HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

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

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

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

Through the MTW Program, MTW agencies may request exemptions or waivers from existing regulations in order to pursue strategies that may result in more effective operations and services to low income families, according to local needs and conditions. The MTW Program also provides greater budget flexibility, as MTW agencies may pool funding from several HUD programs in order 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 or CHOICE Revitalization grants, Rental Assistance Demonstration 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 2013.

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

HANH's 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 2013 MTW Plan was originally approved on June 19, 2012. There have been 4 amendments to the Plan. The following schedule indicates notice, hearing and approval by the Board of Commissioners.

Original Plan
Public Notice – April 16, 2012
Public Hearing – May 16, 2012
Board of Commissioner Approval – June 19, 2012
HUD Approval – Pending

Amendment #1 Public Housing replacement units with MTW Block Grant funds
Public Notice – November 9, 2013
Public Hearing – December 10, 2012
Board of Commissioner Approval – Resolution #02-13/13-R on February 19, 2013
HUD Approval - Pending

Amendment #2 Rental Assistance Demonstration (RAD) for Essex Townhouses and Crawford Manor Public Notice – February 3, 2012
Public Hearing – February 21, 2013
Board of Commissioner Approval – Resolution #03-40/13-R on March 19, 2013.
HUD Approval - Pending

Amendment #3 Increase the percentage of the Housing Choice Voucher Budget Authority, authorize the creation of a Commercial Business venture, apply for RAD Assistance to convert Westville Manor, Farnam Courts, Valley Townhouses, Ribicoff Cottages Extension, Demolish five (5) units de minimis for Westville Manor, Essex Townhouses and Crawford Manor, Defeasance of Revenue backed bonds issued for the Brookside Phase I Rental Development and revision to the total development costs (TDC's) the Authority intends to implement.
Public Notice – March 24, 2013
Public Hearing – April 25, 2013
Board of Commissioners Approval – Resolution #05-86/13-R on May 16, 2013
HUD Approval - Pending

Amendment #4 RAD Assistance at the following developments; Winslow Celentano, Matthew Ruoppolo Manor, Charles T. McQueeney Towers, McConaughy Terrace, Eastview Terrace, The Wilmont Crossing at West Rock (122 Wilmot Road) and Fairmont Heights
Public Notice – July 10, 2013
Public Hearing – August 12, 2013
Board of Commissioners Approval – Resolution 09-199/13-R on September 17, 2013
HUD Approval - Pending

HANH's MTW 2013 Annual Report was made available for public review on October 21, 2013 and was the subject of a public hearing on November 20, 2013. The Annual Report was approved by the HANH Board of Commissioners on December 17, 2013.

Short Term MTW Planning

MTW Goal	Description of Long Term (10 Years) Strategic Plan
1. Reduce cost and achieve greater cost effectiveness in Federal expenditure.	• Expansion of rent simplification model • Investments in technology to add additional functionality – e.g. on-line applications for housing; on-line ability to check waitlist status; electronic payments to vendors and landlords • Provision of services to areas PHAs • Energy efficiency investments through ESCO • Secure RAD conversion opportunities within the portfolio
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	• Full implementation of MTW CARES initiative to move families toward self sufficiency with evaluation of model and documentation of impact findings • Support for resident entrepreneurial endeavors • Offering cost effective training programs and increase in number of residents participating in such. • Create linkages with local school system to support children's academic progress and attainment.
3. Increase housing choices for low income families	• Complete revitalization of West Rock community through Rockview and Ribicoff Cottages redevelopment • Market homeownership opportunities in West Rock • Partner with non-PHA entities to increase the supply of affordable housing • Complete planning for redevelopment of Farnam Court/Fair Haven and Westville Manor. • Continued modernization and capital investment in current portfolio • Continue progress toward meeting goal of 10% UFAS compliant units agency wide

Long Term MTW Planning

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. • Expand 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

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

HANH's Goals, Objectives and Initiatives are summarized in the following chart. MTW initiatives are numbered and detailed more in subsequent sections. MTW initiatives that require funding flexibility only and non MTW initiatives are included in the chart but are not numbered.

Goal **Increase Housing Choice**

Objective **Preserve and Create Affordable Housing through Redevelopment Efforts**

Initiatives

Moving to Work

NEW *non-numbered initiatives; require funding flexibility only*

Dispose of former Rockview Development for development of NEW Rockview

Dispose of Valentina Macri for creation of new supportive housing units for formerly homeless

Dispose of Ribicoff Cottages and Extensions for redevelopment of Ribicoff

Dispose of Farnam Court for redevelopment of Farnam

Dispose of Valley Townhouses for redevelopment of Valley Townhouses

Use of Legacy Attachment to Increase percent of Project Based Vouchers in any one development form 75% to 100%

ON-GOING

1.1 Mixed Use Development at 122 Wilmot Road- *FY2011*

1.2 Alternative Design Standards, Total Development Costs- *FY2009*

1.8 d. Farnam Court *FY2011*

1.9 Increased cap on Project Based Vouchers- *FY2012*

Major redevelopment efforts: *(non numbered; requires funding flexibility only)*

a. William T. Rowe
b. 122 Wilmot Road
c. Brookside I and II

Non-Moving to Work

Capital Fund Financing Program

Objective **Create Homeownership Opportunities**
Moving to Work

NEW — Dispose of 7 Shelton St to nonprofit housing developer for creation of homeownership units *(non numbered; requires funding flexibility only)*

Non-MTW

Section Eight Home Ownership Program (SEHOP) *(non numbered; requires funding flexibility only)*

Objective **Preserve Affordable Housing through Modernization Efforts**
Moving to Work

ON-GOING — Project Modernization -- *(non numbered; requires funding flexibility only)*

Completed projects at: McQueeney Tower; Crawford Manor; Valentina Macri and Ruoppolo Manor

On-Going projects at: McConaughy Terrace, Fulton Park, Westville Manor and UFAS compliance agency wide

Non-MTW — ARRA Initiatives - vacancy reduction

Objective **Prevent Homelessness**
Moving to Work

ON-GOING
1.5 Foreclosure Protection Program- *FY2009*
1.6 Expanded Housing -*FY2008*

Community Re-Entry *(non numbered; requires funding flexibility only)*

1.7 Tenant Based Vouchers for Supportive Housing *FY2011*

Non-MTW — Project Based Voucher for Supportive Housing

Supportive Housing Initiative with CT Department of Mental Health and Addiction Services

Objective **Assist Low Income Families to Access Housing in Areas of Opportunity**
Moving to Work

ON-GOING — Deconcentration of Poverty Initiative *(non numbered; requires funding flexibility only)*

Goal **Increase Family Self Sufficiency**

Objective **Nurture Youth Residents and Equip them to Grow to be Self Sufficient Adults**
Moving to Work

NEW — Youth Initiative *(non numbered; requires funding flexibility only)*

Objective	**Assist Work Eligible Adults Build Employment Skills** **Moving to Work**		
	NEW	2.3	CARES Initiative- *FY2012*
	ON-GOING	2.1	Family Self Sufficiency Program *FY2004*
		2.2	Promotion of Self Sufficiency/Earned Income Exclusion- *FY2008*
			Section 3 Employment and Training *(non numbered; requires funding flexibility only)*
			Specialized Training Initiative *(non numbered; requires funding flexibility only)*
Objective	**Support the Maintenance of Self Sufficiency** **Moving to Work**		
	ON-GOING		Business Development Support Initiative *(non numbered; requires funding flexibility only)*
			SEHOP Capital Improvement Program *(non numbered; requires funding flexibility only)*
Objective	**Support the Most Vulnerable Residents' Ability to Maintain Housing** **Moving to Work**		
	ON-GOING		Resident Services for Families *(non numbered; requires funding flexibility only)*
			Resident Services for Elderly/Disabled Families *(non numbered; requires funding flexibility only)*
			Supportive Services contracts in Elderly/Disabled Developments *(non numbered; requires funding flexibility only)*

GOAL **To reduce Costs and Achieve Greater Cost Effectiveness in Federal Expenditures**

Objective	**Maximize the Impact of Federal Subsidy in Redevelopment Efforts** **Moving to Work**		
	NEW	1.4	Income Eligibility for HCV PBV units in Mixed Finance Developments-*FY2012*
			Use of Frozen/Fixed Utility Consumption *(non numbered; requires funding flexibility only)*
	ON-GOING	1.1	Income Skewing for PBVs in Mixed Finance Developments -*FY2012*
Objective	**Dispose of Non-Performing Assets** **Moving to Work**		
	NEW		Dispose of Sheffield Manor *(non numbered; requires funding flexibility only)*
	Non-MTW		Dispose of 620 Grand Ave (warehouse)
Objective	**Reduce Administrative Burden on Residents/Participants/ Landlords and Staff** **Moving to Work**		
	ON-GOING	3.1	Rent Simplification -*FY2008*
		3.2 and 3.3	Revised Inspection Protocol- *FY2008*
		3.4	Mandatory Direct Deposit-*FY2009*
Objective	**Ensure Best Use of Limited Federal Resources** **Moving to Work**		
	ON-GOING		Local Asset Management Program *(non numbered; requires funding flexibility only)*

	Waive 60 Day Notice Requirement on New Utility Allowance Schedule in Newly Developed Mixed Finance Developments *(non numbered; requires funding flexibility only)*
	Full Fungability of Funds for Development Purposes *(non numbered; requires funding flexibility only)*
Non-MTW	Research and Evaluation
	Energy Performance Contract

II. General Housing Authority Operating Information

A. MTW Report: Housing Stock Information

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

Property Name	Anticipated Number of New Vouchers to be Project-Based *	Actual Number of New Vouchers that were Project-Based	Description of Project
Brookside Phase II	50	50	Affordable mixed rental - Families
CUHO New Constr.	8	0	Affordable - Families
Mutual Housing	20	20	Affordable - Families
Cedar Hill	4	4	PBV Supportive Housing
122 Wilmot	13	13	Elderly/Disabled

Anticipated Total Number of New Vouchers to be Project-Based *	Actual Total Number of New Vouchers that were Project-Based	Anticipated Total Number of Project-Based Vouchers Committed at the End of the Fiscal Year *	Anticipated Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year *
106	78	493	493

Actual Total Number of Project-Based Vouchers Committed at the End of the Fiscal Year	Actual Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year
493	397

* From the Plan

Other Changes to the Housing Stock that Occurred During the Fiscal Year

Anticipated Project Based Developments not completed until close to the end of FY13. Lease ups started toward the end of the year.

Description of other changes to the housing stock during the fiscal year

Description of other changes to the housing stock during the fiscal year

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

General Description of Actual Capital Fund Expenditures During the Plan Year

Agency Wide UFAS Compliance and Vacancy Reduction - $573,940.70, Ruoppolo Façade - $58,500.00, Westville Fire Units - $204,383.19, 20-24 Westminster - $362,224.78, CB Motley Floor Replacement - $104,924.46, Winslow Celentano EIFS Installation - $717,020.20, Various IQC Contracts - $551,755.30, RAD Physical Needs Assessment - $21,025.44, Asset Management Offices - $510,751.59, Wolfe Modernization Close Out - $15,320.00. Total Expenditures $5,166,945.05. Sources of funds utilized were CFP 10 $1,748,311.04; CFP 11 $2,650,393.40; CFP 12 $8,330.00; MTW Flexibility $759,910.61.

Overview of Other Housing Owned and/or Managed by the PHA at Fiscal Year End

Housing Program *	Total Units	Overview of the Program

Bridgeport Housing Authority	2523	Managing Developments for other non-MTW Public Housing Authority
Wallingford Housing Authority	317	Managing Developments for other non-MTW Public Housing Authority

Total Other Housing Owned and/or Managed	2840

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

If Other, please describe: N/A

II.5.Report.Leasing

B. MTW Report: Leasing Information

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

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

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

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

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

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

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

	Average Number of Households Served Per Month	Total Number of Households Served During the Year
Households Served through Local Non-Traditional Services Only	0	0

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

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

Fiscal Year:	2011	2012	2013	2014	2015	2016	2017	2018
Total Number of Local, Non-Traditional MTW Households Assisted	240	241	238	X	X	X	X	X
Number of Local, Non-Traditional MTW Households with Incomes Below 50% of Area Median Income	238	235	229	X	X	X	X	X

Percentage of Local, Non-Traditional MTW Households with Incomes Below 50% of Area Median Income	99.17	97.51	96.22	X	X	X	X	X

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Reporting Compliance with Statutory MTW Requirements: Maintain Comparable Mix

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

Baseline for the Mix of Family Sizes Served

Family Size:	Occupied Number of Public Housing units by Household Size when PHA Entered MTW	Utilized Number of Section 8 Vouchers by Household Size when PHA Entered MTW	Non-MTW Adjustments to the Distribution of Household Sizes *	Baseline Number of Household Sizes to be Maintained	Baseline Percentages of Family Sizes to be Maintained
1 Person	852	693	X	1545	32%
2 Person	435	726	X	1161	24%
3 Person	327	637	X	964	20%
4 Person	180	445	X	625	13%
5 Person	89	204	X	293	6%
6+ Person	87	152	X	239	5%
Totals	1970	2857	0	4827	100%

Explanation for Baseline Adjustments to the Distribution of Household Sizes Utilized	N/A

Mix of Family Sizes Served

	1 Person	2 Person	3 Person	4 Person	5 Person	6+ Person	Totals

Baseline Percentages of Household Sizes to be Maintained **	32%	24%	20%	13%	6%	5%	100%
Number of Households Served by Family Size this Fiscal Year ***	2096	1265	1005	630	281	159	5436
Percentages of Households Served by Household Size this Fiscal Year ****	39%	23%	18%	12%	5%	3%	100%
Percentage Change	7%	1%	1%	1%	1%	2%	0%

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

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

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

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

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

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

Housing Authority of the City of New Haven	The fiscal year end occupancy rate of 93% is due to the transistion of families out of Ribicoff Cottages and Farnam Courts as the agency gets ready to redevelop these properties.
Bridgeport Housing Authority	None
Wallingford Housing Authority	None

Number of Households Transitioned To Self-Sufficiency by Fiscal Year End

Activity Name/#	Number of Households Transitioned *	Agency Definition of Self Sufficiency
CARES	zero	Number of housheolds who receive zero subsidy at the end of year six
Resident Tenant Elderly Services	67	Live independantly and be lease complainr
Prison Re entry	3	Graduation from the program
Activity Name/#	Number of Households Transitioned *	Agency Definition of Self Sufficiency

Households Duplicated Across Activities/Definitions	None
ANNUAL TOTAL NUMBER OF HOUSEHOLDS TRANSITIONED TO SELF SUFFICIENCY	3

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

II.6.Report.Leasing

C. MTW Report: Wait List Information

Wait List Information at Fiscal Year End

Housing Program(s) *	Wait List Type **	Number of Households on Wait List	Wait List Open, Partially Open or Closed ***	Was the Wait List Opened During the Fiscal Year
Federal MTW Public Housing Units	Site Based	7918	Partially	Yes
Federal MTW Public Housing Units	Community Wide	165	Open	Yes
Federal MTW HCV Units	Tenant Based Vouchers	3928	Closed	No

More can be added if needed.

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

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

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

The Site Based Family waiting list was open for families that qualify for a 4 or 5 bedroom unit.
Housing Program and Description of the populations for which the wait list is open
Housing Program and Description of the populations for which the wait list is open

If Local, Non-Traditional Program, please describe:

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

If Other Wait List Type, please describe:

Name and Description of "other" wait list type

Name and Description of "other" wait list type
Name and Description of "other" wait list type

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

Narrative of Changes

Who we serve?

HANH served 5422 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 84% of LIPH and 76% of HCV families in this income category. 25% percent of LIPH families and 33% of HCV families earn wages. Less than 5% of all families report no income. 86% of households in LIPH range from 1 person to 3 person families and 77% 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 1321 families or 24% indicating that MTW status has allowed HANH to increase the number of families being served.

HANH Population Demographics					
	LIPH		HCV		
Total households	2590	*33%*	3323	*29%*	
Total individuals	4422	*67%*	8040	*71%*	
Average income	$ 12,763.00		$ 15,420.00		
Average TTP	$ 291.00		$ 352.00		
No income	120	*5%*	145	*4%*	
Extremely low income	1850	*83%*	2476	*75%*	
Very low income	296	*13%*	546	*16%*	
Low income	48	*2%*	176	*5%*	
Above low income	49	*2%*	42	*1%*	
Households with wages	546	*25%*	1068	*32%*	
Households with public assistance	126	*6%*	170	*5%*	
Households with social security	1186	*54%*	1351	*41%*	
Households with other non-wages	255	*12%*	516	*16%*	
Minority households	1532	*69%*	1871	*56%*	
Non-minority	684	*31%*	1369	*41%*	
Elderly families	597	*27%*	604	*18%*	
Disabled families	1430	*65%*	1237	*37%*	
1 member	1106	*50%*	1087	*33%*	
2 members	501	*23%*	745	*22%*	
3 members	308	*14%*	662	*20%*	
4 members	180	*8%*	436	*13%*	
5 members	74	*3%*	197	*6%*	
6 members	34	*2%*	76	*2%*	
7 members	9	*0%*	21	*1%*	
8+ members	4	*0%*	8	*0%*	

Low Income Public Housing

HANH completed FY2013 with 2,590 MTW LIPH units. Of these, 2,590 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, 2013, HANH has a MTW public housing stock of 2,590 public housing units. This includes 1,186 site-based family units; 1,070 Elderly/Disabled units; 144 Elderly only units, and 190 Scattered Site units.

Of these units, 2,364 are available for occupancy (difference represents 226 approved vacancies for units off line for modernization, officers in residence, offices and TRC offices/food banks.) This represents an overall increase of 84 units (newly brought on line Brookside Phase II and 122 Wilmot rental).
This reflects a reduction of 375 units since the beginning of HANH's MTW status, when HANH's housing stock included 2,965 total units.

Development Name	Units beginning FY2013	Planned Units to Add	Planned Units to Remove	Planned Units at end of FY2013	Actual Units at FY2013	Variance
122 Wilmot	-	34		34	34	-
Valentina Macri	17		17	-	-	-
Valley Townhouses	40		40	-	40	40
Ribicoff Cottages	100		100	-	100	100
Farnam Courts	240		240	-	240	240
Fairmont Heights	98		98	-	98	98
Westville Manor	151			151	151	-
McConaughy Terrace	201			201	201	-
Katherine Harvey	17			17	17	-
Newhall Gardens	26			26	26	-
Prescott Bush	56			56	56	-
CB Motley	45			45	45	-
Crawford Manor	109			109	109	-
William T Rowe	172		172	-	172	172
McQueeney Towers	150			150	150	-
Winslow Celentano	65			65	65	-

RT Wolfe	93			93	93	-
Ruoppolo Manor	105			105	105	-
Waverly Townhouses	52			52	52	-
Quinnipiac Terrace I	58			58	58	-
Quinnipiac Terrace 2	56			56	56	-
Quinnipiac Terrace 3	17			17	17	-
Essex Townhouses	35			35	35	-
Scattered Site - Multi Family	116			116	116	-
Scattered Site - West	24			24	24	-
Scattered Site - East	50			50	50	-
Eastview Terrace	53			53	53	-
Monterey 1	42			42	42	-
Monterey 2	7			7	7	-
Monterey 3	45			45	45	-
Monterey 4	42			42	42	-
Monterey 5	17			17	17	-
Monterey Phase 2R	28			28	28	-
New Rowe	46			46	46	-
Brookside Phase 1	51			51	51	-
Brookside Phase II	-	84		84	50	(34)
Edith Johnson Towers	95			95	95	-
William Griffin	4			4	4	-
Total	2,523	118	667	1,974	2,590	616

Valley Townhouses – Rental Assistance Demonstration application that has been tabled.
Ribicoff Cottages – Planned removal of units during FY 2014
Farnam Courts – Planned removal of units during FY 2014
Fairmont Heights - Rental Assistance Demonstration application that has been tabled.
William T Rowe – waiting for HUD approval of demolition, all units are demolished.
Brookside Phase II – Planned occupancy of units during FY 2014.

Housing Choice Voucher Program

HANH began FY 2013 with budgetary authority for 4,388 tenant based vouchers. At the start of FY2013, 2,932 were leased. At the close of FY2013 2,914 were leased. HANH began FY2013 with 387 project based vouchers under lease. During FY2013, HANH anticipated adding 106 PBVs to a total of 493. At the close of FY2013 409 PBVs were under lease. In addition, HANH manages the following non-MTW HCV: 80 SROs and 85 VASH.

Housing Program & Type	Description	Units beginning FY2013	Planned Units to be Removed	Planned Units to be Added	Planned Units at end of FY2013	Actual Units at FY2013	Variance
Project Based Vouchers							
Foreclosure (PBV RFP)	Foreclosure protection	15	0	0	15	0	-15
PBV Fellowship I	100% Supportive Housing	18	0	0	18	17	-1
PBV Fellowship II	100% Supportive Housing	5	0	0	5	3	-2
PBV Also Cornerstone	100% Supportive Housing	4	0	0	4	2	-2
PBV Norton Court	100% Supportive Housing	12	0	0	12	12	0
PBV QT Phase 1	81 units – 28% of units PBV	23	0	0	23	21	-2
PBV QT Phase 2	79 units – 29% of units PBV	23	0	0	23	23	0
Park Ridge	100% Elderly/disabled housing	60	0	0	60	57	-3
Eastview	102 units – 48% of units are PBV	49	0	0	49	47	-2
West Village	52 Howe – Single Room Occupancy Units	13	0	0	13	13	0
Casa Otonal	12 PBV – families	12	0	0	12	10	-2
CUHO Existing	Scattered Site PBV- Families	24	0	0	24	12	-12

Frank Nasti Existing	Scattered Site PBV- Families	11	0	0	11	7	-4
Shartenburg	20 PBV units for City initiative 360 State- Families	20	0	0	20	16	-4
CUHO New Construction	Affordable 8 unit rental housing development- Families	0	0	8	8	0	-8
QT III	33 rental units 48% are PBV	16	0	0	16	16	0
Brookside Phase I Rental	101 affordable rental mixed - 50% of units are PBV	50	0	0	50	48	-2
MHA New Construction	8 rehabilitation / 12 new construction affordable housing - 45.5% of units are PBV	0	0	20	20	14	-6
New Rowe Building	104 affordable mixed use, mixed finance development 31% of units are PBV	32	0	0	32	30	-2
Brookside Phase 2 Rental	51 PBV for affordable housing for families in 1 to 4 bedroom units	0	0	51	51	48	-3
122 Wilmot Road	13 PBV for affordable housing for elderly in 1 and 2 bedroom accessible units	0	0	13	13	13	0
Supportive housing/Homelessness Prevention	Up to 10 PBV for supportive housing for formerly homeless individuals and families	0	0	10	10	0	-10
Cedar Hill		0	0	4	4	0	-4

PBV Subtotal		**387**	**0**	**106**	**493**	**409**	**-84**
Tenant Based Vouchers		2838	0	0	2838	2838	0
Tenant Based DHMAS Supportive – Housing First		10	0	0	10	10	0
DMHAS Mental Health Transformation Grant – FUSE		10	0	0	10	10	0
Family Options – Homeless		15	0	0	15	15	0
Permanent Enrichment		5	0	0	10	5	-5
Foreclosure Protection and/or Supportive Housing for Homeless(tenant based)		35	0	15	50	35	-15
William T. Rowe relocation vouchers	Replacement Housing Vouchers	9	0	0	9	0	-9
Brookside Homeownership Phase 1	10 new homeownership units	10	0	9	19	0	-19
Family Unification- vouchers for families involved with child protection agency to assist in reunification plans	12 TBV DCF	0	0	12	12	0	-12
Project Longevity	20 vouchers for city initiative targeting homeless former offenders		0	20	20	1	-19
TENANT BASED VOUCHERS SUBTOTAL		**2932**	**0**	**56**	**2993**	**2914**	**-79**
PBV + TBV MTW SUBTOTAL		**3319**	**0**	**162**	**3486**	**3323**	**-163**
Non-MTW – VASH		35	0	0	35	35	0
New Non-MTW VASH		50	0	0	50	50	0
Non-MTW – SRO		80	0	0	80	80	0

The variance of vouchers planned and not issued are timing issues and HANH continues to offer and lease up these vouchers during FY 2014.

III. Proposed MTW Activities: HUD approval requested

ALL PROPOSED AVTIVITIES THAT ARE GRANTED APPROVAL BY HUD ARE REPORTED ON IN SECTION IV AS "APPROVED ACTVITIES".

IV. Approved MTW Activities: HUD approval previously granted

A. IMPLEMENTED ACTIVITIES

This report summarizes progress related to MTW initiatives for which HUD has previously granted approval. Non-MTW initiatives are not included in this report. HUD announced new MTW reporting requirements in 2013 as outlined in its Form 50900 (Attachment B): Elements for the Annual MTW Plan and Annual MTW Report. To conform to the new standards, HANH has altered its MTW Report format including the impact analysis section which includes new metrics that have been standardized by HUD.

The table below maps MTW initiatives (previously approved by HUD) that have been implemented in or prior to Fiscal Year ("FY") 2013 as they were described in the 2012 MTW Report to the new format found in the 2013 MTW Report.

In FY 2013, HANH continues to make progress toward the following MTW initiatives:

2013 MTW Plan Descriptions	***2013 MTW Report Sections***
Increase Housing Choice	
Initiative 1:1 – Development of Mixed Use Development at 122 Wilmot Road. Initiative 1:2 - Design Guidelines, TDC and HCC Waivers. Initiative 1.4 - Over Income for Brookside Phase 2 Rental for PBVs. Initiative 1.8 - Farnam Courts Transformation Plan. Initiative 1.9 - Increase Cap on PBV units from 75 percent to 100 percent. Initiative 1.10 - Establish income eligibility criteria for Housing Choice Voucher Program. 1.11 - Increase the percentage of Housing Choice Voucher budget authority for the Agency that is permitted to project-base from 20% to 25%. Initiative 1.12 - Development of Replacement Public Housing Units with MTW Block Grant Funds. Initiative 1.13 - Creation of a commercial business venture at 122 Wilmot Road.	***Increase Housing Choice: Redevelopment*** ***(Initiatives 1.1, 1.2, 1.4, 1.8, 1.9, 1.10, 1.11,1.12, and 1.13 have been combined for impact tracking purposes)***
(Initiative 1.3) Fungibility. Directed by HUD to eliminate in MTW reporting for 2013 as it is not necessary to list as an initiative.	***Not included per HUD***

2013 MTW Plan Descriptions	*2013 MTW Report Sections*
(Initiative 1.5) Foreclosure protection program continued during FY 2013.	***(Initiative 1.5) Increase Housing Choice: HCV Preference and Set-Aside for Victims of Foreclosures***
(Initiative 1.6) Expanded Housing Opportunities continued during FY 2013.	***(Initiative 1.6) Increase Housing Choice: Deconcentration of Poverty (Promote Expanded Housing Opportunities for HCV Program)***
(Initiative 1.7) Tenant Based Voucher for Supportive Housing for the Homeless continued during FY 2013.	***(Initiative 1.7) Increase Housing Choice: Tenant-Based Vouchers for Supportive Housing for the Homeless***
Increase Family Self-Sufficiency	
(Initiative 2.1) Enhanced Family Self-Sufficiency program continued during FY 2013.	***(Initiative 2.1) Increase Family Self-Sufficiency: Family Self-Sufficiency (FSS) Program***
(Initiative 2.2) Promoting Self-Sufficiency/Earned Income Exclusion initiative continued during FY 2013.	***(Initiative 2.2) Increase Family Sufficiency: Homeownership Program (Promoting Self-Sufficiency/Earned Income Exclusion)***
(Initiative 2.3) CARES Initiative - Self sufficiency initiative geared toward families residing in the newly redeveloped Brookside Phase 2 community that introduces term limits, escrow accounts and self sufficiency support services. Lease-up for Brookside Phase 2 began in FY 2013.	***(Initiative 2.3) Increase Family Self-Sufficiency: CARES (Caring About Resident Economic Self Sufficiency)***
Cost Effective and Efficient Service Delivery	
(Initiative 3.1) Rent simplification. HANH's rent simplification program offers a standardized rent tier table with deductions included and alternate year (biennial and triennial) recertifications. HANH has fully implemented its Rent Simplification initiative and all activities continued during FY 2013.	***(Initiative 3.1) Cost Effective and Efficient Service Delivery: Rent Simplification***
(Initiative 3.2) Revised UPCS Inspections. Since HANH implemented the initiative in 2008, HUD subsequently permitted all PHAs to inspect on a similar schedule.	***(Initiative 3.2) <Closed-Out>***

2013 MTW Plan Descriptions	2013 MTW Report Sections
Although the activity continued in FY2013, it will no longer be reported on as an MTW initiative.	Subsequent to implementation, HUD has permitted all PHAs to inspect on a similar schedule. Although the activity continued in FY 2013, it will no longer be reported on as an MTW initiative.
(Initiative 3.3) Revised Inspection protocols for HCV units. Alternative HCV unit inspections for high performing landlords reduce the administrative and staff costs for conducting inspections and it provides an incentive for landlords to ensure that the units are up to Housing Quality Standards. This initiative continued during FY 2013.	***(Initiative 3.3) Cost Effective and Efficiency Service Delivery: Revised HQS Inspection Protocol***
(Initiative 3.4) Mandatory Direct Deposit. Direct Deposit alleviates the cost to print paper checks and mailing costs associated with them and it guarantees that HAP payments will be electronically deposited a lot quicker the mailing a check to the landlord.	***(Initiative 3.4) <To be Closed-Out>*** HANH believes this initiative does not require MTW flexibility (allowed through general operating flexibility) and has removed from MTW Report tracking.

The following projects commenced and/or continued during FY 2013 and require MTW funding flexibility ONLY:

2013 MTW Plan Descriptions	2013 MTW Report Sections
Project Modernization. During FY13 the modernization projects include envelope enhancements to Winslow-Celentano and Ruoppolo Manor. Agency wide, HANH is continuing to address long-term vacancies and modifying units for UFAS compliance. There is an ongoing effort to remediate items identified in the 2009 PNA at the various scattered sites. Additional phases of erosion control at Westville Manor will be completed. Other modernization efforts are planned at McConaughy Terrace, Fulton Park, Westville Manor. In addition, UFAS activity continued in FY 2013.	***Increase Housing Choice: Redevelopment*** ***Note: HANH is reviewing whether this activity requires MTW funding flexibility***
Vacancy Reduction. HANH will continue to show improvement from the baseline FY 2008 vacancy rate of 10%. Efforts continued in FY 2013.	***Increase Housing Choice: Redevelopment***
Supportive Services. All planned supportive service initiatives have been implemented and continued during FY 2013 including: resident Services for families, resident services for Elderly/Disabled, supportive Services Contracts in Elderly/Disabled buildings, and Section 3 Employment and Training.	***Increase Family Self-Sufficiency: Resident Services for Elderly/Disabled***
Deconcentration of Poverty (Housing Choice Voucher): By providing participants	***Increase Housing Choice: Deconcentration of***

2013 MTW Plan Descriptions	*2013 MTW Report Sections*
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. Deconcentration efforts continued during FY 2013.	***Poverty (Promote Expanded Housing Opportunities for HCV Program)***
Specialized Training Opportunities for HANH's FSS families. HANH's Specialized Training program 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. Training continued in FY 2013.	***Increase Family Self-Sufficiency: Family Self-Sufficiency (FSS) Program***
Business Development Support/Resident-Owned Business Development Support Program. Support continued in FY 2013.	***Increase Family Self-Sufficiency: Resident Owned Business Development***
SEHOP Capital Improvement Program. This program supports new homeowners with necessary capital improvements that arise after being in the home for a minimum of three years. This program continued in FY 2013.	***Increase Housing Choice: SEHOP Capital Improvement Program***
Prison/Community Re-entry initiative. HANH established a preference for LIPH units (a maximum of 12 units) for individuals returning to the community from prison who are engaged in community supportive services and job skills training. Residents receive case management services which will assist them in identifying needs and coordinating referrals and services. This initiative continued in FY 2013.	***Increase Housing Choice: Prison/Community Reentry***

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

2013 MTW Plan Descriptions	*2013 MTW Report Sections*
Major Redevelopment Efforts at West Rock (Brookside Phase I, II and Homeownership and Rockview).	***Increase Housing Choice: Redevelopment***

Closed-Out Activities

Some initiatives that have been previously outlined in MTW Plans and Reports have been removed since they do not (or no longer) require MTW flexibility. Initiatives that have been closed-out for tracking purposes include the following:

- Revised UPCS Inspections. Since HANH implemented the initiative in 2008, HUD subsequently permitted all PHAs to inspect on a similar schedule. Although the activity continued in FY2013, it will no longer be reported on as an MTW initiative. (Initiative 3.2)
- 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. (Initiative 3.4). HANH does not believe this initative requires MTW flexibility as it is part of general operational flexibility.
- Cap on Project Based Units in a Project. This initiative was replaced by a more comprehensive initiative that HANH had in place in FY 2013.

Activities On Hold

The following initiatives are on hold:

- LIPH: Income targeting - marketing initiatives for higher income eligible families. This initiative was deferred in FY12 and continued to be deferred in FY13 due to HANH's current focus on redevelopment.
- During FY13 the project at Fulton Park was deferred until FY14 due to an ongoing structural evaluation.

Not Yet Implemented Activities

No activities have yet to be implemented.

IMPLEMENTED ACTIVITIES: MTW INITIATIVES

Increase Housing Choice

Increase Housing Choice: Redevelopment

1. Redevelopment Initiatives.

HANH redevelopment initiatives include the following components:

i. Initiative 1:1 - HANH completed the Development of Mixed Use Development at 122 Wilmot Road
ii. Initiative 1:2 - HANH continued implementation of its Local TDC limits initiative.
iii. Initiative 1.8 - Continuation of the Farnam Courts Transformation Plan.
iv. Initiative 1.9 - Continuation of authorization to Increase the Allowed Percentage of Project Based Units from 75 percent to 100 percent in a mixed finance development
v. Initiatives 1.4 and 1.10 - Defining Income Eligibility for the Project Based Voucher Programs
vi. Initiative 1.11 - Increase the percentage of Housing Choice Voucher budget authority for the Agency that is permitted to project-base from 20% up to 25%.
vii. Initiative 1.12 - Development of Replacement Public Housing Units with MTW Block Grant Funds
viii. Initiative 1.13 - Creation of a commercial business venture at 122 Wilmot Road

2. Description and Impact Analysis

a) *Description of Activities*

HANH's redevelopment activities include the following elements:

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

The Authority purchased a site at 122 Wilmot Road that is slightly more than one acre. The structure was demolished. The Authority redeveloped 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.

The agency financed a portion of the cost of this project using an accumulation of Connecticut Housing Finance Authority Tax Credits, Private mortgage financing and investor equity. The development was completed and occupied in September 2013.

ii. Local Total Development Cost (TDC) Limits: proposed and approved in 2009 MTW Annual Plan.

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

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

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

HANH prepared a TDC and HCC schedule, which reflects construction, and development costs in New Haven. HANH first submitted its revised Alternate TDC and HCC schedule as part of the Appendix to the MTW Fiscal Year 2009 Report. On July 2, 2010, HANH received HUD approval for its Alternate TDCs and HCC limits. During Fiscal Year 2012, HANH submitted revised TDC and HCC limits and is awaiting HUD approval.

- **Rationale**: Developing housing that addresses the above stated objectives raises construction cost.

- **Expected impact:** Reduction on maintenance cost, including turn over cost. Increase housing choices and quality of life of residents. Reduction in utility expenses incurred per units.

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

The Authority applied for the Choice Neighborhoods Initiative Planning Grant. This grant will allow for a comprehensive approach to neighborhood transformation of Farnam Court and the Mill River area. Unfortunately, during FY 2012, the Authority was notified that it was unsuccessful in obtaining the Choice Neighborhoods Initiative Planning Grant. However, in February 2012, HUD reissued the Notice of Funding Availability (NOFA) for the 2012 Choice Neighborhoods Initiative Implementation Grant for which the Authority has applied. The Housing Authority was notified that it did not receive the Grant. Therefore, during FY 2013, the Authority will again apply for the 2013 Choice Neighborhoods Initiative Implementation Grant. If awarded, this grant will provide for up to $30,000,000 in funding to transform Farnam Courts and the surrounding neighborhood. As one of the older, blighted developments in our portfolio, Farnam Courts is an ideal center focus towards initiating a transformation plan. The development sits on a little over one acre of land and has a highly dense population, housing 240 families and individuals. Farnam Courts is located in a severely distressed neighborhood with higher than average vacancy rates and a higher than average concentration of extremely low income persons. With Interstate I-91 abutting the northern boundaries and limited city streets within the community, Farnam is an attraction for crime and illegal drug transactions.

As part of the transformation plan, we are proposing not only a redevelopment of the housing units at Farnam Courts but transformation of the surrounding Mill River community into a community that supports the long term economic sustainability of our residents, as well as the long term economic sustainability of Mill River and the City of New Haven. Through collaboration with other community partners, including the Economic Development Corporation, City of New Haven, the Board of Education and many more, the Authority anticipates to redesign the infrastructure to create more traffic flow through the community, redesign the housing units to be more spacious, remove barriers that individuals and families are facing by providing supportive services, and other critical components as they arise throughout the planning process. The supportive services may include but are not limited to improved access to jobs, high quality early learning programs, public assets, public transportation, and high quality public schools and education programs.

Rationale: Improving conditions not only in a development but also in a neighborhood will create economic stability of the neighborhood.

Expected impact: Increase housing choices and quality of life of residents.

iv. Increase the Allowed Percentage of Project Based Voucher ("PBV") units from 75 percent to 100 percent.

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

HANH conducted analysis of the feasibility of converting Annual Contribution Contract ("ACC") units to Project Based Units using criteria similar to that set forth under Section 22. HANH will increase its flexibility to allocate the number of units in a project from 75 percent as previously approved by HUD to 100 percent for the purpose of converting ACC units to PBV units under this initiative. 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 will provide all of the assistance and counseling as required under Section 18 or the Uniform Relocation Act, if applicable.

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

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

- **Rationale**: Successful redevelopment of underperforming 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.

- **Expected impact:** Increasing the cap from 75 percent to 100 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 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.

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

To be eligible to receive assistance under the Project Based Voucher Programs, a family must meet the following income limits under Section 8(o) (4) of the Housing Act of 1937: (A) Be a very low-income family; (B) Be a family previously assisted under this title; (C) Be a low-income family that meets eligibility criteria specified by the public housing agency; (D) a family that qualifies to receive a voucher in connection with a homeownership program approved under title IV of the Cranston-Gonzalez National Affordable Housing Act; or (E) Be a family that qualifies to receive a voucher under section 223 or 226 of the Low-Income Housing Preservation and Resident Homeownership Act of 1990.
In order to promote housing choice, which includes developing communities that provides housing that serves a wide range of incomes and to reduce the cost of the program, the Authority will use the flexibility granted to it under Attachment C, Section C(3)(a) of the MTW Agreement to establish eligibility criteria under its Administrative Plan to require that no less than 40 percent of the project based vouchers awarded in any year to be awarded to families with incomes at or below 30 percent of the area median income, adjusted for family size. HANH will award up to 15 percent of the PBV's allocated to for any mixed finance project to families with incomes between 50 and 80 percent of Area Median Income. 45 percent of PBV may be allocated to families with income between 50 and 80 percent AMI for Brookside Phase 2 Rental mixed finance development.

During Fiscal Year 2013, HANH leased Brookside Phase II utilizing this structure, which is summarized as follows:

- No less than 40 percent of the project based vouchers awarded in any year to be awarded to families with incomes at or below 30 percent of the area median income, adjusted for family size.
- HANH will award up to 15 percent of the PBV's allocated to for any mixed finance project to families with incomes between 50 and 80 percent of Area Median Income 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 mixed finance development.

- **Rationale**: Increasing the cap from for mixed finance projects 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 It also helps promote investments in areas where other significant investments are being made.

  Expected impact: Increase housing choices and quality of life of residents. Increase number of affordable units developed by increasing the amount of private debt a project can afford to pay.

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

This authorization will allow for the continued redevelopment efforts of the underperforming developments as well as increase housing choices for our residents.

vii. Development of Replacement Public Housing Units with MTW Block Grant Funds (Proposed in Amendment #1 to MTW Annual Plan 2013)

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

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

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

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

- **Rationale:** This initiative will enable HANH to address the redevelopment needs of certain projects which it has not been able to meet to this point

- **Expected Impact:** Production of approximately 350 new public housing units for low-income families.

vii. Creation of a Commercial Business Venture at 122 Wilmot Road – (Proposed in MTW 2013 Annual Plan Amendment #3)

The Glendower Group Inc, or an affiliate thereof, is developing a mixed-use facility at 122 Wilmot Road in accordance with 24 CFR 941, Subpart F and HANH's MTW Agreement Attachment C, Section 14 of the Amended and Restated MTW Agreement. The 122 Wilmot Road is a part of the West Rock Redevelopment efforts of HANH. The mixed-use facility will provide for the Glendower Group Inc., or an affiliate thereof, an opportunity to develop one or more cooperative ventures to facilitate economic growth and create wealth in the West Rock community.

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

- **Rationale:** Under the MTW Agreement with HUD, Attachment C, Section 14, the Agency is authorized to enter into commercial business ventures as part of its neighborhood revitalization or affordable housing strategies or other strategies designed to serve as catalyst for revitalization of public housing or surrounding communities.

- **Impact:** This initiative will enable HANH to address the needs of the West Rock Community at large, specifically, the HANH residents at the ten (10) aforementioned developments in this isolated part of the City of New Haven that currently lacks resources for residents.

HANH will provide updates on this initiative in future Annual Plans and Reports.

viii. Project Modernization.

During FY 2013 the modernization projects include envelope enhancements to Winslow-Celentano and Ruoppolo Manor. Agency wide, HANH is continuing to address long-term vacancies and modifying units for UFAS compliance. There is an ongoing effort to remediate items identified in the 2009 PNA at the various scattered sites. Additional phases of erosion control at Westville Manor will be completed.

HANH ambitious modernization program is made possible by the funding flexibility of the MTW program and enables improvements at the following developments: Ruoppolo Manor, McQueeney Towers, Crawford Manor, Winslow-Celentano, 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 and engineering services required by these activities and the abatement testing, remediation and monitoring associated costs.

During FY 2012 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 FY 2012 the project at Fulton Park was deferred until FY 2013 due to capacity issues.

Vacancy Reduction initiatives have allowed HANH to continue to show improvement from the baseline FY 2008 vacancy rate of 10%. HANH closed the fiscal year with a vacancy rate of 7%.

Completion of long term capital improvement projects will result in lease up of long term vacant units at Ruoppolo Manor, Robert T. Wolfe, and Westville Manor in FY 2013.

- **Rationale:** There is an ongoing effort to remediate items identified in the 2009 PNA.
- **Impact:** This initiative will enable HANH to reduce vacancy and increase the operational efficiency of its housing inventory.

The following table shows which MTW initiative was utilized in each redeveloped property.

Buildings			Redevelopment	
	Complete Construction	Leased up	TDC HCC limits	PBV and Income
122 Willmot Road (WestRock)	10/31/2013	9/30/2013	x	x
Brookside Phase I (WestRock)	8/10/2012	7/23/2013	x	x
Brookside Phase II (WestRock)	11/1/2012	2/1/2013	x	x
William T. Rowe (land swap)	8/5/2011	10/31/2011	x	x
Rockview Phase I (WestRock)	under construction	Not applicable	x	x
Quinnipiac Terrace III	5/31/2011	7/31/2011	x	x
Eastview Terrace	11/5/2008	6/30/2009		
Farnam	Under design	Not applicable	x	x

b) *Impact Analysis*

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for the redevelopment initiatives, in accordance with HUD Form 50900 (Attachment B).

Housing Choice

HC #2: Units of Housing Preserved				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available.	2,965 (frozen 2001 base)	2,529	2,613	Yes

HC #6: Increase in Homeownership Opportunities				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households that purchased a home as a result of the Brookside Homeownership Program.	0	By the end of the program, HANH expects that 20 first time homebuyers will be homeowners. The program has been in place for 2 years. By the end of Fiscal Year 2013,HANH expects that 12 units would be built.	Actual number of homeonwership units built is 10 units and 5 units have been purchased.	Yes

Cost Effectiveness				
CE #4: Increase in Resources Leveraged				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Rowe dollars leveraged	QT/QT2 1.7:1	ratio of 2 to 1.	HANH's funding $ 18,919,083. Other sources of funds $ 17,221,822. This project has generated a leverage ratio of approximately 1 to 1.	Yes
Brookside phase I dollars leveraged	QT/QT2 1.7:1	ratio of 2 to 1.	HANH's $ 19,779,882 investment has leveraged $25,789,399 of non-public housing and non MTW funds. This project has generated a leverage ratio of more than 1 to 1.	Yes
Brookside phase II dollars leveraged	QT/QT2 1.7:1	ratio of 2 to 1.	HANH's $ 3,687,107 investment has leveraged $26,111,025 of non-public housing and non-MTW funds. This project has generated a leverage ratio of more than 7 to 1.	Yes
Rockview Phase I dollars leveraged	QT/QT2 1.7:1	ratio of 2 to 1.	HANH's $ 6,046,932 investment has leveraged $27,360,306 of non-public housing and non-MTW funds. This project has generated a leverage ratio of more than 4 to 1.	Yes
122 Wilmot Road dollars leveraged	QT/QT2 1.7:1	ratio of 2 to 1.	HANH's $ 1,645,602 investment has leveraged $14,616,597 of non-public housing and non-MTW funds. This project has generated a leverage ratio of more than 8 to 1.	Yes

Housing Choice impact summary:

- 359 units have been built or are under construction.
- Under the Brookside Homeownership Program, 10 units have been built and 5 of them have been sold to first time homebuyers.

Cost Effectiveness impact summary:

- HANH increased and diversified its revenue streams when it started collecting development fees. Since inception of this initiative, HANH has collected more than $2.6 millions in development fees. In the near future, HANH is expected to collect an additional $3.6 million from projects under design or construction.
- HANH's investment has leveraged funding of non-public housing and non-MTW funds. Each of HANH’s redevelopment projects has generated between a 1 to 1 leverage ratio to an 8 to 1 leverage ratio. Collectively, all HANH’s investments under the redevelopment initiative added up to $50,078,606. This investment has collectively leveraged $111,099,149 of non-public housing and on-MTW funds. This consolidated figures results in a leverage ratio of 1 to 2.2.

Internal Metrics

Below are HANH-specific internal metrics, baselines, and benchmarks for the Redevelopment initiatives. These metrics help HANH further understand the impact to our agency and families.

Internal Metrics - Redevelopment

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Increase in Agency Revenue - Rowe redevelopment fees	0	Zero	$893,374	Yes
Increase in Agency Revenue - Brookside Phase 1 redevelopment fees	0	Zero	$1,081,094	Yes
Increase in Agency Revenue - Brookside Phase 2 redevelopment fees	0	Zero	$725,704	Yes
Increase in Agency Revenue - Rockview Phase I redevelopment fees	0	Zero	HANH will collect $ 2,233,167.	Yes
Increase in Agency Revenue - 122 Wilmot Road redevelopment fees	0	Zero	HANH will collect $ 1,419,767.	Yes

CE #5 assumptions: HANH has created a new stream of revenues from redevelopment actitivities. The redevelopment fees are paid by investors and compensates HANH for administrative costs.

REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs).	10% increase. REAC scores would reach 88.	Quinnipiac Terrace, 89 (2012) Eastview Terrace, 95 (2012) McConaughy Terrace 70 (2009) 58 (2010) 78 (2011) 82 (2012) McQueeney 54 (2009) 85 (2010) 59 (2011) 64 (2012) Rbicoff Cottages -EXT 91 (2009) 68 (2010) 82 (2011) 82 (2012) Robert Wolfe 51 (2009) 80 (2010) 49 (2011) 82 (2012) Ruoppolo/Fairmont 56 (2009) 61 (2010) 65 (2011) 79 (2012) Westville Manor 90 (2009) 35 (2010) 51 (2011) 47 (2012) Winslow Celentano 53 (2009) 72 (2010) 74 (2011) 71 (2012).	Yes
Average work order per unit	TBD	Brookside Phase I: 500 (10 work/yr) Brookside Phase II: 500 QT1 : 560 QT2 : 580 QT3 : 170 Eastview 490	Brookside Phase I: 283 Brookside Phase II: 323 QT1 : 104 QT2 : 273 QT3 : 289 Eastview : 287	Yes
Average (Actual TDC - TDC at HUD's limits)/number of units	0	This metric cannot be narrowly defined into a single figure. However, if HANH does not exceed HUD's approved alternative TDC limit, then HANH would have achieved its benchmark.	Brookside I, 50 units $107,700 per unit Quinnipiac, 17 units $71,800 per unit Rowe, 78 units, $16,700 per unit	Yes, Benchmark Achieved in all redeveloped properties listed in this report.

Assumption: HANH did not use above HUD's standard limits for Eastview, 122 Wilmot Road, Rockview and Brookside II

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average (Actual HCC -HCC at HUD's limits)/number of units	0	This metric cannot be narrowly defined into a single figure. However, if HANH does not exceed HUD's approved alternative HCC limit, then HANH would have achieved its benchmark.	Brookside I, 50 units $132,000 per unit Quinnipiac, 17 units $66,000 per unit Rowe, 78 units, $33,787 per unit Brookside 2, 50 units $27,900 per unit	Yes, Benchmark Achieved in all redeveloped properties listed in this report.

Assumption: HANH did not use above HUD's standard limits for Eastview, 122 Wilmot Road and Rockview

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Reduction of utility expenses per unit, pre and post redevelopment - Electric	Valley Waverly $10,800 per units in 2012.	5% reduction. Electric utility expenses would reach approximately $10,300 per unit.	Eastview Terrace $9,863 per units Quinnipiac Terrace $5,685 per unit in Fiscal Year 2012	Yes

Assumption: HANH calculated the savings by comparing utility cost at Eastview Terrace, and Quinnipiac Terrace after redevelopment was completed against Valley Waverly, which is not a redeveloped building.

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Reduction of utility expenses per unit, pre and post redevelopment - gas	Valley Waverly $730 per units in 2012.	5% reduction. Gas utility expenses would reach approximately $790 per unit.	Eastview Terrace $333 per units Quinnipiac Terrace $415 in Fiscal Year 2012	Yes

Assumption: HANH calculated the savings by comparing utility cost at Eastview Terrace, and Quinnipiac Terrace after redevelopment was completed against Valley Waverly, which is not a redeveloped building.

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in 2005: 47.	10% reduction in number of major crimes.	Quinnipiac major crimes in 2012: 3. West Rock (122 Wilmot, Brookside I and II) major crimes in 2012: 25.	Yes
Occupancy	Brookside Phase I: 85% (2001) Brookside Phase II: 0 Quinniapiac I: 83% (2001) Quinniapiac II: 0 Quinniapiac III: 0 Rowe: 76% (2008)	95%	Brookside Phase I: 100% Brookside Phase II: 100% Quinniapiac I: 96% Quinniapiac II: 97% Quinniapiac III: 97 Rowe: 99%	
Number of households at below 25% Area Median Income (AMI)	Not applicable	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.	49% of families in Brookside Phase 1 have incomes below 25% AMI 50% of families in Brookside Phase 2 have incomes below 25% AMI	Yes
Number of households between 50% AMI and 80% Area Median Income (AMI)	Not applicable	15 percent of the PBV may be allocated to families with incomes between 50 and 80 percent of AMI for Brookside Phase 1 Rental. 45 percent of PBV may be allocated to families with incomes between 50 and 80 percent AMI for Brookside Phase 2 Rental	1% of families in Brookside Phase 1 have incomes above 50% AMI 21% of families in Brookside Phase 2 have incomes between 50% and 80% AMI	Yes

Internal Metrics impact summary:

- REAC score has increased compared to projects where redevelopment initiatives have not been applied, e.g. TDC and HCC extended limits.

- HANH has redeveloped the properties listed in this redevelopment initiative without exceeding HCC and TDC HUD's approved limits.
- The redeveloped properties have exhibited smaller energy foot print. Crime rate in the neighborhoods where the redeveloped properties are located have decreased significantly.

4. Challenges

Information about turn over cost, work orders, energy expenditures, and vacancy rates are not readably available for pre-redevelopment periods of time.

5. Tracking Revisions

No revisions to report.

6. Changes in Data Collection Methodology

Information about turn over cost, utility expenses, and work orders need to be collected more systematically.

Increase Housing Choice: HCV Preference and Set-Aside for Victims of Foreclosures

(Initiative 1.5)

1. Foreclosure Set-Aside: Implemented in FY2009.

New Haven, like many municipalities faced an increasing crisis related to mortgage foreclosures. 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.

2. Description and Impact Analysis

a) *Description of Activity*

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. 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. Tenants apply via the waitlist. Owners apply through the PBV RFP process. The program is not designed for the landlord who is in foreclosure.

Note: Demand for the PBVs was not sufficient and 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.

- **Rationale**: The loss of property by a landlord often threatens the housing of the HCV participant.
- **Expected impact**: Prevent displacement of families due to foreclosure of landlord.

b) *Impact Analysis*

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks in accordance with HUD Form 50900 (Attachment B).

Housing Choice				
HC #4: Displacement Prevention				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households at or below 80% AMI that would need to move due to foreclosure.	0 households (2009)	32 tenant-based vouchers available for foreclosure protection	- 2013: 24 active vouchers - 2012: 24 active vouchers - 2011: 25 active vouchers - 2010: 25 active vouchers	No. HANH will be reviewing the waiting list to fill remaining 8 vouchers.

Internal Metrics

HANH has no internal metrics beyond the metric tracked per HUD Attachment B listed above.

4. Challenges

No challenges regarding this initiative.

5. Tracking Revisions

No tracking revisions made on this initiative.

6. Changes in Data Collection Methodology

HANH is in the process of consolidating the collection of its MTW reporting data. This process includes collection of data for the revised HUD Attachment B metrics as well as our internal metrics.

Increase Housing Choice: Deconcentration of Poverty (Promote Expanded Housing Opportunities for HCV Program)

(Initiative 1.6)

1. Deconcentration of Poverty (*Promote Expanded Housing Opportunities for HCV Program):* Implemented in 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.

2. Description and Impact Analysis

a) *Description of Activity*

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.

- **Rationale**: 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.
- **Expected impact**: By allowing exception rents, families can locate and move into homes with 4 and 5 bedrooms, accessible features and in non-impacted areas that they would not have been able to lease within the 110% Voucher Payment Standard. Approval of exception rents slightly increases the annual expenditures under the HCV program.

b) *Impact Analysis*

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for this initiative in accordance with HUD Form 50900 (Attachment B).

Housing Choice

HC #5: Increase in Resident Mobility				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Annual number of incremental households leased-up in low povery areas* as a result of the activity	0 (2008)	10	- 2013: 10 - 2012: 7 - 2011: 7 - 2010: 13	Yes. Benchmark achieved in FY2013
Annual number of incremental households with exception rents approved due to bedroom size issue as a result of the activity	0 (2008)	n/a	- 2013: 0 - 2012: 0 - 2011: 1 - 2010: 7 - 2009: 1	There is no benchmark for this activity
Annual number of incremental households with exception rents approved due to an accessibilty issue as a result of the activity	0 (2008)	10	- 2013: n/a - 2012: 0 - 2011: 0 - 2010: 1 - 2009: 2	There is no benchmark for this activity

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

Internal Metrics

HANH has no internal metrics beyond the metric tracked per HUD Attachment B listed above.

4. Challenges

No challenges exist related to data collection on this initiative.

5. Tracking Revisions

There are no tracking revisions for this initiative.

6. Changes in Data Collection Methodology

HANH is in the process of consolidating the collection of its MTW reporting data. This process includes collection of data for the revised HUD Attachment B metrics as well as our internal metrics.

Increase Housing Choice: Tenant-Based Vouchers for Supportive Housing for the Homeless (Initiative 1.7)

1. Tenant-Based Vouchers for Supportive Housing for the Homeless: Implemented in FY2011.

Expand housing opportunities for the homeless by providing permanent housing with supportive services which will also enable them to become self sufficient.

2. Description and Impact Analysis

a) *Description of Activity*

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 FY2011 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.

- **Rationale**: Expand housing and services to one of most fragile populations served by HANH.
- **Expected impact**: Increased self-sufficiency.

b) *Impact Analysis*

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for this initiative in accordance with HUD Form 50900 (Attachment B). All required metrics are in the Cost Effectiveness category.

Self Sufficiency

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average total household income for households affected by this policy in dollars	$12,643 (2013)	Steady increase in average household income	TBD	Metric added for FY13 Report so will start tracking next year

SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of formerly homeless households enrolled in program (vouchers leased-up)	0 (2010)	10	2013: 5 2012: 10 2011: 7	Yes. All enrolled homeless families receiving supportive services since 2011

Housing Choice

HC #1: Additional Units of Housing Made Available				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Additional permanent housing made available to homeless families	0 (2010)	10	2013: 5 2012: 10 2011: 7	No. Effort being made to lease-up all designated vouchers

Internal Metrics

HANH has no internal metrics beyond the metrics tracked per HUD Attachment B listed above.

4. Challenges

Data currently resides in multiple databases across the organization. In addition, note that each year some homeless voucher 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. Since homeless family participant income was not tracked previously, HANH will begin adding data to that metric in the FY2014 Report.

5. Tracking Revisions

HANH have added two metrics compared to our FY2012 Report per HUD Attachment B. These are Increase in Household Income (SS#1) which will reflect earnings from any jobs gained; and Increase in Households Receiving Supportive Services (SS#5) which will reflect services provided to these families.

6. Changes in Data Collection Methodology

HANH is in the process of consolidating the collection of its MTW reporting data. This process includes collection of data for the revised HUD Attachment B metrics as well as our internal metrics.

Increase Family Self-Sufficiency

Increase Family Self-Sufficiency: Family Self-Sufficiency (FSS) Program

(Initiative 2.1)

1. Family Self-Sufficiency Program: Implemented in FY2007.

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. ***Note that this section excludes CARES, elderly/disabled services, homeownership, small business services, and the reentry program which have separate write-ups in the MTW report.***

2. Description and Impact Analysis

a) *Description of Activity*

HANH's FSS program provides intensive counseling and case management services to help participant families achieve their self-sufficiency goals, according to each family's needs. Adding new services has allowed HANH to provide much needed support to a larger number of LIPH and Section 8 residents.

i. General self-sufficiency classes. 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.

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

- **Rationale**: Additional training and support is needed by families to increase their employment options and earning potential.
- **Expected impact**: Increased self-sufficiency through employment and increased earnings.

b) *Impact Analysis*

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for this initiative in accordance with HUD Form 50900 (Attachment B). All required metrics are in the Self-Sufficiency and Housing Choice categories.

Self Sufficiency

SS #1: Increase in Household Income

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average earnings (wages) of households enrolled in FSS Program (excluding Specialized Training Program)	$4,082 (2013)	Steady increase in average household earnings	TBD	HANH is reevaluating its FSS tracking and will use 2013 as baseline year
Average earnings (wages) of households enrolled in Specialized Training Program	n/a	Steady increase in average household earnings	TBD	HANH is reevaluating its FSS tracking and will use 2013 as baseline year

SS #1 Assumptions: average earnings includes wages. Note that 81 out of the 155 FSS participants have zero income

SS #3: Increase in Positive Outcomes in Employment Status

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
FSS Program Participants (excl. Specialized Training): (1) Employed Full- Time (2) Employed Part- Time (3) Enrolled in an Educational Program (4) Enrolled in Job Training Program (5) Unemployed (6) Other	**2013 (TBD)** - Employed FT: - Employed PT: - Enrolled in Education: - Enrolled in Job Training: - Unemployed: - Other:	- Employed FT: - Employed PT: - Enrolled in Education: - Enrolled in Job Training: - Unemployed: - Other:	**2014 (TBD)** - Employed FT: - Employed PT: - Enrolled in Education: - Enrolled in Job Training: - Unemployed: - Other:	TBD
	Percentage of total work-able households in <<FSS Program>> prior to implementation of activity (percent). N/A	TBD	TBD	TBD
Specialized Training participants: (1) Employed Full- Time (2) Employed Part- Time (3) Enrolled in an Educational Program (4) Enrolled in Job Training Program (5) Unemployed (6) Other	**2013 (TBD)** - Employed FT: - Employed PT: - Enrolled in Education: - Enrolled in Job Training: - Unemployed: - Other:	- Employed FT: - Employed PT: - Enrolled in Education: - Enrolled in Job Training: - Unemployed: - Other:	**2014 (TBD)** - Employed FT: - Employed PT: - Enrolled in Education: - Enrolled in Job Training: - Unemployed: - Other:	TBD
	Percentage of total work-able households in <<Spec. Training Program>> prior to implementation of activity (percent). N/A	TBD	TBD	TBD

SS #5: Households Assisted by Services that Increase Self Sufficiency

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of FSS households that have taken vocational and computer classes (excluding Specialized Training)	155 (2013)	200	TBD	HANH is reevaluating its FSS tracking and will use 2013 as baseline year
Number of households enrolled in Specialized Training Program	0 (2011)	10	- 2013: 7 - 2012: 3	No - HANH attempting to enroll more households.

SS #5 Assumptions: 155 participants are those that have received FSS referrals and have had their assessment scheduled in 2013

Internal Metrics

HANH has no internal metrics beyond the metric tracked per HUD Attachment B listed above.

4. Challenges

Data currently resides in multiple databases across the organization which has presented challenges in terms of collection. HANH is also in the process of reevaluating its FSS metrics to eliminate redundancies in data entry, increase data integrity, and report on unique participants. As such, HANH will be resetting its FSS baselines and benchmarks. We are using 2013 data for baselines in some cases and in other cases we will need to reset baselines in the FY2014 report.

In addition, it is important to 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.

5. Tracking Revisions

We have eliminated the metric related to first time employment due to the fact that the included income, escrow, homeownership, and credit scores metrics provide a strong set of metrics related to self-sufficiency and program success. We will also be changing the HUD income metric (SS#1) in the FY14 MTW Report to reflect earnings rather than total household income.

6. Changes in Data Collection Methodology

HANH is in the process of consolidating the collection of its MTW reporting data. This process includes collection of data for the revised HUD Attachment B metrics as well as our internal metrics.

Increase Family Sufficiency: Homeownership Program (Promoting Self-Sufficiency/Earned Income Exclusion)

(Initiative 2.2)

1. Homeownership Program (*Promoting Self-Sufficiency/Earned Income Exclusion)*: Implemented in FY2008.

HANH's MTW Rent Simplification Program includes an Incremental Earnings Exclusion for families who participate in HANH's Family Self Sufficiency Program (FSS).

2. Description and Impact Analysis

a) *Description of Activity*

HANH believes promoting self-sufficiency is most effectively accomplished through helping residents to access services and supports. Incremental Earnings Exclusion is phased increases in earned income over the five year term of a family's participation in the FSS program. For example 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.

- **Rationale**: Escrow accounts will help participants make down payments on homes and homeownership increases family self-sufficiency.
- **Expected impact**: Increased income, savings, and homeownership.

b) *Impact Analysis*

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for this initiative in accordance with HUD Form 50900 (Attachment B). All required metrics are in the Self-Sufficiency and Housing Choice categories.

Self Sufficiency

SS #1: Increase in Household Income

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average income of households affected by this policy in dollars.	$18,526 (2009)	Steady increase in average household income	- 2013: $27,550 - 2012: $20,280 - 2011: $25,743 - 2010: $19,038	Yes. Average household income has increased more than 8% annually over the last 5 years

SS #2: Increase in Household Savings

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average amount of escrow of households involved in the program.	$0	Incremental annual increase in escrow average per participant	- 2013: $6,656 - 2012: $5,481	Yes. 21% increase in average escrow between 2012 and 2013. However, total escrow participants down from 35 in 2012 to 24 in 2013

SS#2 assumptions: 24 escrow participants and total escrow of $159,744 at end of FY13; 35 escrow participants and total escrow of $191,824 at end of FY12

SS #3: Increase in Positive Outcomes in Employment Status

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Report the following information separately for each category: (1) Employed Full- Time (2) Employed Part- Time (3) Enrolled in an Educational Program (4) Enrolled in Job Training Program (5) Unemployed (6) Other	<u>2013</u> - Employed FT: 15 - Employed PT: 15 - Enrolled in Education: n/a - Enrolled in Job Training: n/a - Unemployed: 10 - Self-Employed: 1	<u>2013 (TBD)</u> - Employed FT: - Employed PT: - Enrolled in Education: - Enrolled in Job Training: - Unemployed: - Self-Employed:	<u>2014 (TBD)</u> - Employed FT: - Employed PT: - Enrolled in Education: - Enrolled in Job Training: - Unemployed: - Self-Employed:	Whether the outcome meets or exceeds the benchmark.
	Percentage of total work-able households in <<FSS Program>> prior to implementation of activity (percent). N/A	TBD	TBD	Whether the outcome meets or exceeds the benchmark.

SS #5: Households Assisted by Services that Increase Self Sufficiency

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households enrolled in Homeownership Program	0	100 (50 PH + 50 HCV)	- 2013: 56 (25 HCV + 31 PH) - 2012: 66 (HCV + PH)	No - HANH attempting to enroll more households.

Housing Choice

HC #6: Increase in Homeownership Opportunities

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households that purchased a home as a result of Homeownership Program.	0	5 home purchases per year	36 homes purchased through FY13 (11 PH + 25 HCV). Breakdown by year: - 2013: 1 - 2012: 3 - 2011: 5 - 2010: 4 - 2009: 2 - Beg. through 2008: 21	No. Only one purchase in 2013; and averaging 3 purchases per year over last 5 years

Internal Metrics

Below is an internal metric beyond the metrics tracked per HUD Attachment B listed above.

Internal Metrics: Homeownership (FSS)				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average credit score of homeownership program participants	534 (2008)	Steady increase in average participant credit score	- 2013: 599 - 2012: 590 - 2011: 603 - 2010: 660 - 2009: 587	Yes. Average scores are more than 10% higher than in first year of implementation

4. Challenges

Data currently resides in multiple databases across the organization. In addition, 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.

5. Tracking Revisions

There are no tracking revisions.

6. Changes in Data Collection Methodology

HANH is in the process of consolidating the collection of its MTW reporting data. This process includes collection of data for the revised HUD Attachment B metrics as well as our internal metrics.

Increase Family Self-Sufficiency: CARES (Caring About Resident Economic Self Sufficiency)

(Initiative 2.3)

1. CARES program: Included in 2012 MTW Plan and approved by HUD.

HANH implemented its CARES Program in January, 2012.

2. Description and Impact Analysis

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

Prior to signing a lease at the newly redeveloped Brookside Phase II Rental site, all residents will have a pre-orientation that will explain the CARES Program. At the end of the 72-month limit receiving rental assistance, the rent will be adjusted to Flat rent (public housing) or Market rent (PBV), less prorated assistance for household members who are seniors, 18 years of age or under, disabled or otherwise exempt, as described in the plan.

We recognize that there are individuals who due to no fault of their own will not be able to achieve self-sufficiency on their own. Non-exempt individuals who have an Individual Service Plan (ISP) and case manager, and show progress towards the goals of the plan will continue to be able to receive assistance as long as they continue to make progress towards their goals. Out of the 101 units developed in the Brookside Phase II Rental project, 72 percent of the residents have been assessed and are required to enroll in the CARES program.

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

a) ***Description of Activities***

Residents and participants are incentivized to enroll in the CARES program because of the intensive supportive services offered, the escrow payment and the increased control over the use of their funds (including subsidy dollars). Also, the intensive supportive services for a 24-month period over the 72 months, residents will receive a lump sum of the equivalent to the subsidy payments in the final year of the program deposited into an escrow account (REEF) released upon graduation from CARES. The funds in the REEF at year three may be used to cover the following costs; a hardship (as defined under the Hardship Policy and Guidelines), purchase of a vehicle to attain or maintain employment (a onetime payment not to exceed $3,000 after all other options have been exhausted), start a small business (a onetime payment not to exceed $2,500 after all other options have been exhausted), purchase a computer, or enroll in higher education, subject to the approval of

HANH. The monthly subsidy payment will be pre-determined at an initial assessment conducted prior to lease up in a manner consistent with the Authority's Rent Simplification Program.

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

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

- **Rationale:** 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.
- **Expected impact**: 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.

b) ***Impact Analysis***

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for the CARES program, in accordance with HUD Form 50900 (Attachment B) self sufficiency section.

Self Sufficiency

SS #1: Increase in Household Income

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average Income for Full Cares / Transition CARES Residents.	Zero	Resident's income will increase by 4% per year due to job development and education.	Average income of population: $16,897 in Fiscal Year 2013	Can not be determined.

SS#1 assumptions: includes all sources of pretax yearly income, i.e. food stamp, social security, TANF, retirement, w-2, 1099, etc. Includes 24 Full CARES residents and 38 Transitional CARES residents.

SS #2: Increase in Household Savings

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average amount of savings/escrow of households affected by this policy in dollars (increase).	Zero	Average accrued savings per resident per one out of six years in the program will be $1,000 dollars per year.	Average accrued savings first year $1,287 dollars	Yes

SS#2 assumptions: The amount of escrow saving was estimated by calculating the amount of the rent subsidy which is the difference between the rent paid by the resident minus the rent market value of a two bedroom apartment - i.e. $1,380. That amount was multiplied by 9 months and divided by the six years' term limit of the program. This calculation is the average escrow accrued only for each of the current 24 Full CARES residents.

SS #3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Full CARES - number of residnets employed full time	Zero	60% of residents will remain employed full time.	Employed Full-Time: 24 Families.	Yes
Transition CARES - Number of residents employed part time	Zero	20% of population who was part time employed last year will move into full time employment.	Part time employment 26 families.	Can not be determined.
Number of families enrolled in education /job developmet training	Zero	10 % increase in enrollment of education/job development classes.	5 residents in GED 4 residents in Jr. College 5 residents in financial education 12 residents in computer education.	Can not be determined.
Number of residents unemployed	Zero	10% of enrolled resident who were unemployed in a given year will find employment in the subsequent year.	12 residents unemployed	Can not be determined.

SS #4: Households Removed from Temporary Assistance for Needy Families (TANF)				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households receiving TANF assistance.	Zero	Reduction by 20% of last year houselds receiving Temporary Assistance for Needy Families.	4 Families.	Can not be determined.

SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households receiving services aimed to increase self sufficiency.	Zero	Expected number of households receiving self sufficiency services after implementation of the activity: 10% Increase	62 families.	Can not be determined.

SS #8: Households Transitioned to Self Sufficiency				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households who receice zero subsidy at the end of year six.	Zero	12 by the end of the program. Estimated length of the program is six years in total.	Zero	Can not be determined.

Internal Metrics

Below are HANH-specific internal metrics, baselines, and benchmarks for the CARES program. These metrics help HANH further understand the impact to our agency and families.

Internal Metric: CARES

Enrollment				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Full CARES	Zero	25% Increase In Full Cares	24 Families in Full Cares	Can not be determined.
Transition	Zero	25% Reduction in Transition.	38 Families in Transition	Can not be determined.

Non compliant with program requirements				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of families in non compliance with the program's requirements.	Zero	60% of residents will remain compliant.	12	Yes

Note: The program started in January 2013. The program has 62 families participating, 24 of them are in Full CARES and 38 of them are in Transition. There are 12 families that are not compliant with the program requirements.

4. Challenges

This is the first year of the initiative implementation, due to a lack of historic performance; the benchmarks have been established based on HANH's expectations of future performance.

5. Tracking Revisions

This is the first year of the initiative implementation. No tracking revisions to report.

6. Changes in Data Collection Methodology

This is the first year of the initiative implementation. No tracking revisions to report.

Cost Effective and Efficiency Service Delivery

Cost Effective and Efficiency Service Delivery: Rent Simplification
(Initiative 3.1)

1. Rent Simplification: Included in 2007 MTW Plan and approved by HUD.

HANH implemented its Rent Simplification Policy on January 1, 2008 with all families being recertified under the new system.

2. Description and Impact Analysis

HANH utilizes EIV for all third party verifications. In FY09 HANH implemented the multi-year recertification cycles with "work-able" families recertified every two years and elderly/disabled families recertified every three years.

a) ***Description of Activities***

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

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

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

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

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

iii. Exceptional expense tiers. Households with exceptional expenses may request a rent reduction. This includes large families (with more than two children). It also includes families with excessive medical, disability assistance, or childcare expenses.

- Tenants are not required to provide documentation of every dollar of expense; rather, tenants need only provide documentation sufficient to meet the appropriate tier. The amount of monthly rent reduction is established at the mid-range of the tier. Households with exceptional expenses will receive a direct reduction of the monthly rent. However, no tenant's rent will be reduced below a 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

- **Rationale**: 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.

- **Expected Impact:** 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 will be tracked.

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

- **Rationale**: All families should pay something for their housing.
- **Expected impact**: HCV subsidy should decrease and PH rent roll should increase. HANH will monitor the number of families on minimum rent and hardship requests to gauge the impact on families.

v. Transition to Avoid Hardships

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

- **Rationale**: Limit undue hardship to families due to minimum rents and streamlining of deductions.
- **Expected impact**: No sudden increase in hardship applications due to rent simplification activities.

b) *Impact Analysis*

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for the rent simplification initiatives. In accordance with HUD Form 50900 (Attachment B), they have been broken down into two areas: cost effectiveness and self sufficiency.

Cost Effectiveness

CE #1: Agency Cost Savings

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Savings related to staff reduction due to implemenaton of multi-year recertifications	$0	($133,000)	($133,000) (2008)	Yes. Elimination of HCV director position (salary + benefits) in 2008
Total annual cost of printing and mailing documents related to annual recertifications (excluding staff time; PH and HCV combined).	$14,685 (2007)	$13,750	- 2013: $13,338 - 2012: $16,924 - 2011: $14,597 - 2010: $23,639 - 2009: $26,340 - 2008: $26,175	Yes. Benchmark achieved in 2013

CE#1 Assumption Detail: 4,895 PH+HCV recerts (2007); 1,757 (2013); 2,000 (benchmark); $5.50 total cost per recert packet: $2.50 avg cost of postage and $3.00 printing (60 page recert packet at $.05 per page) per recert pre- and post-new schedules

CE #2: Staff Time Savings

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Total annual staff time in hours to complete annual recertifications (PH and HCV combined).	9,790 (2007)	5,000 annual staff hours	- 2013: 4,850 - 2012: 6,154 - 2011: 5,308 - 2010: 8,596 - 2009: 9,578 - 2008: 9,518	Yes. Benchmark achieved in 2013

CE#2 Assumption Detail: 4,895 PH+HCV recerts (2007); 2,425 (2013); 2,500 (benchmark); 2 hrs avg staff time (both PH and HCV) per recert pre- and post- rent reform

CE #3: Decrease in Error Rate of Task Execution

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average percentage error rate in calculating rents in annual recertifications.	11% of files (2011)	5% of files	5% of files (2012)	Yes. Benchmark achieved in 2012. No tracking prior to 2011

Self Sufficiency

SS #1: Increase in Household Income

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average earned income of households affected by this policy in dollars.	- $8,246 (HCV - 2007) - $5,791 (PH - 2007)	Annual increases greater than federal CPI	- $7,841 (HCV - 2013) - $5,268 (PH - 2013)	No. Average family earnings have decreased 5% (HCV) and 9% (PH) btwn 2007 & 2013

SS#1 Assumption Detail: Earnings includes Federal Wages, Military Wages, Other Wages, PHA Wages and Self-Employment; 2007 data from internal report (total wages)

Internal Metrics

Below are HANH-specific internal metrics, baselines, and benchmarks for the rent simplification initiatives. These metrics help HANH further understand the impact to our agency and families.

Internal Metrics: Rent Simplification Initiatives

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of hardships approved and hardship applications	- 2012: 122 approved/243 applications - No baseline data available prior to 2012	No significant increase in hardships	2013: 54 approved/195 applications	In FY2012 more appointments made due to lawsuit; in FY2013, people had to apply; no baseline from 2007 - 2011
Number of families on minimum rent	- 28 (HCV - 2010) - 170 (PH - 2007)	Decrease in minimum rent households	- 2013: 314 (HCV); 212 (PH) - 2012: 287 (HCV); 180 (PH) - 2011: 227 (HCV); 183 (PH) - 2010: 28 (HCV); 153 (PH) - 2009: 33 (HCV); 147 (PH) - 2008: 121 (HCV); 161 (PH)	No. HANH monitoring trends in this metric in conjunction with hardships
Number of annual interims processed	1,280 (2007)	1,300	- 2013: 1,363 - 2012: 1,967 - 2011: 1,598 - 2010: 1,196 - 2009: 1,364 - 2008: 1,140	Significant increases in 2011-2012 have leveled off in 2013 and are close to benchmark; HANH monitoring in conjunction with hardships
HCV participant and PH resident satisfaction rates (HANH administered survey)	- 92% HCV (2011) - 83% PH (2011)	90% satisfaction rates for all programs	- 94% (HCV - 2012) - 84% (PH - 2012)	Yes for HCV; no for PH. Satisfaction not tracked prior to 2011

4. Challenges

Data currently resides in multiple databases across the organization. In addition, many of the metrics required by HUD Attachment B metrics and internal metrics lacked baselines and benchmarks in previous MTW reports. For these situations, we have used a 2013 baseline or available numbers from the year closest to implementation of the initiative.

5. Tracking Revisions

We have made the following changes to the data being tracked:

- Staff time savings (CE#2) metric was added to conform to the new HUD requirements.
- In previous MTW Reports we tracked total average household income. We have altered this metric to conform with Self-Sufficiency Metric #1 (Increase in Household Earnings) and will now only track earned

income which includes the following: Federal Wages, Military Wages, Other Wages, PHA Wages and Self-Employment.

- In previous MTW Reports we identified administrative cost savings due to rent simplification of $133,000 which was based on an assumed reduction in departmental staff related to time savings.
- A new metric related to Cost Effectiveness Metric #1 (Agency Cost Savings) was added which will include savings in postage and copies.
- We will be eliminating the participant and resident satisfaction metrics starting with our next MTW Report (FY14) due to the staff time required to administer the survey; and participation, which may not represent statistically significant portion of our population.

6. Changes in Data Collection Methodology

HANH is in the process of consolidating the collection of its MTW reporting data. This process includes collection of data for the revised HUD Attachment B metrics as well as our internal metrics.

Cost Effective and Efficiency Service Delivery: Revised HQS Inspection Protocol

(Initiative 3.3)

1. HQS Inspections: Implemented in 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.

2. Description and Impact Analysis

a) *Description of Activity*

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.

- **Rationale**: 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.
- **Expected impact**: Increased landlord and participant satisfaction and increased cost efficiency without a compromise of the housing quality of units under lease in the HCV program.

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

b) ***Impact Analysis***

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for the HQS inspection initiative in accordance with HUD Form 50900 (Attachment B). All required metrics are in the Cost Effectiveness category.

Cost Effectiveness

CE #1: Agency Cost Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Cost of inspection contract with City of New Haven	$287,446 (2013)	$258,701 (2014)	TBD	TBD. Savings expected to be realized in 2014

CE #2: Staff Time Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Total HANH internal staff inspection scheduling time (annual hours)	1,093 annual staff hours (2013)	759 annual staff hours (2014)	TBD	TBD. Savings expected to be realized in 2014.

HQS FY2014: 3,036 including HQS, reinspections, initials and specials; Baseline FY2013: 4,372 including HQS, reinspections, initials and special; 15 minutes staff time scheduling per inspection

Internal Metrics

Below are HANH-specific internal metrics, baselines, and benchmarks for the rent simplification initiatives. These metrics help HANH further understand the impact to our agency and families.

Internal Metrics: HQS Inspections

HQS Satisfaction: Tenants				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
HQS satisfaction rating from tenants (% satisfied)	94% (2010)	95% (2014)	84% (2012)	TBD in 20014

HQS Satisfaction: Landlords				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
HQS satisfaction rating from landlords (% satisfied)	86% (2010)	90% (2014)	83% (2012)	TBD in 2014

4. Challenges

We will not see measurable results until 2014.

5. Tracking Revisions

We have made the following changes to the data being tracked:

- A staff time savings metric (CE #2) has been added to this report to reflect the internal savings related to inspection scheduling.

6. Changes in Data Collection Methodology

HANH is in the process of consolidating the collection of its MTW reporting data. This process includes collection of data for the revised HUD Attachment B metrics as well as our internal metrics.

Mandatory Direct Deposit for Housing Choice Voucher Landlords
(Initiative 3.4)

1. Mandatory Direct Deposit for Housing Choice Voucher Landlords: Implemented in FY2010.

HANH does not believe this activity requires MTW flexibility as it is covered by general operational flexibility provided to all PHAs. Although the activity continued in FY2013 and will in the future, HANH has proposed that it no longer be reported on as an MTW initiative starting in FY2014.

2. Description and Impact Analysis

a) *Description of Activity*

HANH's ability to effectively manage its HAP payment process has been enhanced by implementing mandatory direct deposit of all landlords who participates in the HCV program. In order to reach the goal of 100% direct deposit utilization, all new owners are required to enter in Direct Deposit Agreements starting in FY2010. Implementation of this initiative rewards landlords with timely and accurate HAP payments. This increased efficiency has eased HANH's burden to accurately administer 1,300 HAP payments to landlords. This initiative was also expected to minimize landlord complaints on non-payment of HAP payments and reduces administrative costs of administrating the program.

- **Rationale**: Processing paper checks is time consuming, costly, and can lead to landlord complaints.
- **Expected impact**: Cost savings and reduced landlord complaints.

b) *Impact Analysis*

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for this initiative in accordance with HUD Form 50900 (Attachment B).

Cost Effectiveness				
CE #1: Agency Cost Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Landlord check processing cost savings*	$57,060 (2009)	$117,000	- 2013: $86,490 - 2012: $84,150 - 2011: $82,620 - 2010: $80,010	No.

Estimated monthly processing cost per check of $7.50 ($90 annually per landlord). Benchmark based on 100% participation of 1,300 HCV landlords

By implementing this initiative, HANH has realized incremental savings since implementing this initiative of approximately $26,000 annually.

Internal Metrics

Below are HANH-specific internal metrics, baselines, and benchmarks for this initiative.

Internal Metrics: Mandatory Direct Deposit for HCV Landlords				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of landlords enrolled in direct deposit program (and percentage of total landlords*)	634 (49%) (2009)	100% direct deposit utilization	- 2013: 961 (70%) - 2012: 935 (70%) - 2011: 918 (69%) - 2010: 889 (67%)	No.

There were 1,370 HCV landlords in 2013, 1,329 in 2012, 1,321 in 2011, 1,320 in 2010, and 1,300 in 2009

4. Challenges

HANH is considering making deposit mandatory for landlords regardless of whether they are new to the HCV program.

5. Tracking Revisions

None.

6. Changes in Data Collection Methodology

Although the activity continued in FY2013 and will in the future, HANH has proposed that it no longer be reported on as an MTW initiative starting in FY2014.

IMPLEMENTED ACTIVITIES: MTW FUNDING FLEXIBILITY ONLY

Increase Housing Choice: Prison/Community Reentry

1. Prison/Community Re-entry initiative: Included in 2010 MTW Plan and approved by HUD.

HANH implemented its Reentry Program on June, 2010.

2. Description and Impact Analysis

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

a) ***Description of Activities***

HANH's reentry program activities include the following elements:

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

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

b) *Impact Analysis*

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for the reentry program, in accordance with HUD Form 50900 (Attachment B) self sufficiency section.

Self Sufficiency

SS #3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals employed	0	50% would be employed	For the duration of Fiscar Year 2013, two (2) individuals or 17% of enrolled residents obtained employment. These two individuals remained employed trhoughout the Fiscar Year 2013.	No
Number of individuals remained employed for more than six months.	0	50% will be employed for more than six months.	For the Fiscar Year 2013, two (2) individuals, or 17% of residents enrolled remained employed for than 6 months. Both were employed full time.	No

SS#3 assumption: Employed means living directly from an individual's profession or business. HANH includes part-time work in this definition.

SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals referred for Services.	0	All individuals will be enrolled in Family Support Service or FSS Program.	At Initial leasing in Fiscar Year 2013, all twelve individuals were enrolled in FSS, and referred for training programs and to treatment providers if necessary 100% were referred for services.	Yes, Benchmark achieved.

SS#5 assumption: HANH includes in "refered for services" services such as computer training, Job-skill/employability training, mental health and or drug and alcohol counceling.

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of individuals compliant with service plan.	0	50% will be compliant with Service Plan	During Fiscar Year 2013, eight (8) resident were compliant with their service plan or 67% of enrolled residents.	Yes, Benchmark achieved.

SS#5 assumption: An Individual Service Plan (ISP) identifies skills that a resident needs to reinforce with training programs, and employment search coaching. This plan also address the individual's physical, emotional, social and personal development needs. Compliance with the ISP means that the individual is meeting the plan's objectives.

SS #8: Households Transitioned to Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Graduation from the program	0	50% will Graduate the program.	In Fiscar Year 2013, three (3) individuals or 25% of the residents enrolled graduated from the program	No

SS#8 assumption: HANH defines Self sufficency or Graduation in the context of this program as an individual's capacity to supply for its own needs without external assistance.

Note: There is a maximum capacity of 12 units for the Community Re-entry Pilot Program to house participants at any point of time. Since the beginning of the program HANH has interviewed 72 applicants for the Reentry Program, 34 have been deemed eligible and 17 individuals have enrolled. Since the beginning of the program 2 individual have graduated from the program and 5 individuals have been terminated from the program.

Internal Metrics

Below are HANH-specific internal metrics, baselines, and benchmarks for the Reentry program. These metrics help HANH further understand the impact to our agency and families.

Internal Metric: Prison/Community Re-entry

Enrollment				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals leased in permanent housing	0	100% of enrolled individuals.	In the beginning of Fiscal Year 2013, twelve (12) or 100% of the individuals were placed in permanent housing.	Yes, Benchmark achieved.

Lease Compliant				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals who are lease compliant.	0	50% would be lease compliant	During Fiscar Year 2013, eight (8) residens are lease compliant or 67% of enrolled residents.	Yes, Benchmark achieved.

SS# assumption: HANH means by lease compliance an individual who is paying rent on time, going to treatment meetings, and attending programs as recommended.

Recidivism				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Recidivism or returned to prison.	0	50% would be re-incarcenated	At the beginning of Fiscar Year 2013, two (2) individuals or 17 % of residents enrolled lost housing due to recidivism.	Yes, Benchmark achieved.

SS# assumption: For HANH recidivism means that an individual returns to prison.

4. Challenges

While this program is relatively new, there have been a number of successes. Of note, three of the original twelve participants have successfully graduated the program. One student is currently enrolled in classes at the local community college and is on the Dean's List.

HANH continues to experience challenges such as funding, and staffing. Despite the challenges, in this year, HANH has increased the number of housing units available for the reentry population to sixteen. Expansion of HANH case management services will occur as resources are secured.

5. Tracking Revisions

No changes to report.

6. Changes in Data Collection Methodology

No changes to report.

Increase Housing Choice: SEHOP Capital Improvement Program

1. SEHOP Capital Improvement Program: Implemented in FY2010.

HANH launched the SEHOP (Section Eight Homeownership Program) Capital Improvement Program during FY2010 and continued this program during FY2013. This program supports new homeowners with necessary capital improvements that arise after being in the home for a minimum of three years.

2. Description and Impact Analysis

a) *Description of Activity*

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

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

b) *Impact Analysis*

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for this initiative in accordance with HUD Form 50900 (Attachment B). All required metrics are in the Self-Sufficiency and Housing Choice categories.

SEHOP Home Improvement

HC #6: Increase in Homeownership Opportunities				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households that received assistance to make capital improvements to their homes	0 (2009)	n/a	- 2013: 22 - 2012: 23 - 2011: n/a - 2010: n/a	No benchmark set for this activity

Note: Two participants in SEHOP Capital Improvement Program were terminated in FY13.

Internal Metrics

HANH has no internal metrics beyond the metric tracked per HUD Attachment B listed above.

4. Challenges.

No challenges exist on this initiative.

5. Tracking Revisions

No tracking revisions on this initiative.

6. Changes in Data Collection Methodology

HANH is in the process of consolidating the collection of its MTW reporting data. This process includes collection of data for the revised HUD Attachment B metrics as well as our internal metrics.

Increase Family Self-Sufficiency: Resident Services for Elderly/Disabled

1. Resident Services for Elderly/Disabled: Included in MTW Plan and approved by HUD

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

2. Description and Impact Analysis

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. Mental Health and Substance Abuse services are provided at four of our Elderly and Disabled buildings. MTW money is used to fund contractual costs for intensive case management services at these developments.

Resident Services Coordinators, paid for through ROSS Grants, assess elderly residents identifying services that will improve the quality of their lives and allow them to continue to live independently. These services consist of, acquisition of a live-in aide, home health Aid services, Home nursing services, to name a few.

Under this program HANH serves individuals who are elderly, and/or suffer from a temporary or permanent disability and/or suffer from mental health problems and/or substance abuse addiction. HANH offers mentoring, training and housing, which includes supportive housing services, for individuals that qualify for this program.

a) ***Description of Activities***

HANH's Elderly Disable program activities include the following elements: HANH has established a preference for a maximum of 110 units of Low Income Public Housing units for individuals who qualify for this program. HANH assess the participant's needs and documents them into an Action Plan document. Participants receive case management services which will assist them in identifying needs and coordinating referrals and services with the ultimate goal of compliance with treatment plan and/or medication therapy. The program requires that individuals participating should be lease compliant i.e. pay rent on time and will not be a nuisance to other residents.

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

b) ***Impact Analysis***

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for the elderly disable program, in accordance with HUD Form 50900 (Attachment B) self sufficiency section.

Self Sufficiency

SS #3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Currently employed Full- Time and Part-Time	23 (September 2012)	22	26 (July 2013)	Yes
Currently employed Full- Time and Part-Time for 3 months	26 (September 2012)	22	26 (July 2013)	Yes
Currently employed Full- Time and Part-Time for 6 months	23 (September 2012)	22	22 (July 2013)	Yes

SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of outreach efforts conducted on a monthly basis.	69 (September 2012)	85	85 (July 2013)	Yes
Number of group meetings on a monthly basis.	68 (September 2012)	85	86 (July 2013)	Yes

SS #8: Households Transitioned to Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households transitioned to self sufficiency (increase). HANH defines self sufficiency in the context of the elderly disable program as an individual's ability to live independently and be lease compliant without case management services.	0	0	0	Yes

Note: The number of individuals currently employed increased in Fiscal Year 2013 compared to the same metrics in Fiscal Year 2012 and also exceeded its targeted benchmark. The number of outreach efforts conducted on a monthly basis increased by 23% and the number of group meeting on a monthly basis increased by 26%. The number of households transitioned to self sufficiency was zero. HANH did not expect to transition any household to self sufficiency in the current Fiscal Year 2013 due to the fragile nature of the population served by this program.

Internal Metrics

Below are HANH-specific internal metrics, baselines, and benchmarks for the elderly disabled program. These metrics help HANH further understand the impact to our agency and families.

Internal Metrics: Resident Services for Elderly/Disable

Enrollment				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals enrolled.	102 in Fiscal Year 2012	100	105 in Fiscal Year 2013	Yes

Compliant with Action Plan				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals compliant with Action Plan.	not available	80	83	Yes

Assumption: Action Plan is a document that contains goals. This document is prepared by a case manager and a disable individual. Compliance with the action plan is evaluated by a case manager.

Non compliant with Action Plan				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals non compliant with Action Plan.	not available	25	22	Yes

Note: During Fiscal Year 2013 this program increased the enrollment by almost 3% bringing the total number of residents to almost its overall capacity. The number of participants that were compliant with their Action Plan increased and exceeded its target benchmark. The number of participants that were non compliant with their Action Plan in Fiscal Year 2013 was less than its target benchmark.

4. Challenges

One of the challenges is that the program deals with a population in which almost 95 percent of its individuals suffer mental health illness.

5. Tracking Revisions

No tracking revisions to report

6. Changes in Data Collection Methodology

No changes to report.

Increase Family Self-Sufficiency: Resident Owned Business Development

1. Resident Owned Business Development: Included in Fiscal Year 2011 MTW Plan and approved by HUD.

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

2. Description and Impact Analysis

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

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

a) *Description of Activities*

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

HANH's present goal is to create three new ROBs in the next fiscal year 2014. In Fiscal Year 2012 the goal was to create three new ROBS, and two were launched. No new ROBS were created in Fiscal Year 2013.

The ROBs will be the construction trades as well as other areas.

- **Rationale**: HANH provides training and technical assistance to a group of residents that require this mentorship and assistance to start a sustainable business. This will continue to enhance Section 3 Resident Owned Business Concerns internal capacity and ability to procure both public and private competitive contract awards.
- **Expected impact**: Positive impacts related to increasing the economic well being of residents.

b) ***Impact Analysis***

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks for the reentry program, in accordance with HUD Form 50900 (Attachment B) self sufficiency section.

Self Sufficiency

SS #1: Increase in Household Income				
Unit of Measurement	**Baseline**	**Benchmark - projection next year**	**Outcome - 2012**	**Benchmark Achieved?**
Earned income of households or individuals affected by this policy in dollars(increase).	TBD	TBD	TBD	TBD

SS #2: Increase in Household Savings				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Average amount of savings/escrow of households affected by this policy in dollars (increase).	TBD	TBD	TBD	TBD

SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of households receiving consultation and/or technical assistance	7	10	5	No
Number of households receiving Training including cost estimating, Owning A Business, Business Planning, Financial Management, Contracts and Proposals, Training for Construction Professionals, and Project Management	7	10	6	No

Internal Metrics

Below are HANH-specific internal metrics, baselines, and benchmarks for the Resident Owned Business initiative. These metrics help HANH further understand the impact to our agency and families.

Internal Metrics: Resident Owned Businesses

Enrollment				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of individuals or households participating in the program	0	5	13 (Fiscal Year 2011) 7 (Fiscal Year 2012) 5 (Fiscal Year 2013)	Yes

Loans amounts of dollars transferred				
Unit of Measurement	**Baseline**	**Benchmark -**	**Outcome**	**Benchmark Achieved?**
Dollar amount of Loans provided by the program.	0	$25,000	$ 33,093 (Fiscal Year 2011) 0 (Fiscal Year 2012) $74,423 (Fiscal Year 2013)	Yes

Amount of Loans outstanding				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Dollar amount of Loans outstanding	$ 91,389 in Fiscal Year 2012	$50,000	$29,959 in Fiscal Year 2013	Yes

# of Loans				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Number of Loans Outstanding	5 loans outstanding in 2012	2	2 loans outstanding in 2013	Yes

Amount under contract with HANH				
Unit of Measurement	**Baseline**	**Benchmark**	**Outcome**	**Benchmark Achieved?**
Amount under contract with HANH	$2,250,000 in 2012	$2,925,000	$ 7,800,000 in 2013	Yes

4. Challenges

HANH does not have baseline information on resident’s income or saving. HANH will begin to collect the data beginning 10/01/2013.

5. Tracking Revisions

No tracking revisions to report.

6. Changes in Data Collection Methodology

This year is the first year of adoption of HUD’s new standard metrics and HANH will adopt policies to capture the new metrics going forward.

B. NOT YET IMPLEMENTED ACTIVITIES

None

C. ACTIVITIES ON HOLD

This section includes approved activities that have been implemented and HANH has stopped implementing but has plans to reactivate in the future.

LIPH Income Targeting: Marketing Initiatives for Higher Income Eligible Families

1. Specify the Plan Year in which the activity was first approved, implemented, and placed on hold.
This initiative was first approved in FY2008. Due to HANH's focus on redevelopment activities, this initiative was placed on hold in FY2012 and continued to be deferred in FY2013.

2. Report any actions that were taken towards reactivating the activity.
No actions were taken towards reactivating this activity in FY2013.

Fulton Park Modernization

1. Specify the Plan Year in which the activity was first approved, implemented, and placed on hold.
This initiative was approved in FY2011 and placed on hold in FY2012.

2. Report any actions that were taken towards reactivating the activity.
The Fulton Park project continued to be deferred in FY2013 since HANH has discovered some significant structural issues in the property. HANH is in the process of further studying Fulton Park's structural integrity. Once this evaluation is completed, HANH can continue with planning.

D. CLOSED OUT ACTIVITIES

This section includes all approved activities that have been closed out, including activities that have never been implemented, that HANH does not plan to implement and obsolete activities.

UPCS Inspections (Initiative 3.2)

1. Specify the Plan Year in which the activity was first approved and implemented (if applicable).

UPCS Inspections were implemented in FY2008.

2. Provide the year the activity was closed out.

This activity was closed out in FY2013. MTW authorization is no longer required. Since HANH implemented the initiative in 2008, HUD subsequently permitted all PHAs to inspect on a similar schedule. Although the activity continued in FY2013, it will no longer be reported on as an MTW initiative.

3. In the year the activity was closed out provide the following:

i. Discuss the final outcome and lessons learned.

Before this activity was implemented, HANH conducted UPCS inspections of 100% of units and sites each year. UPCS inspections include the entire housing stock, including vacant units. Beginning in FY2008 and every year subsequent, HANH completed a random sampling of no less than 20% of units for UPCS inspections. This allowed HANH to reduce the number of UPCS inspections that must be completed each year.

Final outcome: By targeting UPCS inspections at properties most in need, HANH was able to maximize use of limited resources to reduce costs and maintain its overall agency REAC scores.

ii. Describe any statutory exceptions outside of the current MTW flexibilities that might have provided additional benefit for this activity.

None identified.

iii. Provide a summary table, listing outcomes from each year of the activity (since the execution of the Standard MTW Agreement).

Below are the metrics (HUD and internal) used to measure this activity prior to close-out.

HUD-Required Metrics

Below are the metrics, baselines, and benchmarks in accordance with HUD Form 50900 (Attachment B).

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

Internal Metrics

Below are HANH-specific internal metrics, baselines, and benchmarks for this initiative.

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

iv. Provide a narrative for additional explanations about outcomes reported in the summary table.

By implementing this initiative, HANH realized the following:

- Cost reduction in UPCS inspection contract of 31% annually between FY2008 and FY2012.

- REAC scores have been relatively stable since implementation of this initiative (almost no change between the 2008 overall REAC score of 82.11 and 2012 overall REAC score of 82.03.

Cap on Project Based Units in a Project

1. Specify the Plan Year in which the activity was first approved and implemented (if applicable).

Cap on Project Based Units in a Project was implemented FY2010. This initiative was closed out in FY 2012 and reported as closed in the MTW 2012 Report.

2. Provide the year the activity was closed out.

This activity closed out in FY2012 and was replaced by 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".

3. In the year the activity was closed out provide the following:

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. See Initiative 1.9 - Increase Cap on PBV units from 75 percent to 100 percent, the analysis of which is reported in this document in the Redevelopment section. No further analysis will be developed in this section.

i. Discuss the final outcome and lessons learned.

n/a

ii. Describe any statutory exceptions outside of the current MTW flexibilities that might have provided additional benefit for this activity.

None identified.

iii. Provide a summary table, listing outcomes from each year of the activity (since the execution of the Standard MTW Agreement).

n/a

iv. Provide a narrative for additional explanations about outcomes reported in the summary table.

n/a

Cost Effectiveness	Increase Housing Choice						Cost Effective and Efficient Service			Increase Family Self-Sufficiency				
When citing the statutory objective to "reduce cost and achieve greater cost effectiveness in federal expenditures," include all of the following metrics that apply:	Redevelop-ment	Foreclosure	Poverty De-concent.	Homeless	Re-entry	SEHOP Capital Improve.	Rent Simplif.	HQS Inspect.	Local Asset Based Mgmt	FSS	Homeowner.	CARES	Elderly/ Disabled	Business Develop.
CE #1: Agency Cost Savings Unit of Measurement Total cost of task in dollars (decrease).							X	X						
CE #2: Staff Time Savings Unit of Measurement Total time to complete the task in staff hours (decrease).							X	X	X					
CE #3: Decrease in Error Rate of Task Execution Unit of Measurement Average error rate in completing a task as a percentage (decrease).							X		X					
CE #4: Increase in Resources Leveraged Unit of Measurement Amount of funds leveraged in dollars (increase).	X													
CE #5: Increase in Agency Rental Revenue Unit of Measurement Rental revenue in dollars (increase).							X							

<u>Self Sufficiency Metrics</u> (per HUD Form 50900, Attachment B) as mapped to HANH's MTW Initiatives

Self Sufficiency	Increase Housing Choice						Cost Effective and Efficient Service			Increase Family Self-Sufficiency				
When citing the statutory objective to "give incentives to families…whose heads of household are either working, seeking work, or are participating in job training educational or other programs to assist in obtaining employment and becoming economically self-sufficient," include all of the following metrics that apply:	Redevelop-ment	Foreclosure	Poverty De-concent.	Homeless	Re-entry	SEHOP Capital Improve.	Rent Simplif.	HQS Inspect.	Local Asset Based Mgmt	FSS	Homeowner.	CARES	Elderly/ Disabled	Business Develop.
SS #1: Increase in Household Income Unit of Measurement Average earned income of households affected by this policy in dollars (increase).				X			X			X	X	X		X
SS #2: Increase in Household Savings Unit of Measurement Average amount of savings/escrow of households affected by this policy in dollars (increase).											X	X		X
SS #3: Increase in Positive Outcomes in Employment Status *Report the Baseline, Benchmark and Outcome data for each type of employment status for those head(s) of households affected by the self-sufficiency activity.* Unit of Measurement Report the following information separately for each category: (1) Employed Full- Time (2) Employed Part- Time (3) Enrolled in an Educational Program (4) Enrolled in Job Training Program (5) Unemployed (6) Other					X x x x x x					X x x x x x		X x x x x x	X x x x x x	
SS #4: Households Removed from Temporary Assistance for Needy Families (TANF) Unit of Measurement Number of households receiving TANF assistance (decrease).												X		
SS #5: Households Assisted by Services that Increase Self Sufficiency Unit of Measurement Number of households receiving services aimed to increase self sufficiency (increase).				X	X					X	X	X	X	X
SS #6: Reducing Per Unit Subsidy Costs for Participating Households Unit of Measurement Average amount of Section 8 and/or 9 subsidy per household affected by this policy in dollars (decrease).														
SS #7: Increase in Agency Rental Revenue Unit of Measurement PHA rental revenue in dollars (increase).														
SS #8: Households Transitioned to Self Sufficiency Unit of Measurement Number of households transitioned to self sufficiency (increase). The PHA may create one or more definitions for "self sufficiency" to use for this metric. Each time the PHA uses this metric, the "Outcome" number should also be provided in Section (II) Operating Information in the space provided.					X					X		X	X	

Housing Choice Metrics (per HUD Form 50900, Attachment B) as mapped to HANH's MTW Initiatives

V. Sources and Uses of Funds

V.3.Report.Sources and Uses of MTW Funds

A. MTW Report: Sources and Uses of MTW Funds

Actual Sources and Uses of MTW Funding for the Fiscal Year

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

Describe the Activities that Used Only MTW Single Fund Flexibility

Additional detail on MTW Single Fund Flexibility can be found in the Report. A breif outline of programs are: Dispose of Rockview, Valentina Macri, Ribicoff Cottagges and Extension, Farnam Courts, Valley Townhouses; Use of Legacy Attachment ti increase oercent of PBV in a development from 75% to 100%; Major redevelopment efforts at 122 Wilmot, Brookside I & II and William T. Rowe; Disposition of vacant lots at 7 Shelton, Sheffeild Manor, 620 GRand Ave; Section 8 Home Ownership Program; Project Modernization at McConaughy Terrace, Fulton Park, Westville Manor and AGEncy Wide UFAS compliance; Community Re-Entry Program; Deconcentration of Poverty; Youth Initiative; Section 3 employment & training; Specialized training initiative; SEHOP Capital Improvement; Business development support; Resdient Services for Families and Elderly/Disabled; Use of frozen fixed utility consumption; Local Asset Based Management; Waive 60 day notice requirement on new utility allowanceschedule in newly developed mixed fiancne proeperties; Full fungibility of funds for development purposes.

V.4.Report.Local Asset Management Plan

B. MTW Report: Local Asset Management Plan

Has the PHA allocated costs within statute during the plan year?	Yes		
Has the PHA implemented a local asset management plan (LAMP)?	Yes	or	

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

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

In the body of the Report, PHAs should provide a narrative updating the progress of implementing and operating the Local Asset Management Plan during the fiscal year.

V.5.Report.Unspent MTW Funds

C. MTW Report: Commitment of Unspent Funds

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

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

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

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

Sources and Uses of MTW Funds

Sources		Planned		Actual Unaudited
Rent		$4,628,738		$3,884,310
Operating Subsidy		$16,000,000		$17,304,423
Capital Grants		$4,527,546		$4,344,297
Other Revenue (1)		$303,497		$385,561
HCV Subsidy		$57,968,605		$56,473,007
MTW Transfer - Prior Year Reserves		$13,118,254		$9,196,989
Total Sources		$96,546,640		$91,588,587

Uses				
LIPH		$21,953,420		$24,497,318
HCV Administration		$2,721,260		$3,158,863
Community and Economic Development Salaries/Administrative (MTW Funded)		$725,000		$1,842,654
COCC Deficit - does not include Supportive Services		$1,120,909		$1,319,767
HCV HAP Expenses		$38,400,000		$40,435,178
Project Based Vouchers				
Brookside Phase 1 Rental	$615,000		$762,794	
William T Rowe	$480,000		$590,846	
Val Macri	$189,000		$0	
Mutual Housing - New Units	$300,000		see below	
CUHO	$100,800		$471,615	
Foreclosure	$225,000		$230,400	
Brookside Phase 2 Rental	$543,012		$173,387	
Quinnipiac Terrace Phase 3	$248,124		$273,538	
122 Wilmot Road	$202,296		$0	
Eastview Terrace	$664,440		$725,577	
360 State (Shartenburg)	$218,100		$134,151	
CUHO New Construction	$77,600		see above	
Frank Nasti (Existing)	$277,709		$194,979	
Mutual Housing -Existing	$97,800		$60,620	
Quinnipiac Terrace Phase 1	$428,001		$401,472	
Quinnipiac Terrace Phase 2	$367,816		$396,810	
Casa Otonal	$383,808		$263,546	
Howe Street	$102,168		$309,946	
Total Project Based and Other Vouchers		$5,520,674		$4,989,681
Supportive Housing- MTW Initiatives				
Family and Youth Coordinator	$78,400		$78,400	
Eastview terrace Youth Services	$182,000		$119,457	

McQueeney Supportive Services	$153,000		$150,792	
Crawford Manor Supportive Services	$219,000		$241,902	
Ruopolo Manor	$95,000		$44,808	
Robert T. Wolfe	$147,500		$75,015	
William T. Rowe	$78,000		$0	
Winslow Celentano	$138,000		$75,018	
Brookside			$123,603	
Fairmont	$138,000	$1,228,900	$44,808	$953,803

Capital Projects - MTW Initiatives, using CFP and MTW Funds

Agency Wide UFAS Compliance	$100,000	$103,117.58
Agency Wide Vacancy Reduction	$385,000	$430,751.12
Agency Wide Property Damage Repairs	$150,000	$40,072.00
Fulton Park Structural Repairs	$100,000	$0.00
McConaughy Terrace - furnace and water heater	$72,000	$0.00
McConaughy Terrace - interior repairs	$220,000	$0.00
McConaughy Terrace - off site sewer repair	$225,000	$0.00
Ruoppolo Manor - Façade Improvements	$1,750,000	$58,500.00
Westville Manor - erosion control Phase 2	$291,870	$0.00
Westville Manor - 3 Fire Units Rehab	$432,297	$204,383.19
20-24 Westminster Rehabilitation/Rebuild	$200,000	$362,224.78
Prescott Bush Masonry Repairs	$50,000	$0.00
CB Motley Floor Replacement incl reloc	$137,000	$104,924.46
Winslow-Celentano Penthouse Repairs	$36,000	$0.00
Winslow-Celentano EIFS Installation	$296,000	$717,020.20
Scattered Sites2 - Roof Replacement	$118,000	$0.00
Scattered Sites 3 - Ph 1 Interior Improve	$238,800	$0.00
Valley - Ph 2 Boiler & HW Replacement	$288,000	$0.00
Media Consultant	$71,700	$0.00
Crawford Elevator	$150,000	$0.00
Software for Work Order Hand Helds	$56,960	$0.00
McQueeney Sidewalks	$75,000	$0.00
Leap Roof Repair	$85,719	$0.00
IQC A/E Boroson	$75,000	$122,069.93
IQC A/E O'Riordan Migani	$75,000	$113,596.03
IQC A/E Zared	$75,000	$40,834.50
IQC A/E Environmental Eagle	$75,000	$65,167.75
IQC A/E Environmental Environmed	$150,000	$166,391.00
IQC A/E Fuss & O'Neill	$75,000	$43,696.09

RAD Physical Needs Assessments			$21,025.44	
Asset management site offices			$510,751.59	
Wolfe modernization closeout			$15,320.00	
		$6,054,346		$9,063,330

Development Projects - MTW Initiatives, using CFP and MTW Funds				
Farnam Courts	$1,441,950		$368,946	
Cott Factory-Purchase	$333,222			
Brookside 1 Rental – Bond Repayment	$300,723		$1,135,000	
Brookside 2 Rental	$6,390,731		$123,684	
Brookside 2 Homeownership	$917,189		$690,529	
Rockview - I Rental	$2,212,848		$37,046	
122 Wilmot	$5,490,618		$1,263,132	
Valley	$405,250			
Rockview HO	$438,750			
Fair Haven			$233,370	
Other - Various			$925,951	
Ribicoff Cottages and Ext	$890,850	$18,822,131	$550,335	$5,327,993
Total Uses		$96,546,640		$91,588,587
Surplus/(Deficit)		$0		$0

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

VI. Administrative

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

Voluntary Compliance Agreement – Fair Housing and Equal Opportunity
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

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

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. Seasholtz Consulting, Inc.

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

Initial Incomes of Families Assisted by MTW

At 96.22%, 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	238				
Number of families with incomes below 50% of area median	332	310	322	387	394	410	229				
Percentage of families with incomes below 50% of area median	96.50%	94.22%	93.60%	91.06%	90.99%	91.72%	96.22%				

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:2,860; LIPH: 2,576)	5,436
Numerical Difference	+1,335
Percentage Difference	+ 32%

HANH has served considerably more families since achieving MTW status primarily through its modernization and redevelopment efforts made possible by MTW flexibility. During FY13 HANH served 32% 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	2,576
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	2,860
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**	**5,436**
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%**	**1.32%**
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	FY2011	2,294

(occupancy rate of 90%).		
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	PH	FY2008	-90

2008. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.			
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.

Certification of Compliance

OMB Control Number: 2577-0216
Expiration Date: 6/31/2016

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

Attachment B

Certifications of Compliance

Annual Moving to Work Plan
Certifications of Compliance

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

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

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

1. The PHA published a notice that a hearing would be held, that the Plan and all information relevant to the public hearing was available for public inspection for at least 30 days, that there were no less than 15 days between the public hearing and the approval of the Plan by the Board of Commissioners, and that the PHA conducted a public hearing to discuss the Plan and invited public comment.
2. The PHA took into consideration public and resident comments (including those of its Resident Advisory Board or Boards) before approval of the Plan by the Board of Commissioners or Board of Directors in order to incorporate any public comments into the Annual MTW Plan.
3. The PHA certifies that the Board of Directors has reviewed and approved the budget for the Capital Fund Program grants contained in the Capital Fund Program Annual Statement/Performance and Evaluation Report, form HUD-50075.1.
4. The PHA will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
5. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.

6. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
7. The PHA will affirmatively further fair housing by examining its programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
8. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
9. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
10. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
11. The PHA will comply with requirements with regard to a drug free workplace required by 24 CFR Part 24, Subpart F.
12. The PHA will comply with requirements with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Amendment and implementing regulations at 49 CFR Part 24.

13. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.

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

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

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

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

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

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

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

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

Housing Authority New Haven
PHA Name

CT 004
PHA Number/HA Code

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Erik McClemons
Name of Authorized Official

Board Chairman
Title

Signature

12/30/13
Date

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

Appendix A

DOCUMENTATION OF PUBLIC HEARING AND PUBLIC COMMENT PERIOD

HANH'S MTW Annual Report was made available for public comment on October 21, 2013.

A Public Hearing was conducted on November 20, 2013 at 4:00 P.M. at 360 Orange Street, New Haven, CT 06511

There were no public comments offered

Appendix 1

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

HUD HCC 2013

		0	1	2	3	4	5	6
Detached		$ 96,195	$ 122,916	$ 144,239	$ 170,801	$ 200,549	$ 219,593	$ 237,542
Row House		$ 78,165	$ 102,750	$ 121,542	$ 148,120	$ 176,091	$ 194,147	$ 211,074
Walk Up		$ 71,663	$ 97,219	**$ 123,709**	$ 161,949	$ 201,180	$ 226,579	$ 251,643
Elevator		$ 81,545	$ 114,163	$ 146,781	$ 195,708	$ 244,635	$ 277,253	$ 309,871

HUD HCC FACTORS

		0	1	2	3	4	5	6
Detached		-33.31%	-14.78%	16.60%	18.42%	39.04%	52.24%	64.69%
Row House		-35.69%	-15.46%	-1.75%	21.87%	44.88%	59.74%	73.66%
Walk Up		-42.07%	-21.41%	0.00%	30.91%	62.62%	83.16%	103.42%
Elevator		-44.44%	-22.22%	0%	33.33%	66.67%	88.89%	111.11%

HANH/ELM CITY COMMUNITIES HCC 2013

		0	1	2	3	4	5	6
Detached		$ 145,318	$ 185,685	$ 217,896	$ 258,023	$ 302,962	$ 331,731	$ 358,846
Row House		$ 118,081	$ 155,221	$ 183,609	$ 223,759	$ 266,014	$ 293,290	$ 318,861
Walk Up		$ 108,259	$ 146,866	$ 186,882	$ 244,651	$ 303,915	$ 342,285	$ 380,149
Elevator		$ 109,828	$ 153,759	$ 197,690	$ 263,587	$ 329,483	$ 373,414	$ 417,346

HUD TDC 2013

		0	1	2	3	4	5	6
Detached		$ 168,342	$ 215,103	$ 252,419	$ 298,901	$ 350,961	$ 384,288	$ 415,699
Row House		$ 136,788	$ 179,813	$ 212,699	$ 259,210	$ 308,159	$ 339,757	$ 369,380
Walk Up		$ 125,410	$ 170,134	$ 216,490	$ 283,411	$ 352,064	$ 396,513	$ 440,376
Elevator		$ 130,472	$ 182,661	$ 234,850	$ 313,133	$ 391,416	$ 443,605	$ 495,794

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

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

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

Appendix 2

Local Asset Based Management:

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

- HANH/ELM CITY COMMUNITIES developed a program wherein Excess Operating Reserves are funded from the General Fund Account and will be used to cover deficits through a journal voucher once per year to ensure that the transfer of funds from the General Fund to a project to cover any operating deficits are reflected on the income and expense statement of the project.
- HANH/ELM CITY COMMUNITIES uses property level management accounting and budgeting for direct costs incurred by each property.
- Each project is charged a management fee of $63.29 per unit per month, bookkeeping fee of $7.50 per unit per month, asset management fee of $10 per unit per month and other fees that are reasonable and appropriate for services carried out by the Central Office Cost Center.
- The cost of vacant unit turnovers will be charged to projects based on the fee schedule for turnovers set forth in the third party unit turnover contract which was obtained through competitive procurement.
- Cost of legal services will be fee for service basis by charging the project for actual services performed by staff and outside counsel for direct services. These fees are derived and based on a comparison of legal fees paid to outside attorneys that were competitively procured and GSA/Connecticut State rates for attorneys and support staff.
- Planning and Development services will be fee for service basis by charging the project for actual services performed by staff and outside counsel for direct services. The fees for architectural type work and related performed by staff are developed based on fees set forth in third party contracts for work of the same nature that was obtained through the competitive procurement process and the GSA Schedule.
- An indirect cost approach is used for the cost of implementing the CFP; leasing; centralized wait list; resident services supervisory staff and rent collection all of which are pro rated based upon the number of ACC units or percentage of time charged to a project.
- Security costs will be allocated based upon fee schedule set forth in the third party security contract.

Proceeds from the CFP, energy performance contracts and other similar sources to support project operations are not reflected in the operating statements for each project. The COCC operates on the allowable fees and other permitted reimbursements from its LIPH and HCV programs, as well as revenues generated from non-public housing programs. HANH/ELM CITY COMMUNITIES systematically reviews information regarding the financial, physical and management performance of each project and identifies non-performing assets. All non-performing assets will have a management plan that includes a set of measurable goals to address. During FY2009, HANH/ELM CITY COMMUNITIES conducted an updated Physical Needs Assessment for each project. The work was completed in FY2010 and was fully reported in the FY10 report. Finally, HANH/ELM CITY COMMUNITIES has implemented a Risk Management Program in accordance with §990.270.

Appendix 3

HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

MOVING TO WORK SUFFICIENCY PROGRAM

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

PROCEDURES FOR PUBLIC HOUSING/HCV PROGRAM

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1. Goals and Objectives of the Program

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

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

2. Eligibility/Threshold Requirements

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

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

Families will live at West Rock for up to 24-months with supportive housing to become self-sufficient and will be based upon their education level (GED or High School diploma or not); household income (above or below the Federal Poverty Level); the employability of each person based upon their employment history as well as the results of their employability assessment.

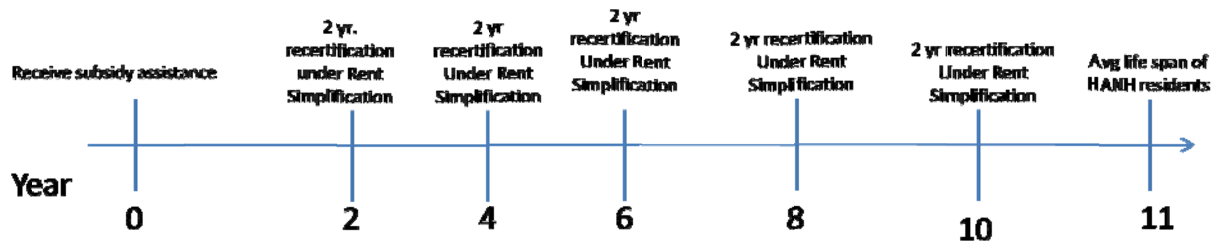
3. Program Overview

Brookside and Rockview families will be given the options, at lease up, to stay in a public housing program or reside in a Project Based Voucher (PBV) unit or to accept a Tenant Based CARES Program Voucher (CPV) as part of the CARES Program. Residents that opt to stay in public housing or a PBV unit will be given 72 months of rental assistance. After the 72 months have expired, residents who elect to stay in public housing or PBV units will be required to pay the Flat Rent (public housing) or Market rent (PBV), less prorated assistance for household members who are seniors, 18 years of age or under, disabled or otherwise exempt. Thus, if a family of four receives rental assistance (calculated as the difference between the Flat Rent and the TTP) and there are two adults and two children ages 12 and 15, and assuming that the prorated rental assistance for each member of the household is $200 per month, the family will have its rent increased by $400 per month after the end of the seven year period. During the term, the prorated amount of assistance would continue for the child over the age of 18 if that child was enrolled in a minimum of 3 hours or 3 credits in secondary or vocational education. Assistance for residents who are deemed exempt from the program by the case manager and the needs assessment will also continue to receive assistance. We recognize that there are individuals who to no fault of their own will not be able to achieve self-sufficiency on their own. Non-exempt individuals who have an ISP and case manager, and show progress towards the goals of the plan will continue to be able to receive assistance as long as they continue to make progress towards their goals. Life happens and families may experience unforeseen circumstances such as a loss of job, downturn in the economy or an unforeseen family circumstance that will hinder them from entering the CARES Program.

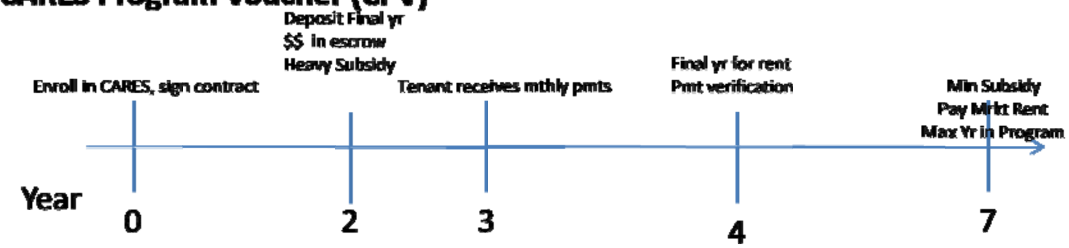
Residents who elect to take the CPV option will be given up to two years to transition in to the CARES Program and a total of seven years to reach self sufficiency based upon their income and job readiness at the signing of their lease. The first two years will enable residents the time to meet the basic requirements of the program. At the end of the seven year program, participating residents will no longer receive rental assistance. HANH/ELM CITY COMMUNITIES will determine the amount of assistance the family is eligible to receive over the term of the CPV assistance, and assistance will be adjusted annually for inflation (Exhibit A). In the third year of the program, an amount equal to the sum of the rental assistance that the family would have otherwise received in the final year will be deposited into a Resident Enrolled Escrow Fund (REEF). For the duration of the program the funds in the REEF may be used to cover the following costs; a hardship (as defined under the Hardship Policy and Guidelines), purchase of a vehicle to attain or maintain employment (a onetime payment not to exceed $3,000 after all other options have been exhausted), start a small business (a onetime payment not to exceed $2,500 after all other options have been exhausted), purchase a computer, down payment on a home, and/or enroll in higher education, subject to the approval of HANH/ELM CITY COMMUNITIES. If the funds deposited in the REEF are fully expended prior to the final year of the program, there would be no available funds in the final year but if the funds deposited into the REEF have not been used by the end of the program term of rental assistance, it will be refunded to the resident as a bonus for program compliance. A CARES oversight committee will be created to review the requests of the participants to use the REEF funds will consist of the Executive Director's office, the Director of Operations or designee, the Service Center Director or designee, a WRIC elected representative, a representative from Workforce Alliance Board, and a representative from the Department of Social Services.

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

Public Housing/HCV Program



CARES Program Voucher (CPV)



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

HANH/ELM CITY COMMUNITIES is embarking on this CARES pilot program in the West Rock community to help promote economic self-sufficiency of the residents of this revitalized community as a stepping stone to a new paradigm in the affordable housing market for low income families. We believe that the comprehensive program discussed above, combined with the development of unassisted rental units, will be effective in achieving housing and economic transitions for a substantial numbers of West Rock families.

Exhibit A - Housing Choice Voucher - HAP 7 Year Schedule

Family Size		1	2	3	4	5	6
Median Household HAP to Owner (9/10)		795	895	1000	1090	1147	1214
Median Utility Allowance		122	292	357	362	425	430
Median Monthly Cash Payment Assistance		**917**	**1187**	**1357**	**1452**	**1572**	**1644**
Years in Program	Cost of Living Increase	Subsidy Value					
1 Supportive Component **Monthly**	Lease up Year	917.00	1,187.00	1,357.00	1,452.00	1,572.00	1,644.00
Annually		11,004.00	14,244.00	16,284.00	17,424.00	18,864.00	19,728.00
2 Supportive Component **Monthly**	3%	944.51	1,222.61	1,397.71	1,495.56	1,619.16	1,693.32
Annually		11,334.12	14,671.32	16,772.52	17,946.72	19,429.92	20,319.84
3 Tenant Based Component **Monthly**	3%	972.85	1,259.29	1,439.64	1,540.43	1,667.73	1,744.12
Annually		11,674.14	15,111.46	17,275.70	18,485.12	20,012.82	20,929.44
4 Tenant Based Component **Monthly**	3%	1,002.03	1,297.07	1,482.83	1,586.64	1,717.77	1,796.44
Annually		12,024.37	15,564.80	17,793.97	19,039.68	20,613.20	21,557.32

5 Tenant Based Component **Monthly**	3%	1,032.09	1,335.98	1,527.32	1,634.24	1,769.30	1,850.34
Annually		12,385.10	16,031.75	18,327.79	19,610.87	21,231.60	22,204.04
6 Tenant Based Component **Monthly**	3%	1,063.05	1,376.06	1,573.13	1,683.27	1,822.38	1,905.85
Annually		12,756.65	16,512.70	18,877.62	20,199.19	21,868.55	22,870.16
7 Tenant Based Component **Monthly**	3% (Amount deposited into Escrow)	1,094.95	1,417.34	1,620.33	1,733.76	1,877.05	1,963.02
Annually		13,139.35	17,008.08	19,443.95	20,805.17	22,524.60	23,556.26
Total Cash Assistance		84,317.73	109,144.11	124,775.53	133,510.74	144,544.69	151,165.05

Program Steps

1. Orientation

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

2. CARES Addendum to Replace HAP Contract

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

3. Needs Assessment

Each family member will complete a needs assessment prior to lease up to establish a baseline of current educational levels, abilities, skills, interests, aptitude, and program goals. The subsidy amounts will be established based upon family composition, bedroom size, and household income during the assessment as well. Upon completion and review of the assessment the families, along with a case manager, will create a comprehensive Individual Service Plan (ISP) that will consist of short-term and long-term goals in the aforementioned categories, as well as, work and youth educational requirements under this program. It is important to note that those residents who do not meet the Eligibility/Threshold requirements under the CARES program and are categorized under one or more of the exemptions described in “5. Exemptions for Residents Residing in Public Housing or HCV units”, will have the opportunity to reside in the development under the traditional Public housing or HCV units

4. Individual Services Plan (ISP)

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

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

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

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

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

- The adult is precluded from obtaining or maintaining employment due to domestic violence or other circumstance beyond his or her control; or
- The adult is employed and unable to pay their pro-rata share of the flat rent due to (1) a documented medical impairment that limits his/her work hours, or (2) the need to care for a disabled or elderly member of the household; or
- The adult has a documented and substantive barrier to employment such as severe mental or physical health problems, one or more severe learning disabilities, domestic violence, or child who has serious physical or behavioral health problems; or
- Enrolled in a bona-fide employment or adult educational or literacy training program for a minimum of 16 hours per week or two full time classes.

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

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

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

6. Hardship Policy and Guidelines

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

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

ii. **Hardship Criteria:**

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

Extraordinary Cost of Living:

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

Medical, Disabled Expenses Greater than $6,000.00:

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

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

iii. **REEF Cash Disbursement Request Process:**

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

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

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

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

The Hardship Review Committee shall render a decision on the request and a written decision shall be forwarded back to the Executive Director for signature. The Executive Director may sustain or decline the recommendation of the Committee. After signature by the Executive Director, the Director of

Operations or Service Center Director, as applicable, will inform the parties of the decision. The written decision shall inform the parties as to the relief granted as well as the term of the relief. Households that disagree with the decision may request a grievance through the HANH/ELM CITY COMMUNITIES grievance process. In cases where an appeal is sought, no action shall be taken by the HANH/ELM CITY COMMUNITIES until the grievance process is completed.

iv. **Hardship Committee Remedies :**

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

- Give exceptional expenses cash payment from the REEF account for rent payments and un-reimbursed utility expenses due to job loss, not to exceed a 90 day period.
- Give exceptional expenses cash payment from the REEF account for medical expenses that exceed $6,000 after all other options have been exhausted.
- Permanent exclusion from CARES due to a disability or other exemption listed under the definitions of exemptions above and re-entry into Public Housing or PBV units.
- Appropriate combination of remedies listed above.

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

7. Cash Payments to Tenants

As a result of implementing a CARES Addendum to the lease agreement, which will replace HAP contracts, residents who enroll and participate in the CARES Program will begin receiving a monthly cash payment to cover their rental payments and utility expenses. This is in lieu of receiving a utility allowance reimbursement and a direct rental payment to the landlord. For the duration of the program the funds in the REEF may be used to cover the following costs; a hardship (as defined under the Hardship Policy and Guidelines), purchase of a vehicle to attain or maintain employment (a onetime payment not to exceed $3,000 after all other options have been exhausted), start a small business (a onetime payment not to exceed $2,500 after all other options have been exhausted), purchase a computer, down payment on a home, and/or enroll in higher education, subject to the approval of HANH/ELM CITY COMMUNITIES. If the funds deposited in the REEF are fully expended prior to the final year of the program, there would be no available funds in the final year but if the funds deposited into the REEF have not been used by the end of the program term of rental assistance, it will be refunded to the resident as a bonus for program compliance. A CARES oversight committee will be created to review the requests of the participants to use the REEF funds will consist of the Executive Director's office, the Director of Operations or designee, the Service Center Director or designee, a WRIC elected representative, a representative from Workforce Alliance Board, and a representative from the Department of Social Services.

8. Individual Development Accounts (IDA)

Program participants must establish an Individual Development Account. The amount that the family must contribute toward this account will be determined by mutual agreement between the case manager and the individual. HANH/ELM CITY COMMUNITIES's contribution will be the resident's income disallowance portion as a contribution to the IDA based upon the initial Individual Service Plan and income verification process that is established by the families and a case manager at the time of lease up to move to West Rock. If a family's income increases, they can voluntarily deposit the difference between the increase in income and the monthly rental payment into their REEF account. Families that can experience an increase in earned income will be allowed to exclude the increase from Annual Income for four years at 100 percent. The Authority also provides the same Optional Income Exclusion for any increase in income earned by a Resident Owned Business.

9. REEF Cash Deposit

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

10. CARES Income Disregard

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

11. Case Management

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

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

12. Progress Meetings

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

13. Early Graduation from CARES Program

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

14. Coordination of Supportive Services Initiatives

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

- Programs that help eliminate barriers to self sufficiency.
- Educational activities that promote learning and serve as the foundation for young people from infancy through high school graduation, helping them to succeed in academia and the professional world. Such activities, which include early childhood education, after-school programs, mentoring, youth leadership development and tutoring, must be created with strong partnerships with public and private educational institutions.
- Adult educational activities, including remedial education, literacy training, tutoring for completion of secondary or postsecondary education, assistance in the attainment of certificates of high school equivalency, and English as a Second Language courses, as needed.
- Readiness and retention activities, which frequently are keys to securing private sector commitments to provide jobs.
- Employment training activities that include results-based job training, preparation, counseling, development, placement, and follow-up assistance after job placement.
- Programs that provide pre- apprenticeships in construction, construction-related, maintenance, or other related activities by providing GED classes and OSHA certifications to prepare for an entry-level, registered apprenticeship program. An entry-level, registered apprenticeship program is one that has been registered with a State Apprenticeship Agency recognized by the Department of Labor's (DOL).
- Training on topics such as parenting skills, consumer education, family budgeting, and credit management.
- Homeownership counseling so that, to the maximum extent possible, qualified residents will be ready to purchase new homeownership units when they are completed. The Family Self-Sufficiency program can also be used to promote homeownership, providing assistance with escrow accounts and counseling.
- Coordinating with health care providers or providing on-site space for health clinics, doctors, wellness centers, dentists, community health worker initiatives, and other health-related initiatives (e.g., With Every Heart Beat Is Life initiative, which is part of the National Heart, Lung, and Blood Institute's (NHLBI's) Educational Resources to Address Health Disparities initiative).etc., that will primarily serve the public housing residents.
- Substance and alcohol abuse treatment and counseling.
- Activities that address domestic violence treatment and prevention.
- Child care services that provide sufficient hours of operation to facilitate parental access to education and job opportunities, serve appropriate age groups, and stimulate children to learn.
- Transportation, as necessary, to enable all family members to participate in available CSS activities and to commute to their places of training and/or employment.

- Entrepreneurship training and mentoring, with the goal of establishing resident-owned businesses.

15. Violations of the CARES Program

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

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

Any resident that is notified of a program violation will have the opportunity to appeal the claims being made against them as set forth in the aforementioned paragraph “5. Appeals Process”.

Any resident who is found in violation can receive disciplinary action up to and including termination of their lease agreement which can result in Mandatory Bar that states that residents can no longer receive subsidy rental assistance for 10 years.

16. Appeal Process

A family who receives an adverse finding from HANH/ELM CITY COMMUNITIES regarding the CARES Program has the right to appeal to HANH/ELM CITY COMMUNITIES under the Authority’s Grievance Process.

Appendix 4

PBV	2011	2011 MTW Expenditure	2011 Voucher cost	2012	2012 MTW Expenditure	2012 Voucher cost	2013	2013 MTW Expenditure	2013 Voucher cost
Currently under HAP	253		$37,605,888.00	290		$ 43,131,168.00	385		$41,617,800.00
HANH overhead		$1,000,000.00							$ 7,100,000.00
PreDevelopment Loans		$ 400,000.00			$ 460,000.00				
Shartenberg		$ 101,977.00		20		$ 180,000.00			
CUHO New Construction				8		$ 81,600.00			
Brookside Phase I				50	$ 5,221,820.00	$ 630,000.00			
Brookside Phase II					$ 2,865,219.00		51	$ 955,073.00	$321,300.00
Brookside Homeownership		$ 833,333.33			$ 833,333.33			$ 833,333.33	
Rowe	32	$5,032,685.00	$404,304		$ 5,032,685.00				
QT3	5	$ 1,591,909.00	$56,136						
Mutual Housing							20		$84,000.00
122 Wilmot Road					$ 3,375,000.00		13	$ 1,125,000.00	$31,200.00
Rockview Phase I								$ 678,212.00	
Rockview Phase II									
Downtown									
Dwight									

Farnam									
PBV	**2011**	**2011 MTW Expenditure**	**2011 Voucher cost**	**2012**	**2012 MTW Expenditure**	**2012 Voucher cost**	**2013**	**2013 MTW Expenditure**	**2013 Voucher cost**
Ribicoff									
Eastview/Chatham									
Cedar Hill							4		$12,800.00
Frank Nasti							8		$8,400.00
Essex RAD									
Crawford RAD									
Westville Manor RAD									
Scatter Sites RAD									
Total PBV	290	$8,959,904.33	$38,066,328.00	368	$17,788,057.33	$44,022,768.00	481	$3,591,618.33	$49,175,500.00
Number of Vouchers HANH would otherwise be able to issue for HCV based upon the use of MTW funds for redevelopment									
Percentage of Total Budget Authority									
Adjusted HCV Baseline									
Percentage of Allocation									

PBV	2014	2014 MTW Expenditure	2014 Voucher cost	2015	2015 MTW Expenditure	2015 Voucher cost	2016	2016 MTW Expenditure	2016 Voucher cost
Currently under HAP			$2,940,800.00			$47,129,504.00			
HANH overhead			$7,178,000.00			$ 7,258,340.00			
PreDevelopment Loans									
Shartenberg									
CUHO New Construction									
Brookside Phase I									
Brookside Phase II									
Brookside Homeownership									
Rowe									
QT3									
Mutual Housing									
122 Wilmot Road									
Rockview Phase I	47		$ 444,150.00						
Rockview Phase II									
Downtown	50		$ 315,000.00						
Dwight					$825,000.00				
Farnam		$ 7,164,000.00		84	$7,164,000.00	$ 529,200.00		$,716,000.00	
Ribicoff		$ 1,500,000.00		70	$ 3,500,000.00	$ 672,000.00			

PBV	2014	2014 MTW Expenditure	2014 Voucher cost	2015	2015 MTW Expenditure	2015 Voucher cost	2016	2016 MTW Expenditure	2016 Voucher cost
Eastview/Chatham		$ 2,800,000.00		47		$ 592,200.00			
Cedar Hill									
Frank Nasti									
Essex RAD		$ 2,296,594.00							
Crawford RAD		$ 723,704.00							
Westville Manor RAD					$ 3,495,702.00				
Scatter Sites RAD									
Total PBV	97	$14,484,298.00	$50,877,950.00	201	$ 11,489,000.00	$ 6,181,244.00	0	$16,716,000.00	0
Number of Vouchers HANH would otherwise be able to issue for HCV based upon the use of MTW funds for redevelopment									
Percentage of Total Budget Authority									
Adjusted HCV Baseline									
Percentage of Allocation									

<u>Appendix 5</u>

HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

MOVING TO WORK SUFFICIENCY PROGRAM

RENT SIMPLIFICATION PROCEDURES FOR THE PUBLIC HOUSING PROGRAM

TABLE OF CONTENTS

Public Housing Program Rent Simplification

HANH/ELM CITY COMMUNITIES believes there is a better way to administer essential housing programs, one that encourages long-term self-sufficiency for both the program participants as well as the agency.

Rent Simplification: Equity & Efficiency

The proposed system rewards families who increase their incomes, and provides them with more opportunities to save while easing HANH/ELM CITY COMMUNITIES's burden of administering these housing programs.

Everyone Should Contribute

HANH/ELM CITY COMMUNITIES believes that every family should contribute towards their housing. Under Rent Simplification, the criteria under which a family can claim zero income and not pay any rent are not changed. What will change is the amount of time families will be permitted to request an interim adjustment. The minimum rent will remain at $50.00 per month.

Fiscal Equity for HANH/ELM CITY COMMUNITIES

Rent Simplification is forecast to be revenue-neutral. In other words, the implementation of Rent Simplification will not increase the amount of rental revenue to the HANH/ELM CITY COMMUNITIES.

Approvable Method

Rent Simplification allows all stakeholders to easily understand how tenant rents are determined, and armed with some basic income data, anticipate what future rents will be. This will allow families to easily plan for future expenses and savings.

Measurable Reduction in Administrative Time

By simplifying the rent determination and deduction procedures in Federal Public Housing, Rent Simplification makes the job of recertifying tenants significantly easier.

Transition to Avoid Hardships

HANH/ELM CITY COMMUNITIES has devised a system that is not only revenue neutral for the organization, but will not result in any undue hardship to our families. There will be a transition period of one year from the current income based rent determination process to the new income tiered rent determination process. No family will have an increase in Total Tenant Payment (TTP) during the first year they are subject to the requirements of this Rent Simplification Policy. Please note that this hold harmless provision does not apply to increases in TTP that result from an increase in family annual income above the amount earned in the reporting period immediately preceding the family being subject to Rent Simplification. No family shall be subject to an increase in TTP of greater than $25.00 a month during the second year that the family is subject to the Rent Simplification Policy. The increase in TTP during the third year the family is subject to Rent Simplification shall not exceed $50; $75 a month during the fourth year; and $100 a month above the monthly TTP in the year immediately following the implementation of Rent Simplification.

Asset Exclusion

Asset exclusion is raised to $50,000.00. Increasing the asset exclusion amount allows residents to accumulate more assets before they are calculated as income. Families will self certify that they do not have assets in excess of $50,000.00.

Earned Income Disallowance

The Federal Earned Income Disregard (EID) will continue to be implemented. The maximum amount of time a family can be enrolled in the Federal EID is 24 months. After the 24 months have been exhausted, the family may elect to participate in the Family Self Sufficiency (FSS) program for the remaining 24 months so long as any family member is enrolled in FSS. Both program s combined cannot to exceed 48 months. When the family joins the FSS program 50% of incremental earnings are excluded for 12 additional months after the end of receiving EID for 24 months and 25% for another 12 months for a total for 48 months of income disallowance The optional income disregard provided under this paragraph is limited to lifetime eligibility of 48 months/

For families who do not receive the Federal EID, it may choose to enroll directly into the optional FSS Earned Income Disregard so long as any member of the household is enrolled in FSS Program. Incremental earnings from wages or salaries are excluded in the first 12 months; 75 percent in the second 12 months; 50% in the third 12 months; and 25% in the fourth 12 months. A family is limited to 96 months of eligibility for this optional EID. This will allow more families to enter and benefit from the program. In no event shall the family receive the FSS exclusion and the Federal EID during the same time period.

Other Exclusions

All adoption assistance payments will be excluded from income calculations under Section 5.609(c)(8)(x11) as the $480 dependent deduction is eliminated. All income earned by full-time college students will no longer be included in the determination since there will no longer be the $480 dependent deduction to offset income.

Family Self Sufficiency (FSS) Income Exclusion

The average income of our public housing residents is approximately $12,000.00 per year. In order to promote long-term sustainable economic self-sufficiency of the residents, all families that enroll in the FSS program who are members of Very Low Income families will have all incremental earnings and benefits from any qualified Federal, State or Local employment training program training of a family member (including programs not affiliated with the local government) excluded from the determination of Annual Income so long as the family member is enrolled in HANH/ELM CITY COMMUNITIES's FSS Program.

Additionally, any incremental earning by any family member while enrolled in the FFS Program will be excluded from the determination of Annual Income. At the conclusion of the FSS Program or termination from the Program, the family member will have their rent re-determined.

In addition to expanding the scope of the existing exclusion to include Federal and State programs, an optional exclusion will be provided to cover the incremental increases and wages and salaries so long as that family member is enrolled in the HANH/ELM CITY COMMUNITIES FSS Program.

There is not a requirement that these increases in rental income must go into an escrow account. Families will be permitted to retain these additional earnings.

Annualized Income Calculation

Prospective and past income may be used to calculate resident rents, especially for families with irregular or sporadic employment histories. For families with income of less than $5,000.00 we will accept a self-certification. For families earning more than $5,000.00 of wages and salaries we want pay stubs covering the most recent four weeks of employment or a W-2 or 1099 within 180 days of the effective date of recertification. We must complete EIV or other UIV as required by HUD.

Annual Reexaminations

Reexaminations are currently conducted every year for non-elderly households and every two year for elderly and disabled households. HANH/ELM CITY COMMUNITIES spends on average three hours per annual reexamination. HANH/ELM CITY COMMUNITIES must perform more than 3,200 LIPH reexaminations every year. This is inordinately time consuming and an exceedingly complex process. Under Rent Simplification, annual reexaminations will occur every two years for non-elderly households and every three years for elderly and disabled households. These changes will allow families who experience increases in income to retain all of their increased earnings between annual reexaminations. Note that families with individuals who are subject to the eight hour community services requirement will be reviewed annually for all household members exempt from having to meet the community services requirement. During the first year all families will be recertified. This process will be phased in over a three-year period.

Deductions for Exceptional Expenses

Excess 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/ELM CITY COMMUNITIES 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 4 or more children). It also includes families with high medical expenses, disability assistance expenses, or childcare expenses.

The amount of expense is set in $2,000.00 tiers. This allows HANH/ELM CITY COMMUNITIES 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

In all cases where a tenant provides verifiable proof that excess expenses or shelter and excess expenses exceed 40% of income HANH/ELM CITY COMMUNITIES will, at a minimum, calculate a rent that will not exceed 40% of the tenant's income.

Changes in Family Composition

Residents are still required to get permission from the Housing Manager and the Director of Housing, Management to add anyone to a household and to report changes in family composition. A family's rent is recalculated if the addition or subtraction of a household member results in an income change of more than $200.00 per month.

Mandatory Interim Reexaminations Policy

Residents must request an interim reexamination if any of the following conditions occur:

- Change in family composition that affects the bedroom size of two degrees or more.
- The addition of a family member 18 years of age or older.
- Change in family composition that causes the family to move from one income tier to another with a higher rent schedule.

expense deduction for any family and there is a change then the family must report that change to HANH/ELM CITY COMMUNITIES.

Optional Interim Reexaminations Policy

Residents have the option to request three (3) interim reexaminations during every twelve (12) month period. Interims may be granted in the following instances:

- Decrease in family income that is expected to last 90 days or more if it will result in a change in the family's income (exclude seasonal workers; see below)
- Increase in Exceptional Expenses of at least $2,000.00

Interim rents remain in place until the next scheduled reexamination. If a family experiences an increase in income it is not necessary for the family to report this increase in income until the next scheduled annual certification date.

Households receiving a requested interim rent reduction must report any subsequent income increase to HANH/ELM CITY COMMUNITIES within thirty (30) days of occurrence. Failure to report the change within thirty (30) days results in retroactive rent changes, and depending on the severity of the circumstances, lease termination.

Seasonal workers who are employed for a period of time less than 12 months annually will have their rent calculated over a 12 month period using the 9 or 10 months of income earned. During the months the worker is not actively working, the family will not be able to request a rent reduction as the rent has already been adjusted over a 12 month period.

Verification of Annual Income from Wages and Salaries and Assets

To reduce the administrative burden associated with the verification of income HANH/ELM CITY COMMUNITIES will amend its Admission and Continued Occupancy (ACOP) to specify that:

- For earnings from wages and salaries where Annual Income for the prior period is less than $5,000.00, self certification from family is all that shall be required as verification of income.

- For earnings from and salaries in excess of $5,000.00 the most recent pay stubs for recent 4 weeks of employment, or W-2 or 1099 within 180 days of the anniversary date shall be required in addition to the self-certification, but only to the extent that verification of Annual Income is not available from a third party source of Upfront Income Verification.

- Self-certification of all sources of Annual Income shall be required in all cases.

- For families with total assets of less than $50,000.00 a self-certification of said assets shall be required.

Income Tiered Rents Calculated within $1,000 Bands

Rents are based on $1,000.00 income bands starting at $2,500.00. Using a band-based rent schedule allows the HANH/ELM CITY COMMUNITIES and residents to move away from verifying every last dollar earned and deducted. **(See Exhibit A)**

At January 31, 2007, both the median and mode percentage of Total Tenant Payment (TTP) to annual income is 28.5 percent. That is, most families pay 28.5 percent of their family income (before utility allowance) as rent. Fifty two (52) percent of households pay 28 percent or more of annual income for TTP; six percent pay less than 10 percent; 13 percent pay between 10 and 20 percent; and 26 percent pay between 20 and 27 percent of income as TTP.

Rent will be set at 28.50 percent of income for income tiers of $1000.00 starting at $2,500.00. The rent will be calculated at the lower end of each tier. For example, for the $2,500.00 to $3,499.00 tier, the rent will be calculated at 28.50 percent of $2,500.00. Families with incomes below $2,500.00 will be charged the minimum rent. Families will be permitted to apply for a hardship if verifiable proof is provided that there total expenses exceed $2,000.00

Minimum Rents and Flat Rents

Families with annual income below $2,500.00 will pay a minimum rent of $50.00. In no event shall any family pay less than 25 percent of its Annual Income for TTP.

All residents at a rent of $50.00, except for the elderly and persons with disabilities, are referred to the Family Self Sufficiency (FSS) Program for job or benefit counseling. Families may still choose the existing Flat Rent option for public housing.

Zero Income Households

Families with Annual Income below $2,500 annually shall pay the minimum rent of $50.00 per month.

All families placed on minimum rent with the exception of elderly and disabled families will be referred to the Family Self Sufficiency Program.

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long-term hardship exemption from the minimum rent requirements.

All families placed on minimum rent must be informed in writing of the procedures for applying for a hardship exemption from the Minimum Rent Requirement and the ability to have minimum rent waived.

All families who apply for such hardship exemption, with the exception of elderly persons and persons with disabilities, will be referred to the Family Self Sufficiency Program in order to assist the family in moving towards self sufficiency.

HANH/ELM CITY COMMUNITIES will notify all families of their right to request a hardship exemption from the minimum rent requirements. Residents will be notified of their right to request a hardship exemption through the Application for Exemption from Minimum Rent, a copy of which will be provided to tenants at lease-up and at each recertification appointment and mailed to residents at each interim recertification. The policy and procedures for requesting such hardship exemption will also be included in tenant rent change notifications, the form lease agreement and all form documents related to the exemption process.

Criteria for Hardship Exemption From Minimum Rent Requirement

A family is automatically exempt from the minimum rent requirements for a 90 day period when the family's circumstances fall into any one of the following criteria:

1. When a family has lost eligibility or is awaiting eligibility determination from a Federal, State or local assistance program;
2. When the family would be evicted because it is unable to pay the minimum rent;
3. When the income of the family has decreased because of changed circumstances, including loss of employment;

4. When a death in the family has occurred; or
5. Other circumstances determined by HANH/ELM CITY COMMUNITIES to be reasons to waive the minimum rent requirement (collectively, the "Criteria for Minimum Rent Exemption").

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long-term hardship exemption from the minimum rent requirement.

A temporary hardship exemption exists when none of the above criteria is expected to last for more than 90 days.

A long-term hardship exemption exists when at least one of the above criteria is expected to last for more than 90 days.

A family may only receive one hardship exemption from the minimum rent requirement during a twelve month period, unless a tenant is elderly, disabled, or is enrolled in HANH/ELM CITY COMMUNITIES's Family Self Sufficiency Program. The minimum rent requirement may be waived more than once during a twelve month period if at least one adult member of the household enrolls in the Family Self Sufficiency Program (the "FSS Program"). Elderly and disabled families are not required to enroll in the FSS Program.

Once the Authority identifies a resident's need for a hardship exemption from the minimum rent requirement or the family requests such exemption, the minimum rent shall be suspended immediately for a period of 90 days.

5. Hardship Review Committee

All "Applications for Exemption from Minimum Rent" shall be forwarded to the Hardship Review Committee.

The Hardship Review Committee shall consist of the Executive Director or his/her designee, the Chief Operations Officer or his/her designee, the Service Center Director or his/her designee, and the Assistant Executive Director of Community and Economic Development or his/her designee. At the family's option, the Hardship Review Committee may include one (1) resident of HANH/ELM CITY COMMUNITIES who is in good standing.

The Application for Exemption from Minimum Rent shall originate from the family or from a HANH/ELM CITY COMMUNITIES employee whenever evidence exists that the family falls into any one of the Criteria for Minimum Rent Exemption.

When a resident submits an application or a HANH/ELM CITY COMMUNITIES employee submits an application on behalf of a resident, HANH/ELM CITY COMMUNITIES will suspend the minimum rent requirement commencing on the first of the month following the date of the application for a period of 90 days.

The resident cannot be evicted for nonpayment of minimum rent while resident's Application for Exemption from Minimum Rent is pending or during the 90 day period of suspension, whichever is longer.

The Hardship Review Committee shall send a letter to all resident families who have applied for hardship exemption from minimum rent stating:

(a) that HANH/ELM CITY COMMUNITIES has received an Application for Exemption from Minimum Rent,

(b) that HANH/ELM CITY COMMUNITIES will suspend the minimum rent requirement for 90 days effective as of the first of the next month and the effective dates of the 90 day suspension,

(c) that there can be no eviction for non-payment of rent during the suspension period;

(d) the date for a meeting with the resident to discuss the hardship exemption request, giving the resident family at least ten days advance notice of such meeting and informing the resident that he or she may have one opportunity to reschedule the meeting; and

(e) that, with the exception of elderly and disabled families, the resident family has been referred to the FSS program and will not be able to receive a hardship exemption in excess of 90 days without enrolling in the program.

The Hardship Review Committee will review the circumstances surrounding the request and determine if the request is temporary, long term or nonexistent.

1. If the Committee determines that ***the hardship is of a temporary nature (the hardship is expected to last less than 90 days)***, at the end of the 90-day period, the resident's rent will be reinstated to the minimum rent retroactively to the initial date of suspension. The resident will have an opportunity to enter into a reasonable repayment agreement with HANH/ELM CITY COMMUNITIES for any back rent that is due and owing to HANH/ELM CITY COMMUNITIES.

2. If the Committee determines that the ***hardship is of a long-term nature (the hardship is expected to last more than 90 days),*** the tenant shall be exempt from the minimum rent requirement from the first of the month following the date of the application for exemption from the minimum rent until such time that the hardship no longer exists.

   HANH/ELM CITY COMMUNITIES may deny a resident a long-term exemption from the minimum rent requirement, if the resident fails to attend the scheduled meeting with the Hardship Review Committee. HANH/ELM CITY COMMUNITIES will provide each resident one opportunity to reschedule the meeting. If the resident fails to attend the scheduled meetings, HANH/ELM CITY COMMUNITIES may deny the long-term exemption from the minimum rent requirement. The letter scheduling the meeting shall inform residents that persons with disabilities are entitled to reasonable accommodation with regard to this requirement.

Except for Elderly or Disabled families, no tenant shall be exempt from the minimum rent requirement for more than 90 days during a one year period unless at least one member of the family who is 18 years of age or older enrolls and actively participates in HANH/ELM CITY COMMUNITIES's FSS Program for job or benefit counseling. Such family member(s) shall enroll in the FSS Program within 30 days from the date of the Application for Exemption from Minimum Rent.

3. If the ***hardship is determined to be non-existent,*** the resident will be responsible for paying rent to HANH/ELM CITY COMMUNITIES for any rent that was suspended while tenant's Application for Exemption from Minimum Rent was pending. The minimum rent shall be re-instated retroactively to the initial date of the suspension. The resident will have an opportunity to enter into a reasonable repayment agreement with HANH/ELM CITY COMMUNITIES for any back rent that is due and owing to HANH/ELM CITY COMMUNITIES.

Upon completion of the review process, the Hardship Review Committee shall render a written recommendation to the Executive Director, who shall then adopt or reject the recommendation and shall issue a written decision that states as follows:

1. <u>If the hardship exemption is determined to be temporary</u>:

   (a) that a temporary hardship exemption was granted;

   (b) the effective dates of the exemption;

   (c) the basis for the decision to grant a temporary hardship exemption, including that a long-term exemption was denied and the reason that such long-term exemption was denied; and

   (d) that the resident has a right to enter into a reasonable repayment agreement with HANH/ELM CITY COMMUNITIES for the minimum rent that was suspended and is now owing to HANH/ELM CITY COMMUNITIES.

2. <u>If the hardship exemption is determined to be long-term</u>:

   (a) that a long-term hardship exemption was granted;

   (b) whether the long-term exemption is permanent or subject to periodic review and, if subject to periodic review, when such review will take place;

   (c) that all non-elderly, non-disabled residents are required to comply with FSS requirements as a condition of the receipt of a long-term exemption; and

(d) that the resident must notify HANH/ELM CITY COMMUNITIES within 10 days if the hardship ceases to exist because the resident has obtained a source of income sufficient to pay (at least) the minimum rent.

3. If the hardship is determined to be non-existent:

   (a) that a hardship exemption was denied;

   (b) the reason for such determination; and

   (c) the terms and conditions on which the resident family must pay back the minimum rent that was suspended and is now owing to HANH/ELM CITY COMMUNITIES.

All letters concerning Hardship Review Committee determinations shall state that any resident who disagrees with the decision may request a grievance in accordance with HANH/ELM CITY COMMUNITIES's grievance procedures, a copy of which will be included with the written decision. In cases where a grievance is sought, no action shall be taken by HANH/ELM CITY COMMUNITIES until the grievance process is completed.

Mixed Families

For mixed families, where some households include members with citizenship or eligible immigration status as well as those without, rents are calculated using the simplification model; subsidy is then prorated using current methods.

Fraud Prevention

After two or more instances of job loss or income drop within ninety (90) days of a scheduled reexamination (based on current and prior reexamination history), HANH/ELM CITY COMMUNITIES sets a rent based on the past year's W-2 or other information available for income verification. Households are advised that this is a potential fraud issue and that they have the right to grieve through the normal process to more fully explain the reasons for the pattern of income loss. HANH/ELM CITY COMMUNITIES will set the rent after the Conference Panel review.

Households with two or more instances of job loss or income drop within ninety (90) days of a scheduled certification do not have access to the Hardship Review Committee.

Rent Simplification Implementation - Public Housing

Residents will receive notice of the new policy on July 1, 2007 and the policy will take effect on January 1, 2008 for all reexaminations with an anniversary effective date on or after January 1, 2008 and for all new lease-ups and residents requesting interim reexaminations after January 1, 2008.

A staggered approach is used to integrate the two-year and three year reexamination cycles.

- Initially in fiscal year 2008, all families will be re-examined during the first year.

- In the second year of the program (2009), two thirds of the elderly/disabled families will be re-examined and one half of the non-elderly/non-disabled families.

- In the third year of the program (2010), one third on the elderly/disabled families will be re-examined and one-half of the remaining non-elderly/non-disabled families.

Rent Simplification is expected to be fully implemented by December 31, 2010.

Low Income Public Housing (LIPH) Program

Rent Simplification Utility Allowance Schedule

Utility Allowance

Income Range		
$0	$2,499	$50
$2,500	$3,499	$59
$3,500	$4,499	$83
$4,500	$5,499	$107
$5,500	$6,499	$131
$6,500	$7,499	$154
$7,500	$8,499	$178
$8,500	$9,499	$202
$9,500	$10,499	$226
$10,500	$11,499	$249
$11,500	$12,499	$273
$12,500	$13,499	$297
$13,500	$14,499	$321
$14,500	$15,499	$344
$15,500	$16,499	$368
$16,500	$17,499	$392
$17,500	$18,499	$416
$18,500	$19,499	$439
$19,500	$20,499	$463
$20,500	$21,499	$487
$21,500	$22,499	$511
$22,500	$23,499	$534
$23,500	$24,499	$558
$24,500	$25,499	$582
$25,500	$26,499	$606
$26,500	$27,499	$629
$27,500	$28,499	$653
$28,500	$29,499	$677
$29,500	$30,499	$701
$30,500	$31,499	$724
$31,500	$32,499	$748

$32,500	$33,499	$772
$33,500	$34,499	$796
$34,500	$35,499	$819
$35,500	$36,499	$843
$36,500	$37,499	$867
$37,500	$38,499	$891
$38,500	$39,499	$914
$39,500	$40,499	$938
$40,500	$41,499	$962
$41,500	$42,499	$986
$42,500	$43,499	$1,009
$43,500	$44,499	$1,033
$44,500	$45,499	$1,057
$45,500	$46,499	$1,081
$46,500	$47,499	$1,104
$47,500	$48,499	$1,128
$48,500	$49,449	$1,152
$49,500	Above	$1,176

Families with Annual Income below $2,500 annually shall pay the minimum rent of $50.00 per month.

All families placed on minimum rent with the exception of elderly and disabled families will be referred to the Family Self Sufficiency Program.

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long-term hardship exemption from the minimum rent requirements.

All families placed on minimum rent must be informed in writing of the procedures for applying for a hardship exemption from the Minimum Rent Requirement and the ability to have minimum rent waived.

All families who apply for such hardship exemption, with the exception of elderly persons and persons with disabilities, will be referred to the Family Self Sufficiency Program in order to assist the family in moving towards self sufficiency.

HANH/ELM CITY COMMUNITIES will notify all families of their right to request a hardship exemption from the minimum rent requirements and in accordance with the provisions set forth herein. Residents will be notified of their right to request a hardship exemption through the Application for Exemption from Minimum Rent, a copy of which will be provided to tenants at lease-up and at each recertification appointment and mailed to residents at each interim recertification. The policy and procedures for requesting such hardship exemption will also be included in tenant rent change notifications, the form lease agreement and all form documents related to the exemption process.

2. Criteria for Hardship Exemption From Minimum Rent Requirement

A family is automatically exempt from the minimum rent requirements for a 90 day period when the family's circumstances fall into any one of the following criteria:

1. When a family has lost eligibility or is awaiting eligibility determination from a Federal, State or local assistance program;
2. When the family would be evicted because it is unable to pay the minimum rent;
3. When the income of the family has decreased because of changed circumstances, including loss of employment;
4. When a death in the family has occurred; or
5. Other circumstances determined by HANH/ELM CITY COMMUNITIES to be reasons to waive the minimum rent requirement (collectively, the "Criteria for Minimum Rent Exemption").

If a family is unable to pay the minimum rent because of a financial hardship, the family is eligible for a temporary or long-term hardship exemption from the minimum rent requirement.

A temporary hardship exemption exists when none of the above criteria is expected to last for more than 90 days.

A long-term hardship exemption exists when at least one of the above criteria is expected to last for more than 90 days.

A family may only receive one hardship exemption from the minimum rent requirement during a twelve month period, unless a tenant is elderly, disabled, or is enrolled in HANH/ELM CITY COMMUNITIES's Family Self Sufficiency Program. The minimum rent requirement may be waived more than once during a twelve month period if at least one adult member of the household enrolls in the Family Self Sufficiency Program (the "FSS Program"). Elderly and disabled families are not required to enroll in the FSS Program.

Once the Authority identifies a resident's need for a hardship exemption from the minimum rent requirement or the family requests such exemption, the minimum rent shall be suspended immediately for a period of 90 days.

3. __Initiation of Hardship Exemption Review__

An Application for Exemption from Minimum Rent may originate from either a HANH/ELM CITY COMMUNITIES employee or the resident family.

HANH/ELM CITY COMMUNITIES employees must complete and submit an Application for Exemption from Minimum Rent on behalf of a resident family whenever any evidence exists that the family falls into any one of the Criteria for Minimum Rent Exemption (as set forth above).

A resident family also has the right to request a hardship exemption from minimum rent. Such request must be in writing and must state the family circumstances that qualify the family for a hardship exemption.

4. __Notification of the Right to a Hardship Exemption__

HANH/ELM CITY COMMUNITIES will notify all families of the ability to receive a hardship exemption from minimum rent and the procedures for applying for such a hardship exemption in the Application for Exemption from Minimum Rent, a copy of which will be provided to residents at lease up and at each recertification appointment or mailed to residents for interim recertifications.

HANH/ELM CITY COMMUNITIES will also notify all families in writing of the ability to receive a hardship exemption from minimum rent and the procedures for applying for such a hardship exemption in the following documents: resident rent change notifications when monthly rent is set at the minimum rent, the form lease agreement and all form documents related to the hardship exemption process.

HANH/ELM CITY COMMUNITIES will also notify all families in all of the above documents that all families that are exempt from the minimum rent requirement will be referred to the Family Self Sufficiency (FSS) Program in order to assist the family in moving toward self sufficiency. Elderly and disabled families are not required to participate in the FSS program.

__5. Hardship Review Committee__

All "Applications for Exemption from Minimum Rent" shall be forwarded to the Hardship Review Committee.

The Hardship Review Committee shall consist of the Executive Director or his/her designee, the Chief Operations Officer or his/her designee, the Service Center Director or his/her designee, and the Assistant Executive Director of Community and Economic Development or his/her designee. At the family's option, the Hardship Review Committee may include one (1) resident of HANH/ELM CITY COMMUNITIES who is in good standing.

The Application for Exemption from Minimum Rent shall originate from the family or from a HANH/ELM CITY COMMUNITIES employee whenever evidence exists that the family falls into any one of the Criteria for Minimum Rent Exemption.

When a resident submits an application or a HANH/ELM CITY COMMUNITIES employee submits an application on behalf of a resident, HANH/ELM CITY COMMUNITIES will suspend the minimum rent requirement commencing on the first of the month following the date of the application for a period of 90 days.

The resident cannot be evicted for nonpayment of minimum rent while resident's Application for Exemption from Minimum Rent is pending or during the 90 day period of suspension, whichever is longer.

The Hardship Review Committee shall send a letter to all resident families who have applied for hardship exemption from minimum rent stating:

(f) that HANH/ELM CITY COMMUNITIES has received an Application for Exemption from Minimum Rent,

(g) that HANH/ELM CITY COMMUNITIES will suspend the minimum rent requirement for 90 days effective as of the first of the next month and the effective dates of the 90 day suspension,

(h) that there can be no eviction for non-payment of rent during the suspension period;

(i) the date for a meeting with the resident to discuss the hardship exemption request, giving the resident family at least ten days advance notice of such meeting and informing the resident that he or she may have one opportunity to reschedule the meeting; and

(j) that, with the exception of elderly and disabled families, the resident family has been referred to the FSS program and will not be able to receive a hardship exemption in excess of 90 days without enrolling in the program.

The Hardship Review Committee will review the circumstances surrounding the request and determine if the request is temporary, long term or nonexistent.

1. If the Committee determines that ***the hardship is of a temporary nature (the hardship is expected to last less than 90 days)***, at the end of the 90-day period, the resident's rent will be reinstated to the minimum rent retroactively to the initial date of suspension. The resident will have an opportunity to enter into a reasonable repayment agreement with HANH/ELM CITY COMMUNITIES for any back rent that is due and owing to HANH/ELM CITY COMMUNITIES.

2. If the Committee determines that the ***hardship is of a long-term nature (the hardship is expected to last more than 90 days),*** the tenant shall be exempt from the minimum rent requirement from the first of the month following the date of the application for exemption from the minimum rent until such time that the hardship no longer exists.

   HANH/ELM CITY COMMUNITIES may deny a resident a long-term exemption from the minimum rent requirement, if the resident fails to attend the scheduled meeting with the Hardship Review Committee. HANH/ELM CITY COMMUNITIES will provide each resident one opportunity to reschedule the meeting. If the resident fails to attend the scheduled meetings, HANH/ELM CITY COMMUNITIES may deny the long-term exemption from the minimum rent requirement. The letter scheduling the meeting shall inform residents that persons with disabilities are entitled to reasonable accommodation with regard to this requirement.

Except for Elderly or Disabled families, no tenant shall be exempt from the minimum rent requirement for more than 90 days during a one year period unless at least one member of the family who is 18 years of age or older enrolls and actively participates in HANH/ELM CITY COMMUNITIES's FSS Program for job or benefit counseling. Such family member(s) shall enroll in the FSS Program within 30 days from the date of the Application for Exemption from Minimum Rent.

3. If the ***hardship is determined to be non-existent,*** the resident will be responsible for paying rent to HANH/ELM CITY COMMUNITIES for any rent that was suspended while tenant's Application for Exemption from Minimum Rent was pending. The minimum rent shall be re-instated retroactively to the initial date of the suspension. The resident will have an opportunity to enter into a reasonable repayment agreement with HANH/ELM CITY COMMUNITIES for any back rent that is due and owing to HANH/ELM CITY COMMUNITIES.

Upon completion of the review process, the Hardship Review Committee shall render a written recommendation to the Executive Director, who shall then adopt or reject the recommendation and shall issue a written decision that states as follows:

4. If the hardship exemption is determined to be temporary:

   (e) that a temporary hardship exemption was granted;

   (f) the effective dates of the exemption;

   (g) the basis for the decision to grant a temporary hardship exemption, including that a long-term exemption was denied and the reason that such long-term exemption was denied; and

   (h) that the resident has a right to enter into a reasonable repayment agreement with HANH/ELM CITY COMMUNITIES for the minimum rent that was suspended and is now owing to HANH/ELM CITY COMMUNITIES.

5. If the hardship exemption is determined to be long-term:

   (e) that a long-term hardship exemption was granted;

   (f) whether the long-term exemption is permanent or subject to periodic review and, if subject to periodic review, when such review will take place;

   (g) that all non-elderly, non-disabled residents are required to comply with FSS requirements as a condition of the receipt of a long-term exemption; and

(h) that the resident must notify HANH/ELM CITY COMMUNITIES within 10 days if the hardship ceases to exist because the resident has obtained a source of income sufficient to pay (at least) the minimum rent.

6. If the hardship is determined to be non-existent:

(d) that a hardship exemption was denied;

(e) the reason for such determination; and

(f) the terms and conditions on which the resident family must pay back the minimum rent that was suspended and is now owing to HANH/ELM CITY COMMUNITIES.

All letters concerning Hardship Review Committee determinations shall state that any resident who disagrees with the decision may request a grievance in accordance with HANH/ELM CITY COMMUNITIES's grievance procedures, a copy of which will be included with the written decision. In cases where a grievance is sought, no action shall be taken by HANH/ELM CITY COMMUNITIES until the grievance process is completed.

6. Termination of Long-Term Exemptions

HANH/ELM CITY COMMUNITIES may conduct periodic reviews of all long-term hardship exemptions to determine if the hardship continues to exist and, for non-elderly and non-disabled residents, whether the resident is complying with FSS requirements.

If HANH/ELM CITY COMMUNITIES determines that a family is no longer eligible for a long-term hardship exemption (because the hardship no longer exists or the non-elderly/non-disabled tenant has not complied with FSS requirements), HANH/ELM CITY COMMUNITIES shall notify the family of the proposed termination of the long-term hardship exemption, the effective date of the proposed termination, and the reason for such proposed termination. This letter shall be delivered to the resident by first class mail no later than thirty (30) days prior to the effective date of the proposed termination. Any resident who disagrees with the proposed termination may request a grievance in accordance with HANH/ELM CITY COMMUNITIES's grievance procedures, a copy of which will be included in the notice of termination. In cases where an appeal is sought, no action shall be taken by HANH/ELM CITY COMMUNITIES until the grievance process is completed.

The Executive Director may waive any or all of these requirements in cases where he/she determines that the hardship conditions are likely to be permanent.

EXCEPTIONS TO LIPH REGULATIONS

Exceptions to Regulations for Public Housing Program

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy
Annual Income	24 CFR Part 5.609(a)(4)	Any income derived from an asset to which any member of the family has access	Excludes asset from the determination of annual income to the extent the amount does not exceed $50,000.
	5.609(c)(8)(x 11	Adoption assistance payments for any child in excess of $480.00 received.	All income earned by fulltime student will be excluded who is over18. Students who are HOH or spouse are not excluded. All income earned by a family from adoption assistance will be excluded.
Income Exclusion for Person Enrolled in FSS Program	24 CFR Part 5.609(b)(1)	Incremental earnings and benefits resulting in any family member from participation in a qualifying **State or local employment training** programs (including training programs not affiliated with a local government) and training of a family member as resident management staff.	Exclude 100 percent of any incremental earnings from wages or salaries earned by any family member so long as the household is enrolled in the FSS Program, not to exceed 5 years. During the 12 months of enrollment in FSS program 100 percent; 75 percent in the second 12 months; 50 percent in the third 12 months; and 25 percent in the fourth 12 months; A family's eligibility to receive this optional income disallowance is limited to a total of 96 months. In addition, for families that qualify and receive the federal EID, the total number of months that a family may receive the optional income disallowance provided for under this subparagraph and under the Federal Earned Income Disregard (EID) may not exceed 48 months. In no event shall the family receive the exclusion provided for under this subparagraph during the same period said family member is receiving the federal EID as set forth in 24 CFR Part 5.617. Additionally, the current exclusion covering incremental earnings of any family participating in a state of local program will be expanded to include any qualifying **federal** program so long as a family member is enrolled in the FSS Program.
Business Income for Resident Owned Businesses	24 CFR Part 5.609(b)(2)	The net income from the operation of a business or profession is included in determining annual income.	Exclude 100 Percent of any net income derived from the operation of a businesses; provided the business qualifies as **a resident owned business** under 24 CFR Part 963.5. During the first year of enrollment in FSS program 100 percent; 75 percent in the second year; 50 percent in the third year; 25 percent in the fourth year; 0 percent exclusion thereafter.
Earned Income Disallowance	**24 CFR Part 960.255**	Incremental income earned by a family member, provided the increase in income is the result (1) of employment of a family member was previously unemployed for one or more years prior to employment; (2) increased earnings by a family member during participation in any economic self-sufficiency or other job training program; or (3) result of new employment or increased earnings of a family member during or within six months after receiving assistance, benefits or services under any state program for temporary assistance for needy families	HANH/ELM CITY COMMUNITIES will continue to implement the Earned Income Disregard (EID). The maximum amount of time a family may participate in the program combined with the Family Self Sufficiency Program (FSS) is 48 months. After 24 months, when the EID is exhausted, the family member may enter the FSS Program and 50% of their earnings may be excluded. They will then continue to exclude 25% in the fourth year and 0% thereafter. This will allow more families to enter and benefit from the program.

			In no event shall the family receive the exclusion provided for under this subparagraph during the same period said family member is receiving EID as set forth in 24 CFR Part 5.617.In addition, the total number of months that a family may receive the exclusion provided for under this subparagraph and under the EID may not exceed 48 months.
Mandatory Deductions	24 CFR Part 5.611	(1) $480 for each dependent; (2) $400 for any elderly family or disabled family; (3) The sum of the following to the extent the sum exceeds three percent of annual income: (i) Un-reimbursed medical expenses of any elderly family or disabled family; and (ii) reimbursed reasonable attendant care and auxiliary apparatus expenses for each member of the family who is a person with disabilities (4) Any reasonable child care expenses necessary to enable a member of the family to be employed or to further his or her education.	Eliminate the outlined mandatory deductions under this part. These deductions will be considered as Exceptional Expense Deductions
Additional (Exception) Expenses Deductions	24 CFR 5.611	A PHA may adopt additional deductions from annual income. HANH/ELM CITY COMMUNITIES had none	Families with verifiable deductions in excess of $2,000 will be allowed to request that these additional expenses be used in determining TTP. These verifiable deductions must exceed $2,000 and shall be the sum of (1) Mandatory Deductions determined in accordance with Section 5.611 (2), plus non-reimbursed utility expenses (except telephone and cable)
Total Tenant Payment	24 CFR 5.628	(a) Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (1) 30 percent of the family's monthly adjusted income; (2) 10 percent of the family's monthly income; (3) If the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (4) The minimum rent, as determined in accordance with Sec. 5.630.	The Total Tenant Payment (TTP) will be based upon (1) income-tiered TTP structure or the minimum TTP $50 for a family with income of up to $2,500 annually.
Hardship Provision for Exceptional Expenses	24 CFR 5.611(2))	A PHA may adopt additional deductions from annual income. The PHA must establish a written policy for such deductions.	A family may be exempt from minimum rent as follows; (i) When the family has lost eligibility for or is awaiting an eligibility determination for a Federal, State or local assistance program, including a family that includes a member who is a non-citizen (j) When the family would be evicted because it is unable to pay the minimum rent (k) When the income of the family has decreased because of changed circumstances, including loss of employment. Family whose shelter expenses, plus un-reimbursed medical, childcare and disability expenses exceed 40 percent of annual income or whose medical,

			childcare or disability expenses exceed $6,000 annually may seek a deduction in rent for exceptional expenses.
Minimum Rent	24 CFR 5.630	A family may be exempt from minimum rent of $50.00 as follows: (i) When the family has lost eligibility for or is awaiting an eligibility determination for a Federal, State, or local assistance program, including a family that includes a member who is a non-citizen; (ii) When the family would be evicted because it is unable to pay the minimum rent; (iii) When the income of the family has decreased because of changed circumstances; (iv) a death has occurred in the family's household; (v) any other circumstances to be considered by the PHA to be reason to waive the minimum rent requirement.	A family may only receive one hardship exemption from the minimum rent requirement during a twelve month period, unless a tenant is elderly, disabled, or is enrolled in HANH/ELM CITY COMMUNITIES's Family Self Sufficiency Program. The minimum rent requirement may be waived more than once during a twelve month period if at least one adult member of the household enrolls in the Family Self Sufficiency Program (the "FSS Program"). Elderly and disabled families are not required to enroll in the FSS Program.
Utility Allowances and Reimbursements	24 CFR 5.632(a) and (b)	Tenant Paid Utilities to be deducted from TTP to determine tenant rent.	No. Change. HANH/ELM CITY COMMUNITIES will pay all utilities except for electricity at Westville Manor, Fairmont Heights, McConaughy Terrace and all Scattered Site properties.
Annual Reexamination of Income and Family Composition	24 CFR 960 Part 257	Reexamination of income must occur every year, except every two years for elderly or disabled households.	Reexamination of income will occur every three years for Elderly and Disabled families and every two years for all other families. Annual update of changes in family composition for persons 18 years of age and older that are added or subtracted from the family. HANH/ELM CITY COMMUNITIES will do UIV and submit a 50058 annually. Additionally the Community Service requirement will be reviewed annually for all household members who are not disabled, working less than 30 hours per week or enrolled in classes under the FSS program.
Interim Reexamination	24 CFR 960 Part 257	A family may request an interim reexamination of family income because of any changes since the last examination. The owner must make the interim reexamination within a reasonable time after the family request. Currently, family must report any change in income that amounts to $200 or more a month.	A family can request only three interim re-examinations each 12 months with the exceptions of those conditions where they are required to report certain changes in family composition or certain changes in family income. A family, except for elderly or disabled or a family enrolled in FSS may make **one** request for an **interim** for a hardship exemption each 12 months.
Verification of Wages, Salaries and Assets below $5,000 and Assets below $50,000	24 CFR 5.659	The owner must obtain and document in the family's file third party verification of the following factors, or must document in the file why third party verification was not available :(1) Reported family annual income; (2) The value of assets; (3) Expenses related to deductions from annual income; and (4) Other factors that affect the determination of adjusted income.	Only a self-certification will be required for income up to and including $5,000.00. For income above $5,000.00 two most recent pay stubs or a W-2 or 1099 dated within 90 days of effective date of re-examination. HANH/ELM CITY COMMUNITIES will continue to conduct EIV or UIV. Asset exclusion is raised to $50,000.00 and only self certification will be required.

Determination of Tenant Total Payment (TTP)	24 CFR 5.628	a) Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (1) 30 percent of the family's monthly adjusted income; (2) 10 percent of the family's monthly income; (3) If the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (4) The minimum rent	TTP based upon income-tiered approach. No family shall be subject to an increase in TTP of greater than $25.00 a month during the second year that the family is subject to the Rent Simplification Policy. The increase in TTP during the third year the family is subject to Rent Simplification shall not exceed more than $50 during the third year; $75 a month during the fourth year; and $100 a month above the monthly TTP in the year immediately preceding the implementation of Rent Simplification. The families TTP after the fifth year shall be whatever amount is determined under Rent Simplification. • These limitations on rent increase shall only apply to increases in TTP that result from the imposition of Rent Simplification and not for increases that result from changes in family composition or changes in family income.