 month time limit ("Eligible Family member"). The PHA Assistance per eligible Family member is the "Member Maximum PHA Assistance."

d. Step 4. Multiplying the Member Maximum PHA Assistance by the number of "Eligible" Family Members."

e. Step 5. The product of steps 1-4, as set forth in this paragraph is the amount of PHA Assistance for which the Family is eligible ("Eligible PHA Assistance"). The Family's rent is the Flat Rent minus the amount of the Eligible PHA Assistance.

d. The family must pay as rent the portion of rent not covered by the prorated PHA Assistance.

ARTICLE VI -EXEMPTION FROM 72 MONTH TIME LIMIT ON RECEIVING PHA ASSISTANCE

The following residents are exempt from the 72 month limit on receiving PHA Assistance:

- ***i.*** ***Returning residents of West Rock who have right to return under the Memorandum of Agreement between the ECC the Tenant Representative Councils (the "TRCs")of West Rock;***
- ***ii.*** ***Family members under 18 years of age;***
- ***iii.*** ***Family members 62 years of age or older;***
- ***iv.*** ***The Family member is a blind or disabled individual, as defined under 216)i)(1) of 1614 of the Social Security Act (42 U.S.C. 416(i)(1); 1382), and who certifies that because of the disability she or he is unable to comply the 72-month limitation; or***
- ***v.*** ***The family member is the primary caretaker of an individual set forth in the preceding sentence.***

Article VII -EXEMPTION FROM HAVING TO PARTICIPATE IN THE CFSSP COMPONENT OF CARES

The following residents are exempt from having to participate in the **CFSSP** component of CARES:

- *i.* ***Each adult resident who is engaged in Work Activity for a least 35 hours per week. A single parent with a child six (6) years of age or older meets the Work Activity participation requirement if they participate for 30 hours per week in a countable Work Activity. Single parents with a child less than six (6) meet the Work Activity requirement if they participate in a countable Work Activity for 20 hours.;***
- *ii.* ***The*** *Family* ***can afford to pay the Flat Rent without any PHA Assistance;***
- *iii.* ***Returning residents of West Rock who have right to return under the Memorandum of Agreement between the ECC the Tenant Representative Councils (the "TRCs")of West Rock;***
- *iv.* ***Family members under 18 years of age;***
- *v.* ***Family member age 62 or older;***
- *vi.* ***The Family member is a blind or disabled individual, as defined under 216)i)(1) of 1614 of the Social Security Act (42 U.S.C. 416(i)(1); 1382), and who certifies that because of the disability she or he is unable to comply the 72-month limitation;***

vii. ***The family member is the primary caretaker of an individual set forth in the preceding sentence;***
viii. ***The Family member is responsible for the care of a child under the age of 3; or***
ix. ***The Family member is pregnant and a physician certified that the person is unable to participate in a Work Activity or the CFSSP.***

Note that certain residents may be exempt from having to participate in the CFSSP for only that period of time for which the condition or conditions that are the basis of the exemption exist. For instance, a Family member who is responsible for the care of a child under the age of three is exempt from having to participate in the CFSSP so long as the child is less than three years old, but once the child becomes three that member is required to participate in the CFSSP.

Article VIII - RESIDENT ENROLLED ESCROW ACCOUNTS (REEF)

8.1 Adult residents who are required to participate in CFSSP, as stated above, will be given up to 24 months of case management and supportive services to help ensure transition to other affordable or market rate housing at the end of the 72-month limit on receiving PHA Assistance. The 24-month transitional period will provide families with the support needed to meet the basic requirements of CARES. HANH will determine the amount of assistance the Family is eligible to receive over the term of the 72 months.

8.2 The amounts of assistance, to the extent funds are available, will be adjusted annually for inflation (Exhibit A). Beginning with the twenty-fifth month after the Family moves into The Development, provided the Family has met all of its obligations under CARES at that time, an amount equal to the sum of the PHA Assistance that the Family would have otherwise received after receiving PHA Assistance at The Development for 72 months will be deposited into a Resident Enrolled Escrow Fund (REEF).

8.3 Withdrawal of Funds from REEF

8.3.1 HANH may permit the Family to withdraw funds from the REEF before completion of its obligation under this CCOP if the Family has completed specific interim goals designated by HANH and set forth in the Individual Service Plan for each adult member, and provided further that the Family requires some of the REEF account funds to enable it to complete its obligations under the CCOP. Funds may be withdrawn from the REFF in an aggregate amount of not more than $3,000.00 during the 72 month time limit for the following purposes:

i. Purchase of a vehicle to attain or maintain employment (a onetime payment not to exceed $3,000 after all other options have been exhausted);
ii. Start up funds to start a small business (a onetime payment not to exceed $2,500 after all other options have been exhausted);
iii. Purchase a computer;
iv. Pay tuition to enroll in secondary or vocational education program; or
v. Other related costs approved by the CARES Oversight Committee.

8.3.2 At the time of CCOP completion, each Family provides written certification to the Elm City that the: Family is lease compliant under the Lease and Lease Addendum; Family is in Good Standing as defined in the Administrative Plan or the Admission and Continuing Occupancy Policy, whichever is applicable; at least one adult member of the Family engaged in Work for at least 35 per work and earn enough to Pay the Flat Rent without any PHA Assistance or without any other rental assistance; Family agrees to pay the Flat Rent without any PHA Assistance or moves from the Development and moves to some other form of permanent housing without any rental assistance from any governmental agency, non-profit organization or private entity; and each adult member that is not exempt from the 72 month time limit has meet the goals and objectives set forth in the Individual Service Plan for each such adult member, Each Family must reside in the Development for a minimum of 36 months before being deemed to have successfully completed CARES.

8.4 Loss of REEF Account

The Family will not receive the funds in its REEF escrow account

If:

i. ***the CCOP is terminated for violation of the Lease;***

ii. ***the Family has not met its Family responsibilities within the timeframes in this CCOP, each adult has not meet its obligations under the Lease and Lease Addendum and in each Family member's Individual Service Plan; Family is not in Good Standing as set forth the Administrative Plan of Admissions and Continuing Occupancy Policy;***

ARTICLE IX -HANH RESPONSIBIITIES

HANH shall have the following obligations under the CCOP:

i. ***Attempt to obtain commitments from public and private sources for supportive services for families.***

ii. ***Establish a REEF account after the Family has resided at the Development for a minimum of 24 months; provided the Family has fulfilled its entire obligation under this CCOP, is Lease compliant; and is on target with the goals and objectives set for in each Family member's Individual Service Plan.***

iii. ***Invest the funds in REEF and give the Family a report on the amount in the REEF account at least once a year.***

iv. ***Determine which, if any, interim goals must be completed before any REEF may be paid to the Family; and pay a portion of the REEF account to the Family if HANH determines that the Family has met these specific interim goals and needs the funds from the REFF account to***

v. ***complete the CCOP.***

vi. ***Determine if the family has completed this CCOP.***

vii. ***Pay the family the amount in its REEF escrow account, if the family has completed the CCOP.***

ARTICLE X - HARDSHIP

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

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

B. ***Despite the individual working 35 hours or more a week the Family earns less than the amount to pay the Flat Rent.***

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

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

E. ***An in course exemption may be granted if the adult has severe mental and/or physical health problems, severe learning disabilities, or is unable to obtain or maintain employment.***

ARTICLE XI

CHANGES TO THE CCOP

This contract of participation can only be changed to modify the contract term, the head of the family, or the individual training and services plans. Any change of the head of the family under the contract must be included as an attachment to the contract. The attachment must contain the name of the new designated head of the family, the signatures of the new head of the family and an

HA representative, and the date signed. Any change/s to an Individual Services Plan must be included as a revision to the Individual Services Plan to which the change applies. The revision must include the item changed, signatures of the participant and an HA representative, and the date signed.

ARTICLE XII

PROGRAM EVALUATION/MODIFICATION

HANH will continuously and constantly evaluate the operation of CARES to see what if any modifications are needed to ensure that the goals and objectives of the Program can be met. If HANH after consultation with the participants in cares determines that modifications are needed these modifications will be published in a newspaper of general circulations and made available to each Family. A thirty (30) comment period shall be allowed for any proposed modification to CARES.

SIGNATURES:
ELM CITY COMMUNITIES (PHA)
BY: ____
Title:____ Date:__________________

FAMILY – HEAD OF HOUSEHOLD
Signature:____
Printed Name:____ Date:____________________

FAMILY - CO-HEAD OF HOUSEHOLD
Signature:____

Printed Name:____ Date:____________________

ADULT
Signature:____

Printed Name:____ Date:____________________

ADULT
Signature:____

Printed Name:____ Date:____________________

ADULT S
Signature:____

Printed Name:____ Date:____________________