



*Making a Difference...*

# 2016 MOVING TO WORK ANNUAL PLAN

**SUBMITTED: July 15, 2015**  
**RESUBMITTED: November 17, 2015**  
**RESUBMITTED: December 3, 2015**



Contact HANH's Elm City Communities at  
P.O. Box 1912  
New Haven, CT 06509  
360 Orange Street  
New Haven, CT 06510  
(203) 498-8800 / TDD (203) 497-8434  
[www.newhavenhousing.org](http://www.newhavenhousing.org)



[www.facebook.com/ElmCityCommunities](http://www.facebook.com/ElmCityCommunities)



@ECCommunities

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Toni Harp

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Matthew Short, Commissioner  
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Edward Joyner, Ph.D., Commissioner

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

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# 1. Introduction

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

This MTW Annual Plan states HANH/ELM CITY COMMUNITIES's MTW goals and objectives, our current status toward achieving these goals and objectives, and our planned activities and objectives for FY 2016 (October 1, 2015 to September 30, 2016).

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

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

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

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

HANH/ELM CITY COMMUNITIES's MTW program and flexibility includes, and is limited to, the following HUD programs: HANH/ELM CITY COMMUNITIES'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/ELM CITY COMMUNITIES's MTW program does *not* include HUD grant funds committed to specific grant purposes, namely: HANH/ELM CITY COMMUNITIES's HOPE VI grants for Monterey Place, HANH/ELM CITY COMMUNITIES's HOPE VI grants for Quinnipiac Terrace/Riverview, any future HOPE VI Revitalization grants, Rental Assistance Demonstration Grants and other competitive grant funds awarded for specific purposes. These grant funded programs committed to specific purposes require HANH/ELM CITY COMMUNITIES to provide periodic reports to HUD. Although these grant funded programs are not included in HANH/ELM CITY COMMUNITIES's MTW program, HANH/ELM CITY COMMUNITIES has included information, where relevant, regarding these grant funded programs in this MTW Annual Plan for FY 2016.

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

HANH/ELM CITY COMMUNITIES's redevelopment plans require flexible use of Section 8 and 9 funds to develop affordable housing for families at or below 80% of AMI; therefore, HANH/ELM CITY COMMUNITIES has executed the Second Amendment to its Restated and Amended Moving to Work Agreement with HUD which clarifies such authority.

HANH/ELM CITY COMMUNITIES'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/ELM CITY COMMUNITIES engaged in a planning process in order to update and reinvigorate our agency's plans. As a result of this planning process, HANH/ELM CITY COMMUNITIES developed a Three-Year Strategic Plan for FYs 2007-2009. During 2009-2010, HANH/ELM CITY COMMUNITIES again engaged in a planning process to re-evaluate and provide continuity to the original Three-Year Strategic plan. The MTW planning process provides the agency with a mechanism for updating its long-term strategy on an annual basis by enabling HANH/ELM CITY COMMUNITIES to take stock of the progress of its on-going activities and by addressing new concerns by establishing new goals and objectives for FY 2016. The 2016 Annual MTW Plan sets forth a long-term vision for the agency for the next 10 years. The long-term vision for the agency centers on streamlining its processes to become more effective and innovative. The long-term vision also calls for the agency to enhance its efforts to promote the economic self-sufficiency of its residents and to increase the housing choices for them and its program participants, as well. The agency recognizes that its long-term viability rest with the economic well being of its residents and the variety of housing choices that it is able to provide them. The long-term vision also calls for the agency to develop relationships with local non-profit organizations to enhance the delivery of its programs, as well as looking to develop commercial ventures that will both expand housing choices in addition to making the agency more efficient.

HANH/ELM CITY COMMUNITIES's 2016 MTW Annual Plan was made available for public review on April 26, 2015 and a public hearing was held on May 28, 2015. On June 16, 2015, the Board of Commissioners passed Resolution #06-62/15-R approving the 2016 MTW Annual Plan.

## A. Short Term Strategic Plan

MTW Goal	Description of Short Term Strategic Plan
<p>1. Reduce cost and achieve greater cost effectiveness in Federal expenditure.</p>	<p>Expansion of rent simplification model</p> <p>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</p> <p>Provision of services to areas PHAs</p> <p>Energy efficiency investments through ESCO</p> <p>Complete RAD conversion opportunities within the portfolio</p>
<p>2. Give incentives to families with children whose heads of household are either working, seeking work or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self sufficient</p>	<p>Full implementation of MTW CARES initiative to move families toward self sufficiency with evaluation of model and documentation of impact findings</p> <p>Support for resident entrepreneurial endeavors</p> <p>Offering cost effective training programs and increase in number of residents participating in such.</p> <p>Create linkages with local school system to support children’s academic progress and attainment.</p>
<p>3. Increase housing choices for low income families</p>	<p>Complete revitalization of West Rock community through Rockview and Ribicoff Cottages redevelopment</p> <p>Market homeownership opportunities in West Rock</p> <p>Partner with non-PHA entities to increase the supply of affordable housing</p> <p>Complete planning and redevelopment of Farnam Court/Fair Haven and Westville Manor.</p> <p>Continued modernization and capital investment in current portfolio</p> <p>Continue progress toward meeting goal of 10% UFAS compliant units agency wide</p>

## B. Long-Term MTW Planning

MTW Goal	Description of Long Term (10 Years) Strategic Plan
<p>1. Reduce cost and achieve greater cost effectiveness in Federal expenditure.</p>	<p>Streamline administrative functions in LIPH and HCV program operations through transition to paperless systems and electronic files.</p> <p>Continued process of streamlined administration of HCV program through introduction of HQS self certification program for model landlords.</p> <p>Exploration of regional provision of housing authority services on a fee for service basis.</p> <p>Disposition and/or conversion of remaining non-performing assets.</p> <p>Continued investment in technological advances to reduce administrative burden and create model wired and wireless communities.</p> <p>Continued investment in energy efficiency initiatives to improve the efficiency of HANH's operations.</p>
<p>2. Give incentives to families with children whose heads of household are either working, seeking work or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self sufficient</p>	<p>Develop transitional models of assistance that move families toward self sufficiency and away from subsidized housing in progressive steps.</p> <p>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.</p> <p>Expansion of cost effective training programs and increase in number of residents participating in such.</p> <p>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.</p> <p>Expand linkages with local school system to support children's academic progress and attainment.</p>
<p>3. Increase housing choices for low income families</p>	<p>Complete final revitalization effort of HANH's LIPH housing stock through revitalization/redevelopment or disposition of remaining poor performing assets</p> <p>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.</p> <p>Development of home ownership options (West Rock and Quinnipiac Terrace redevelopments)</p> <p>Promotion of housing opportunities for income eligible local workforce through LIPH and HCV programs.</p> <p>Promote development opportunities in non-HANH developments through use of housing choice vouchers to create mixed income, mixed finance viable housing opportunities for participants.</p>

# Overview of Objectives and Progress of Goals

Listed below HANH/ELM CITY COMMUNITIES's overview of the progress of initiatives for FY2016. Non-numbered initiatives require funding flexibility only.

## 1. To reduce Costs and Achieve Greater Cost Effectiveness in Federal Expenditures

### Maximize the Impact of Federal Subsidy in Redevelopment Effort

#### MTW ONGOING INITIATIVES

- 1.4 Income Eligibility for HCV PBV units in Mixed Finance Developments - *FY2012*
- 1.10 Income Skewing for PBVs in Mixed Finance Developments - *FY2012*

#### CLOSED OUT

- 1.13 Creation of a commercial business venture at 122 Wilmot Road – *FY2008*

#### NON-MTW ONGOING ACTIVITIES

- Use of Frozen/Fixed Utility Consumption
- Regional provision of affordable housing services

### Dispose of Non-Performing Assets

#### MTW ONGOING INITIATIVES

- Dispose of Sheffield Manor

#### COMPLETED

- Dispose of 620 Grand Ave (warehouse) sold February 17, 2012

### Reduce Administrative Burden on Residents/Participants/Landlords and Staff

#### MTW ONGOING INITIATIVES

- 3.1 Rent Simplification - *FY2008*
- 3.2 UPCS Inspections - *FY2008*
- 3.5 HCV Rent Simplification/Cost Stabilization Measures

#### COMPLETED

- 3.4 Mandatory Direct Deposit - *FY2009*

### Ensure Best Use of Limited Federal Resources

#### MTW ONGOING INITIATIVES

- Local Asset Management Program
- Waive 60 Day Notice Requirement on New Utility Allowance Schedule in Newly Developed Mixed Finance Developments
- Full Fungibility of Funds for Development Purposes

#### NON-MTW ONGOING INITIATIVES

- Research and Evaluation
- Energy Performance Contract

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## 2. Increase Family Self Sufficiency

### Nurture Youth Residents and Equip them to Grow to be Self Sufficient Adults

#### MTW ONGOING INITIATIVE

- HANH Believes
- 2.4 Teacher in Residence

## **Assist Work Eligible Adults Build Employment Skills**

### **MTW ONGOING INITIATIVES**

- 2.1 Family Self Sufficiency Program - FY2004
- 2.2 Promotion of Self Sufficiency/ Earned/Income Exclusion - *FY2008*
- 2.3 CARES Initiative - *FY2012*
- Section 3 Employment and Training
- Specialized Training Initiative

## **Support the Maintenance of Self Sufficiency**

### **MTW ONGOING INITIATIVES**

- Business Development Support Initiative
- SEHOP Capital Improvement Program

## **Support the Most Vulnerable Residents' Ability to Maintain Housing**

### **MTW ONGOING INITIATIVES**

- Resident Services for Families
- Resident Services for Elderly/Disabled Families
- Supportive Services contracts in Elderly/Disabled Developments
- Community re-entry program

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## **3. Increase Housing Choice**

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

#### **COMPLETED**

- Development of Mixed Use Development at 122 Wilmot Road – *FY2009*
- Dispose of former Rockview Development for development of NEW Rockview - *FY2014*
- Dispose of Valentina Macri for creation of new supportive housing units for formerly homeless - *FY2014*
- Dispose of Ribicoff Cottages and Extension for redevelopment of Ribicoff – *FY2015*

\*Major redevelopment efforts:

- a. William T. Rowe
- b. 122 Wilmot Road
- c. Brookside 1 and II
- d. Rockview Phase I

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

#### **MTW ONGOING INITIATIVES**

- 1.2 Local Total Development Cost (TDC) limits initiative – *FY2009*
- 1.8 Farnam Courts Transformation Plan - *FY2011*
- 1.9 increase the Allowed Percentage of Project Based Voucher "PBV" Units from 75 Percent to 100 Percent in a Mixed Finance Development – *FY2012*
- 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%
- 1.12 Development of Replacement Public Housing Units with MTW Black Grant Funds - *FY2013*
- 1.15 Development of RAD Development for Rockview Phase II Rental

\*Dispose of Valley South Genessee Park at McConaughy Terrace

\*Dispose of Farnam Court for redevelopment of Farnam

\*Use of Legacy Attachment to Increase percent of Project Based Vouchers "PBV" in any one development from 75% to 100%

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

#### **CLOSED OUT INITIATIVES**

- 1.14 Redevelopment of Edgewood Avenue k/n/a Dwight Gardens

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

### **NON-MTW ONGOING ACTIVITIES**

- Capital Fund Financing Program

## **Create Homeownership Opportunities**

### **MTW ONGOING ACTIVITIES**

- Dispose of 7 Shelton St to nonprofit housing developer for creation of homeownership units.

## **Create Homeownership Opportunities**

### **NON-MTW ONGOING ACTIVITIES**

- Section Eight Home Ownership Program. (SEHOP)

## **Preserve Affordable Housing through Modernization Efforts**

### **NON-MTW CAPITAL FUND ONGOING ACTIVITIES**

- Vacancy reduction agency wide; UFAS compliance agency wide; roof/siding replacement and interior improvements at Waverly; McQueeney kitchens, baths and interiors; environmental remediation work; Motley HVAC riser upgrade; McConaughy interiors; Scattered sites capital repairs; Fairmont elevators; Wolfe elevators; McQueeney elevators and windows; Farnum fire stairs; architectural, engineering and environmental consulting services.

## **Preserve Affordable Housing through Modernization Efforts**

### **NON-MTW ONGOING ACTIVITIES**

- Rental Assistance Demonstration (RAD) Projects: Westville, Essex, Crawford, Farnam, Motley, Chamberlain (including Fulton Park), Harvey, McConaughy, Newhall, Prescott Bush, Wolfe, Eastview.
- Demolition of 5 units among the scattered site properties
- LEAP building (Jefferson St.) parapet and roof repair/replacement

### **COMPLETED**

- Wilmot Crossing

## **Prevent Homelessness**

### **MTW ONGOING ACTIVITIES**

- 1.5 HCV Preference and Set Aside for Victims of Foreclosure – *FY2009*
- 1.6 Deconcentration of Poverty Promote Expanded Housing Opportunities for HCV and PBV Program – *FY2008*
- 1.7 Tenant-Based Vouchers for Supportive Housing for the Homeless – *FY2011*

## **Prevent Homelessness**

### **NON-MTW ONGOING ACTIVITIES**

- Homeless family Voucher Set-aside
- Project Based Voucher for Supportive Housing
- Supportive Housing Initiative with CT Department of Mental Health and Addiction Services

## **Assist Low Income Families to Access Housing in Areas of Opportunity**

### **MTW ONGOING ACTIVITIES**

- Deconcentration of Poverty Initiative

## II. General Housing Authority Operating Information

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

Attachment B

### (II) General Housing Authority Operating Information

#### Annual MTW Plan

#### II.1.Plan.HousingStock

#### A. MTW Plan: Housing Stock Information

#### Planned New Public Housing Units to be Added During the Fiscal Year

AMP Name and Number	Bedroom Size							Total Units	Population Type *	# of UFAS Units	
										Fully Accessible	Adaptable
	0	1	2	3	4	5	6+				
PIC Dev. # /AMP	0	0	0	0	0	0	0	0	n/a	n/a	n/a
PIC Dev. Name											
PIC Dev. # /AMP	0	0	0	0	0	0	0	0	n/a	n/a	n/a
PIC Dev. Name											
PIC Dev. # /AMP	0	0	0	0	0	0	0	0	n/a	n/a	n/a
PIC Dev. Name											
PIC Dev. # /AMP	0	0	0	0	0	0	0	0	n/a	n/a	n/a
PIC Dev. Name											
<b>Total Public Housing Units to be Added</b>								<b>0</b>			

\* Select Population Type from: Elderly, Disabled, General, Elderly/Disabled, Other  
 If Other, please describe: n/a

#### Planned Public Housing Units to be Removed During the Fiscal Year

PIC Dev. # / AMP and PIC Dev. Name	Number of Units to be Removed	Explanation for Removal
CT004000014 Farnam Courts	240	Conversion to RAD
CT004000020 Essex Townhouses	35	Conversion to RAD
CT004000009 Constance Baker Motley	45	Conversion to RAD
Chamberlain Courts	7	Conversion to RAD
Fulton Park	12	Conversion to RAD
CT004000010 Crawford Manor	109	Conversion to RAD
CT004000006 Katherine Harvey Terrace	16	Conversion to RAD
CT004000004 McConaughy Terrace	201	Conversion to RAD

CT004000004 Newhall Gardens	26	Conversion to RAD
CT004000008 Prescott Bush	56	Conversion to RAD
CT004000013 Robert T. Wolfe	93	Conversion to RAD
<b>Total Number of Units to be Removed</b>	<b>840</b>	

**New Housing Choice Vouchers to be Project-Based During the Fiscal Year**

Property Name	Anticipated Number of New Vouchers to be Project-Based *	Description of Project
Farnam Court	240	Farnam Courts is a Family development offering 240 homes ranging between 1 to 3 bedroom townhouses, for individuals and families with children. Grounds include lots of green space with a large park on Grand Avenue facing the entrance, a playground for smaller children and a basketball court. Family-oriented activities such as the summer LEAP program, after-school program, cookouts and basketball tournaments provide many opportunities for the children living in Farnam Courts and their families. Lighthouse Park, New Haven Green and Yale museums are easily accessible from Farnam Courts.
Farnam/Fair Haven	57	The Farnam redevelopment is a part of the Housing Authority of the City of New Haven's (HANH) comprehensive Farnam Transformation Plan that calls for the development of 228 units of housing (on and off-site), retail and commercial space. The Plan also provides for new roads, streets and utilities and a comprehensive economic self-sufficiency program. The Farnam Phase I project involves the demolition of 148 distressed public housing units to be replaced with the new construction of 94 units of mixed-income housing in two new mid-rise buildings, 7,400 square feet of retail commercial space on the front of the site. As a part of the replacement units for Farnam Phase I, the Authority will be completing its 9% LIHTC Fair Haven development which consists of 57 rental housing units at its Eastview Terrace and Chatham Street off-site locations.
Crawford Manor	109	Conversion of ACC units to RAD. George Crawford Manor is a Senior/Disabled high-rise development, providing 104 homes for residents 62 years and older, residents with disabilities and senior disabled residents. These are balconied studio, 1- and 2-bedroom units that include a bathroom and living and dining areas. Some are compliant with the Americans with Disabilities Act (ADA) and Uniform Federal Accessibilities Standards (UFAS). Elevator service and off-street parking are available. Parks, restaurants and museums are accessible.
Essex Townhomes	35	Essex Townhouses is a Family development, providing homes for 35 individuals and families with children. These 2- and 3-bedroom townhouse-style homes offer a bathroom, living room and eat-in kitchen. There is a playground in the rear of the development that provides a place for children get fresh air and exercise. Assigned parking ensures a place for your vehicle. Access from Route 80 to area stores, restaurants, motels and banks makes Essex Townhouses a convenient location for residents.  Essex Townhomes was purchased in 1971 as a turnkey projects since 2002 there have been numerous improvement projects that have been undertaken including; residing & reroofing, replacements windows, sliding glass doors, kitchen replacements, site fencing, draining and sanitary and storm sewer repairs.

Constance Baker Motley	45	Constance Baker Motley is a Senior Only high-rise development, providing 45 homes for residents 62 years and older, residents with disabilities and elderly disabled residents. These are studio and 1-bedroom units that include a bathroom and living and dining areas, and some are compliant with the Americans with Disabilities Act (ADA) and Uniform Federal Accessibility Standards (UFAS). Elevator service and off-street parking are available. ECC plans to convert CB Motley to RAD.				
Chamberlain Courts	7	Chamberlain Court is a condominium development in which the Housing Authority owns seven units (See Photo 1). The development comprises the grounds and buildings that follow the topography of a sloping site in a residential environment, approximately one mile east of the Quinnipiac River and New Haven Harbor and a half mile north of Interstate 95, in New Haven, Connecticut. The development includes seven, three story residential buildings, of wood frame construction with pitched roofing systems and finished with vinyl siding. All units consist of three floors with a single car garage included on the first floor.				
Fulton Park	12	210-232 Quinnipiac Avenue was built in 1987 is a family development comprised of 3-story townhouse units; wood-framed construction, wood siding, pitched roofs				
Katherine Harvey Terrace	16	Katherine Harvey Terrace is a Seniors-Only garden development, providing 17 1-level patioed homes for residents 62 years and older, residents with disabilities and senior disabled residents. These 1-bedroom units include a bathroom and living and dining areas, and some are compliant with the Americans with Disabilities Act (ADA) and Uniform Federal Accessibility Standards (UFAS). ECC plans to convert Katherine Harvey Terrace to RAD.				
McCounaughy Terrace	201	McCounaughy Terrace is a Family development in the West Rock neighborhood, providing 201 homes for individuals and families with children. Recently renovated, these garden-style walkup and 2-story homes offer spacious 2-, 3-, 4- and 5-bedrooms (ideal for large families), bathroom, living room and eat-in kitchen, front and back entrances with a small patio and a common green area throughout. An on-site, city-owned playground with water sprinkler offers summer fun for children. ECC plans to convert McCounaughy Terrace to RAD.				
New Hall Gardens	26	Newhall Gardens is a Senior Only garden development, providing 26 one-floor homes for residents 62 years and older, residents with disabilities and senior disabled residents. These are 1-bedroom units that include a bathroom and living and dining areas, and some are compliant with the Americans with Disabilities Act (ADA) and Uniform Federal Accessibility Standards (UFAS). ECC plans to convert Newhall Gardens to RAD.				
Prescott Bush Mall	56	Prescott Bush Mall is a Senior Only development, providing 56 homes for residents 62 years and older, residents with disabilities and elderly disabled residents. These balconied studio, 1- and 2-bedroom units include a bathroom and living and dining areas, and some are compliant with the Americans with Disabilities Act (ADA) and Uniform Federal Accessibility Standards (UFAS). Elevator service and off-street parking are available. ECC plans to convert Prescott Bush Mall to RAD.				
Robert T. Wolfe	93	Robert T. Wolfe is a Senior/Disabled high-rise development, providing 93 homes for residents 62 years and older, residents with disabilities and elderly disabled residents. These studio, 1- and 2-bedroom units include a bathroom and living and dining areas, and some are compliant with the Americans with Disabilities Act (ADA) and Uniform Federal Accessibility Standards (UFAS). Elevator service and off-street parking are available. ECC plans to convert Robert T. Wolfe to RAD.				
<b>Anticipated Total New Vouchers to be Project-Based</b>	<b>897</b>	<table border="1"> <tbody> <tr> <td>Anticipated Total Number of Project-Based Vouchers Committed at the End of the Fiscal Year</td> <td>1414</td> </tr> <tr> <td>Anticipated Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year</td> <td>1414</td> </tr> </tbody> </table>	Anticipated Total Number of Project-Based Vouchers Committed at the End of the Fiscal Year	1414	Anticipated Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year	1414
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Anticipated Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year	1414					

\*New refers to tenant-based vouchers that are being project-based for the first time. The count should only include agreements in which a HAP agreement will be in place by the end of the year.

**Other Changes to the Housing Stock Anticipated During the Fiscal Year**

n/a

n/a

n/a

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 All Planned Capital Fund Expenditures During the Plan Year**

HANH is continuing with agency wide UFAS compliance and agency wide vacancy reduction efforts; HANH intends to replace roofing/siding and perform interior repairs at Waverly Townhouses; at McQueeney HANH intends to replace kitchens, baths and perform interior upgrades; upgrade McQueeney elevators, and replace McQueeney windows; continue with agency wide environmental remediation work; LEAP building roofing work; continue HVAC riser upgrades at C.B. Motley; engineering related to McConaughy sewer replacement and interior building repairs; Fairmont and Wolfe elevator upgrades; architectural engineering and environmental consulting services; energy performance contract; Brookside 1 Rental CFFP Bond repayment; agency wide needs assessments; Farnam exterior fire stairs; and scattered sites capital repairs. Table included on pg 69

**II.2.Plan.Leasing**

**B. MTW Plan: Leasing Information**

**Planned Number of Households Served at the End of the Fiscal Year**

MTW Households to be Served Through:	Planned Number of Households to be Served*	Planned Number of Unit Months Occupied/Leased***
Federal MTW Public Housing Units to be Leased	1,285	15,420
Federal MTW Voucher (HCV) Units to be Utilized	3,976	47,712
Number of Units to be Occupied/Leased through Local, Non-Traditional, MTW Funded, Property-Based Assistance Programs **	0	0
Number of Units to be Occupied/Leased through Local, Non-Traditional, MTW Funded, Tenant-Based Assistance Programs **	0	0
<b>Total Households Projected to be Served</b>	<b>5261</b>	<b>63132</b>

\* Calculated by dividing the planned 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 to be served, the PHA should estimate the number of households to be served.

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

**Reporting Compliance with Statutory MTW Requirements**

The public housing waiting list is open for elderly only (applicants may select up to three developments); elderly disabled (applicants may select up to three developments); family-only for families that require a four or five bedroom unit (applicants may select up to three developments) and accessible housing.

n/a

n/a

If Local, Non-Traditional Housing Program, please describe:

n/a

n/a

n/a

If Other Wait List Type, please describe:

n/a

n/a

n/a

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.

n/a

II.3.Plan.WaitList

C. MTW Plan: Wait List Information

Wait List Information Projected for the Beginning of the Fiscal Year

Housing Program(s) *	Wait List Type**	Number of Households on Wait List	Wait List Open, Partially Open or Closed***	Are There Plans to Open the Wait List During the Fiscal Year
MTW Public Housing	Site Based	7,155	Partially Opened	Yes
MTW Housing Choice Voucher	Program Specific	2,694	Closed	Yes
N/A	N/A	N/A	N/A	N/A

Rows for additional waiting lists may 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).

The public housing waiting list is open for elderly only (applicants may select up to three developments); elderly disabled (applicants may select up to three developments); family-only for families that require a four or five bedroom unit (applicants may select up to three developments) and accessible housing.

n/a

n/a

If Local, Non-Traditional Housing Program, please describe:

n/a

n/a

## Who We Serve

HANH/Elm City Communities serves 5,537 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 42% of LIPH and 30% of HCV families in this income category. 17% percent of LIPH families and 21% of HCV families earn wages. Less than 2% 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.

During the 2001 baseline year, HANH/Elm City Communities served a total of 4,827. Current numbers reflect an increase of approximately 710 families or 13% indicating that MTW status has allowed HANH to increase the number of families being served.

HANH Population Demographics					
	LIPH		HCV		Total
Total households	2,176	39%	3,361	61%	5,537
Total individuals	4,440	34%	8,430	66%	12,870
Average income	\$ 13,092		\$ 15,902		
Average TTP	\$ 298		\$ 364		
Households with Extremely low income	1,804	83%	2,501	74%	
Households with Very low income	256	12%	594	18%	
Households with Low income	55	3%	210	6%	
Households Above low income	61	3%	56	2%	
Households with No income	74	3%	174	5%	
Households with Employment Income	664	31%	1,285	38%	
Households with Public Assistance	581	27%	332	10%	
Households with Social Security	1,226	56%	1,396	42%	
Households with Other Income	443	20%	364	11%	
Minority households	1,487	68%	1,953	58%	
Non-minority	689	32%	1,408	42%	
Elderly families	597	27%	687	20%	
Disabled families	1,430	66%	1,263	38%	
1 member	1,051	48%	1,100	33%	
2 members	498	23%	761	23%	
3 members	326	15%	723	22%	
4 members	169	8%	438	13%	
5 members	78	4%	211	6%	
6 members	37	2%	92	3%	
7 members	12	1%	22	1%	
8+ members	5	0%	14	0%	

## Low Income Public Housing

HANH plans to complete FY2016 with a MTW public housing stock of 1,285 public housing units. This includes 1,179 site-based family units; 99 Elderly, 435 Elderly/Disabled units, 830 Family, 28 Family/Elderly and 171 Scattered Site units. This reflects a reduction of 1,680 units since the beginning of HANH's MTW status, when HANH's housing stock included 2,965 total units, however, as noted previously significantly more families are being assisted through HANH's affordable housing programs.

Of these units, 123 are available for occupancy (difference represents 38 approved vacancies for units off line for modernization, officers in residence, offices and TRC offices/food banks.)

During FY 2016, the following portfolio changes are expected.

Development Name	Development Type	Units beginning FY2016	Planned Units to Add	Planned Units to Remove	Planned Units at end of FY2016
Val Macri	Elderly/Disabled	17			17
Fairmont Heights	Elderly /Disabled	98			98
Crawford Manor	Elderly /Disabled	109		109	0
McQueeney Towers	Elderly /Disabled	150			150
Winslow Celentano	Elderly /Disabled	65			65
RT Wolfe	Elderly /Disabled	93		93	0
Ruoppolo Manor	Elderly /Disabled	105			105
Valley Townhouses	Family	40		0	40
Farnam Courts	Family	240		240	0
Westville Manor	Family	151			151
McConaughy Terrace	Family	201		201	0
Waverly Townhouses	Family	52			52
Quinnipiac Terrace I	Family	58			58
Quinnipiac Terrace 2	Family	56			56
Quinnipiac Terrace 3	Family	17			17
Essex Townhouses	Family	35		35	0
Monterey 1	Family	42			42
Monterey 2	Family	7			7
Monterey 3	Family	45			45
Monterey 4	Family	42			42
Monterey 5	Family	17			17
Monterey Phase 2R	Family/Elderly	28			28
New Rowe	Family	46			46
Brookside Phase 1	Family	50			50
Brookside Phase II	Family	50			50
Edith Johnson Towers	Elderly	95			95
William Griffin	Elderly	4			4
Rockview Phase 1 Rental	Family	30			30
Scattered Site - Multi Family	Scattered Sites	115		19	96
Scattered Site - West	Scattered Sites	23			23

<b>Development Name</b>	<b>Development Type</b>	<b>Units beginning FY2016</b>	<b>Planned Units to Add</b>	<b>Planned Units to Remove</b>	<b>Planned Units at end of FY2016</b>
Scattered Site - East	Scattered Sites	52			52
Katherine Harvey	Elderly	16		16	0
Newhall Gardens	Elderly	26		26	0
Prescott Bush	Elderly	56		56	0
CB Motley	Elderly	45		45	0
<b>Total</b>		<b>2,276</b>	<b>0</b>	<b>840</b>	<b>1,436</b>
<b>Offline</b>					
Police Officer		11			
Self Sufficiency		6			
Resident Services Activities		18			
Administrative Uses		3			
Vacant		85			
<b>Total</b>		<b>123</b>			

## Housing Choice Voucher Program

HANH/ELM CITY COMMUNITIES has budget authority for 3,976 Housing Choice Vouchers. HANH/ELM CITY COMMUNITIES will lease 3,346 Housing Choice Vouchers. HANH/ELM CITY COMMUNITIES also administers 80 Single Room Occupancy (SRO) vouchers and 85 Veterans Administration Supportive Housing (VASH) vouchers for a total utilization of 4,141 vouchers.

Housing Program & Type	Description	Units beginning FY2016	Planned Units to be Removed	Planned Units to be Added	Planned Units at end of FY2016
<b>Project Based Vouchers</b>					
PBV Fellowship I	100% Supportive Housing	18	0	0	18
PBV Fellowship II	100% Supportive Housing	5	0	0	5
PBV Also Cornerstone (Continuum of Care)	100% Supportive Housing	4	0	0	4
PBV Norton Court (Continuum of Care)	100% Supportive Housing	12	0	0	12
PBV QT Phase 1	81 units – 28% of units PBV	23	0	0	23
PBV QT Phase 2	79 units – 29% of units PBV	23	0	0	23
PBV QT Phase 3	33 rental units 48% are PBV	16	0	0	16
Park Ridge	100% Elderly/disabled housing	60	0	0	60
Eastview Planned Units	102 units – 48% of units are PBV	49	0	53	102
Frank Nasti Existing	Scattered Site PBV- Families	11	0	0	11
CUHO Existing	Scattered site PBV units for families	24	0	0	24
CUHO New Construction	Affordable 8 unit rental housing development- Families	8	0	0	8
West Village	52 Howe St. – Single Room Occupancy Units	15	0	0	15
Shartenburg	20 PBV units for the City initiative 360 State-Families	20	0	0	20
Brookside Phase I Rental	100 affordable rental mixed - 50% of units are PBV	50	0	0	50
Brookside Phase 2 Rental	51 PBV for affordable housing for families in 1 to 4 bedroom units	51	0	0	51
Rockview Phase I Rental	47 units for affordable housing, 61% of units are PBV	47	0	0	47
Mutual Housing Assoc. (Neighborhood Works/New Horizon) New Construction	8 rehabilitation / 12 new construction affordable housing - 45.5% of units are PBV	20	0	0	20
Casa Otonal		12	0	0	12
New Rowe Building	104 affordable mixed use, mixed finance development 31% of units are PBV	32	0	0	32
122 Wilmot Road	13 PBV for affordable housing for elderly in 1 and 2 bedroom accessible units	13	0	0	13
Cedar Hill	Supportive Housing	4	0	0	4

Housing Program & Type	Description	Units beginning FY2016	Planned Units to be Removed	Planned Units to be Added	Planned Units at end of FY2016
RAD 122 Wilmot Road	34 PBV	0	0	34	34
RAD Ribicoff – 9%	44 units of RAD converted ACC units – 80% PBV	26	0	0	26
<b>PBV Subtotal</b>		<b>543</b>	<b>0</b>	<b>87</b>	<b>630</b>
Tenant Based Vouchers		2,938	0	100	3,038
Tenant Based DHMAS Supportive – Housing First	Supportive Housing	10	0	0	10
DMHAS Mental Health Transformation Grant – FUSE		10	0	0	10
Family Options – Homeless		15	0	0	15
Permanent Enrichment		10	0	0	10
Foreclosure Protection		35	0	15	50
William T. Rowe relocation vouchers		9	0	0	9
West Rock Homeownership Phase 1	19 new homeownership units	19	0	0	19
Family Unification Supportive Housing	DCF Family	12	0	8	20
Homelessness/Imminent Danger of Homelessness	(Formerly Foreclosure PBV)	0	0	15	15
Supportive Housing/Homelessness Prevention I	Supportive Housing/Homelessness Prevention	10	0	20	30
Working Young Adults/ Working Families Housing Choice Vouchers		0	0	100	100
Project Longevity	20 vouchers for city initiative targeting homeless former offenders	20	0	0	20
<b>TENANT BASED VOUCHERS SUBTOTAL</b>		<b>3,068</b>	<b>0</b>	<b>258</b>	<b>3,346</b>
<b>PBV + TBV MTW SUBTOTAL</b>		<b>3,611</b>	<b>0</b>	<b>345</b>	<b>3,976</b>
<b>Non-MTW – VASH</b>		<b>85</b>	<b>0</b>	<b>0</b>	<b>85</b>
<b>Non-MTW – SRO</b>		<b>80</b>	<b>0</b>	<b>0</b>	<b>80</b>

Housing Program & Type	Description	Units beginning FY2016	Planned Units to be Removed	Planned Units to be Added	Planned Units at end of FY2016
RAD Crawford	109 ACC units converted to RAD – less de minimis	0	0	104	104
RAD Farnam	240 ACC units converted to RAD less de minimis	0	0	228	228
RAD CB Motley	45 ACC units converted to RAD less de minimis	0	0	43	43
RAD Chamberlain Court	7 ACC units converted to RAD less de minimis	0	0	6	6
RAD Fulton Park	12 ACC units converted to RAD less de minimis	0	0	11	11
RAD Essex	35 ACC units converted to RAD less de minimis	0	0	33	33
RAD Katharine Harvey	17 ACC units converted to RAD less de minimis	0	0	16	16
RAD McConaughy Terrace	201 ACC units converted to RAD less de minimis	0	0	191	191
RAD Newhall Gardens	26 ACC units converted to RAD less de minimis	0	0	25	25

<b>Housing Program &amp; Type</b>	<b>Description</b>	<b>Units beginning FY2016</b>	<b>Planned Units to be Removed</b>	<b>Planned Units to be Added</b>	<b>Planned Units at end of FY2016</b>
RAD Prescott Bush	56 ACC units converted to RAD less de minimis	0	0	53	53
RAD Robert T. Wolfe	93 ACC units converted to RAD less de minimis	0	0	88	88
<b>RAD Developments</b>		<b>0</b>	<b>0</b>	<b>798</b>	<b>798</b>

### Section III: Proposed MTW Activities

All proposed activities that are granted approval by HUD are reported on in Section IV as "Approved Activities".

**Below is a summary of proposed changes for the FY2016 MTW Plan.**

<b>Increase Housing Choice</b>	<b><i>Summary Description</i></b>
No new initiatives	
<b>Increase Family Self-Sufficiency</b>	
<b>Cost Effective and Efficient Service Delivery</b>	
No new initiatives	

## Section IV: Approved MTW Activities

### Redevelopment Activities

#### Development of Housing Choice Voucher Units with MTW Block Grant Funds

**Note: This Activity was proposed in Amendment 1 to HANH's FY2014 MTW Plan. The following write-up was revised to accommodate HUD's latest Form 50900, Attachment B format. In addition, minor changes were made to the metrics section to reflect HANH's ongoing data analysis efforts.**

##### A. Description

HANH has been very active in redeveloping and repositioning its aging housing stock by leveraging private investment through the mixed-finance/RAD process and replacing demolished units (or, in some instances, rehabilitating units) with a variety of affordable housing types, including public housing units, project-based voucher units and other "Affordable Units" (defined as units below 80% of Area Median Incomes). HANH has also been at the forefront of using its MTW authority creatively to complement and enhance these efforts. During FY 2010, HANH obtained a broader use of funds approval authorizing the use of funds under section (8)(o) for any purposes permissible under Section 9(e)(1).

For FY 2016, HANH proposes to accurately account for the full number of units in its replacement housing portfolio by ensuring that all public housing units, housing choice voucher units and other Affordable Units constructed in mixed finance developments with MTW block grant funds are reflected in the housing choice voucher units count, since the majority of the construction funds utilized to construct those units are derived from housing choice voucher funds. HANH intends to pursue this initiative at those sites reflected below.

Essentially, HANH has used and will continue to use MTW block grant funds to assist with the development of buildings and developments that include public housing units, housing choice voucher units and other Affordable Units through a mixed-finance process. The funds which HANH uses for this development activity are drawn primarily from Section 8 Housing Choice Voucher component of the MTW block grant. Thus, it is important to accurately reflect HANH's utilization of those funds. The units will be operated either as public housing units, housing choice voucher units or other Affordable Units in accordance with their respective financing requirements. However, for the purpose of appropriately reflecting the MTW block grant funds utilized to support these efforts, HANH will revise required forms to provide for this mix of applicable rules and seek any necessary HUD approvals. This money that was used to fund these ACC units came from the excess Section 8 reserve generated from our existing MTW voucher pool, therefore, these units should not be added to the denominator for the purposes of calculating the lease-up rate. Additionally, all future RAD developments as detailed herein will utilize the broader use of funds.

To date, the applicable transactions include the following:

Development Name	# PH Units	# PBV	Total # of Assisted Units	# of Market Rate Units
Eastview Terrace	53	49	102	0
Quinnipiac Terrace I	23	58	81	0
Quinnipiac Terrace 2	23	56	79	0
Quinnipiac Terrace 3	17	16	33	0
Brookside Phase I	50	50	100	0
Brookside Phase II	50	51	101	0
Rockview Phase I	30	44	77	0
William T. Rowe	46	32	78	26
Wilmont Crossing	34	13	47	0
Monterey Place 1	42		42	
Monterey Place 2	7		7	
Monterey Place 3	45		45	

<b>Development Name</b>	<b># PH Units</b>	<b># PBV</b>	<b>Total # of Assisted Units</b>	<b># of Market Rate Units</b>
Monterey 4	42		42	
Monterey 5	17		17	
Monterey Phase 2R	28		28	
William Griffin	4		4	
Edith Johnson Towers	95		95	
Ribicoff Cottages	120		95	
Farnam Courts	240	95	95	
<b>TOTAL</b>	<b>966</b>	<b>464</b>	<b>1,168</b>	<b>26</b>

**B. MTW Statutory Objective**

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 housing units and serve low-income families. It will also give low-income families new affordable housing choices.

**C. Anticipated Impact**

This initiative will enable HANH to accurately reflect the units that are being assisted through its MTW Block Grant.

**D. Anticipated Schedule for Achieving Stated Objectives**

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

**E-H. Data Collection on Metrics and Protocols**

For each closing under this initiative, HANH will document the ways in which the use of MTW Block funds for construction purposes has assisted in the development of a wide range of units types.

**I. Data Sources**

Unit breakdown data will come from project development pro forma.

***Need/Justification for MTW Flexibility***

**J. Authorization Cited**

Attachment C: Section B.1 (Single Fund Budget with Full Flexibility); Section C.2 (Local Preferences and Admission and Continued Occupancy Policies and Procedures); Section C.7 (Simplification of the Development and Redevelopment Process for Public Housing); Section D.1 (Section 8 Operational Policies and Procedures); Section D.7 (Establishment of an Agency MTW Section 8 Project-Based Program); Broader Use of Funds Authority

**K. Explain why the cited authorization from Attachment C or D is needed to engage in this activity;**

Attachment C and D of the MTW Agreement provide for fungibility and allocating above 25% of PBVs per project.

***Additional Information for Rent Reform Activities (if applicable)***

**L. Provide the following information for all rent reform activities: Impact Analysis, Hardship Case Criteria, Annual Reevaluation of Rent Reform Activity and Transition Period.**

Not applicable. The proposed activity does not alter the rent calculation.

## Crawford Manor Transformation Plan

**Note: This Activity was proposed in Amendment 1 to HANH's FY2014 MTW Plan. The following write-up was revised to accommodate HUD's latest Form 50900, Attachment B format. In addition, minor changes were made to the metrics section to reflect HANH's ongoing data analysis efforts.**

### A. Description

It is the intent of the Authority to apply for the Choice Neighborhoods Initiative Planning Grant. This grant will allow for a comprehensive approach to neighborhood transformation. If awarded, this grant will provide for up to \$500,000 in funding to develop a transformation plan to revitalize Crawford Manor and the surrounding neighborhood. Also, the Authority intends to apply for the Choice Neighborhood Planning Grant to assist with detailing a comprehensive neighborhood transformation plan. As one of the older, blighted developments in our portfolio, Crawford Manor is an ideal center focus towards initiating a transformation plan.

As part of the transformation plan, we are proposing not only a redevelopment of the housing units at Crawford Manor but transformation of the surrounding community into a community that supports the long term economic sustainability of our residents, as well as the long term economic sustainability of the City of New Haven along the Route 34 corridor. 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.

Under HANH's MTW Agreement with HUD, HANH is authorized to develop its own Leased Housing Program through exceptions to the standard HCV program, during FY2008, HANH began to implement MTW Rent Standards that allow HANH to approve exception rents. Under no circumstances may HANH approve an MTW Rent Standard above 150% without prior HUD approval. HANH will reexamine its MTW Rent Standards monthly to ensure that HANH does not exceed 120% of the FMRs in the mean Rent Standard, which includes HAP payments to landlords, tenant rent payments to landlords, and any utility allowance amounts.

### B. Statutory Objective

Section 204(a) of the 1996 Appropriations Act provides that public housing agencies that administer Section 8 and public housing shall have the flexibility to design and test various approaches for providing and administering housing assistance that increases housing choices for low-income families.

### C. Anticipated Impact

The impact of the completed project shall promote housing choice for low income families by reducing density therefore improving the quality of housing and making the development more marketable to low income families, anticipated reduction in crime and increase in occupancy of the surrounding neighborhood with new businesses and renewed sense of community.

### D. Anticipated Schedule for Achieving Stated Objectives

- Resident Information Meeting – July 19, 2014
- Public Notice published July 17, 2014 for Public Review
- Public Hearing – August 16, 2014
- Choice Neighborhood Planning Grant – anticipated submission September 2015
- Choice Neighborhood Initiative Grant – anticipated submission February 2016

**Activity Metrics Information**

<b>HC #2: Units of Housing Preserved</b>				
<b>Unit of Measurement</b>	<b>Baseline</b>	<b>Benchmark</b>	<b>Outcome</b>	<b>Benchmark Achieved?</b>
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available (increase). If units reach a specific type of household, give that type in this box.	104 units	99 units	TBD	n/a

**I. Data Sources**

Unit breakdown data will come from project development pro forma.

**Need/Justification for MTW Flexibility**

**J. Authorization Cited**

Attachment C.B.1 .b.ii permits HANH to commingle any of its Section 8(o), Section 9(d) and Section 9(e) to use for any of the purposes under any of these statutes.

**K. Explain why the cited authorization from Attachment C or D is needed to engage in this activity;**

Attachment C and D of the MTW Agreement provide for fungibility and allocating above 25% of PBVs per project.

**Additional Information for Rent Reform Activities (if applicable)**

**L. Provide the following information for all rent reform activities: Impact Analysis, Hardship Case Criteria, Annual Reevaluation of Rent Reform Activity and Transition Period.**

Not applicable. The proposed activity does not alter the rent calculation.

## Westville Manor Transformation Plan

### A. Description

It is the intent of the Authority to redevelop the Westville Manor development in the West Rock neighborhood pursuant to RAD. With ECC/HANH investing in the redevelopment of Brookside Phase I and II, Rockview, 122 Wilmot Road, it only seems logical of the ECC/HANH to reinvest in the remaining public housing property to wholly transform the West Rock Neighborhood. This transformation plan will include replacement units on the Westville Manor site as well as the Rockview Phase II parcel.

### B. Statutory Objective

Section 204(a) of the 1996 Appropriations Act provides that public housing agencies that administer Section 8 and public housing shall have the flexibility to design and test various approaches for providing and administering housing assistance that increases housing choices for low-income families.

### C. Anticipated Impact

The impact of the completed project shall promote housing choice for low income families by reducing density therefore improving the quality of housing and making the development more marketable to low income families, anticipated reduction in crime and increase in occupancy of the surrounding neighborhood with new businesses and renewed sense of community.

### D. Anticipated Schedule for Achieving Stated Objectives

- Resident Information Meeting – July 2015
- Solicitation of Architect – July 2015
- Award of Architect – November 2015
- Solicitation of Construction Manager at Risk – May 2016
- Award of CM@Risk – August 2016
- Closing on RAD – April 2017
- Construction Start – June 2017
- Construction Completion – October 2018

### Activity Metrics Information

<i>HC #2: Units of Housing Preserved</i>				
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 (increase). If units reach a specific type of household, give that type in this box.	151 units	143 units	TBD	n/a

### I. Data Sources

Unit breakdown data will come from project development pro forma.

### Need/Justification for MTW Flexibility

### J. Authorization Cited

Attachment C.B.1 .b.ii permits HANH to commingle any of its Section 8(o), Section 9(d) and Section 9(e) to use for any of the purposes under any of these statutes.

**K. Explain why the cited authorization from Attachment C or D is needed to engage in this activity;**  
Attachment C and D of the MTW Agreement provide for fungibility and allocating above 25% of PBVs per project.

***Additional Information for Rent Reform Activities (if applicable)***

**L. Provide the following information for all rent reform activities: Impact Analysis, Hardship Case Criteria, Annual Reevaluation of Rent Reform Activity and Transition Period.**

Not applicable. The proposed activity does not alter the rent calculation.

## Cost Effective and Efficient Service Delivery

### **A. IMPLEMENTED ACTIVITIES**

#### Increase Housing Choice

##### **Initiative 1.2 – Local Total Development Cost (TDC) Limits**

**1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.**

##### **Initiative 1.2 – Local Total Development Cost (TDC) Limits. Approved in FY2008 and implemented in FY2009.**

**2. Provide a description of the activity and an update on its status.**

###### **a. Description of Activity**

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 approved in FY 2014. During FY 2014, HANH continued to use the approved 2009 TDC and HCC limits while utilizing them for the Rockview Redevelopment.

- **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.

**b) Update on Status (Impact Analysis)** The ability to use an TDC representing the cost of construction within the locale provides for quality, marketable units. The Housing Authority met all the benchmarks as a result of utilizing a local TDC such as leveraged dollars, increase in REAC scores, decrease in work orders, and reduction of utility cost. The Housing Authority closed on in FY 2015 Ribicoff 9% and Ribicoff 4%; and will close on Farnam Phase I, Fair Haven, Farnam Phase II during FY 2016

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

None anticipated.

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

None anticipated.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## **Initiative 1.4 and 1.10 – Defining Income Eligibility for the Project Based Voucher Programs**

**1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.**

### **Defining Income Eligibility for the Project Based Voucher Programs. Approved in FY2012 and implemented in FY2013.**

**2. Provide a description of the activity and an update on its status.**

#### **a. Description of Activity**

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 FY2016, HANH continues utilizing this income limit structure, which is summarized below:

- 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, and help promote investments in areas that 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.

#### **b) Update on Status (Impact Analysis)**

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

None anticipated.

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

None anticipated.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## Initiative 1.5 – HCV Preference and Set-Aside for Victims of Foreclosures

**1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.**

**Foreclosure Set-Aside: Approved in FY2009 and implemented in FY2010.**

**2. Provide a description of the activity and an update on its status.**

**a) Description of Activity**

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.

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) Update on Status (Impact Analysis)** There are 40 vouchers set aside for victims of foreclosure. 34 vouchers are currently leased and 6 have been issued as shopping vouchers.

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

None anticipated.

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

None anticipated.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## **Initiative 1.6 – Deconcentration of Poverty (Promote Expanded Housing Opportunities for HCV and PBV Program)**

**1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.**

### **Deconcentration of Poverty (Promote Expanded Housing Opportunities for HCV and PBV Program): Approved in FY2008 and implemented in FY2009.**

**2. Provide a description of the activity and an update on its status.**

#### **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. This includes reasonable policies for setting rents and subsidy levels for tenant-based assistance.

During FY2008, 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, HAP RAD Payments, 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 and PBV 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 and PBV program.

#### **b) Update on Status (Impact Analysis)**

Since the initiative began, 80 HCV participants have leased up in non-impacted areas.

#### ***Internal Metrics***

HANH has no internal metrics beyond the metric tracked per HUD

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

None anticipated.

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

None anticipated.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## Initiative 1.7 – Tenant-Based Vouchers for Supportive Housing for the Homeless

1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.

### Tenant-Based Vouchers for Supportive Housing for the Homeless: Approved in FY2010 and implemented in FY2011.

2. Provide a description of the activity and an update on its status.

#### 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 given to a 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) Update on Status (Impact Analysis)** There are currently 37 HCV participants, leased through the initiative for supportive housing for supportive services

#### *Internal Metrics*

HANH has no internal metrics beyond the metrics tracked per HUD

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

None anticipated.

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

None anticipated.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## **Initiative 1.9 – Increase the Allowed Percentage of Project Based Voucher (“PBV”) Units from 75 Percent to 100 Percent in a Mixed Financed Development**

**1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.**

### **Redevelopment Initiative. Approved in FY2012 and implemented in FY2013.**

**2. Provide a description of the activity and an update on its status.**

#### **a) Description of Activity**

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 an 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.

**b) Update on Status (Impact Analysis)** The Authority provides for the ability to leverage additional dollars to build quality affordable housing, deconcentration of poverty, and integration within the community. The Authority has a development pipeline that will utilize this initiative. The Housing Authority baseline exceeded the benchmark for leveraged dollars, ratio 2 to 1 and decrease in crime by 10%. The Housing Authority closed on in FY 2015 Ribicoff 9% and Ribicoff 4%; and will close on Farnam Phase I, Fair Haven, Farnam Phase II during FY 2016.

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

None anticipated.

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

None anticipated.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## **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%**

**1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.**

**Increase the percentage of Housing Choice Voucher budget authority for the Agency that is permitted to project-base from 20% up to 25%. Approved in FY2013 and implemented in FY2014.**

**2. Provide a description of the activity and an update on its status.**

### **a) Description of Activity**

This authorization will allow for the continued redevelopment efforts of the underperforming developments as well as increase housing choices for our residents. It allows the Authority to use its vouchers to pool monies together in order to leverage funds for redevelopment efforts. During FY 2014, HANH utilized 14% of its budget authority.

- **Rationale:** Among other things, this authority will continue to allow HANH to pay debt service on private loans taken out to support redevelopment projects.
- **Expected impact:** This authorization will enable HANH to award up to 949 PBV's agency-wide to support its continue mission to provide housing choices and to address the redevelopment needs of certain projects which it has not been able to meet to this point for low-income families. There will be an addition of 311 PBV's available for owners of housing in New Haven and to support the raising of private debt for upcoming redevelopment efforts including Ribicoff Cottages and Extensions, Farnam Courts, Fair Haven, Fairmount Heights, and many more.

**b) Update on Status (Impact Analysis)** The increase voucher authority is integral in the redevelopment of the LIPH aging stock. The ability to use up to 25% of the voucher authority allows the Housing authority to address its aging stock more expediently with outcomes such as leveraged dollars and providing housing choices. The Housing Authority closed on in FY 2015 Ribicoff 9% and Ribicoff 4%; and will close on Farnam Phase I, Fair Haven, Farnam Phase II during FY 2016.

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

HANH has issued an RFP for an additional 100 PBVs. HANH anticipated approximately 113 RAD PBV unit to be added at Ribicoff Cottages, 122 Wilmot Rd and Eastview in FY2016

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

None anticipated.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## **Initiative 1.12 – Development of Replacement Public Housing Units with MTW Block Grant Funds**

**1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.**

### **Development of Replacement Public Housing Units with MTW Block Grant Funds. Approved in FY2013 and implemented in FY2014.**

**2. Provide a description of the activity and an update on its status.**

#### **a) Description of Activity**

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.

In FY2013, HANH proposed 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 intended to pursue this initiative at certain specific sites in FY 2013, including Farnam Courts and Abraham Ribicoff Cottage and Extensions, but intended 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.

During FY2013, ECC/HANH had issued bonds for the Redevelopment of Ribicoff Cottages and Ribicoff Cottages Extension, in addition to the Farnam Courts redevelopment. The off-site component of the Farnam Courts Transformation Plan, Fair Haven, was awarded 9% tax credits. During FY2014, HANH moved forward with its redevelopment plans in order to close the two projects during FY2015.

- **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.

#### **b) Update on Status (Impact Analysis)**

The use of MTW Block funds have produced over 1100 quality affordable housing units. The ability to reposition the aging LIPH stock utilizing MTW Block funds allows for cost effectiveness, leverage dollars, additional income stream from developer fees, and the production of quality housing.

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

None anticipated.

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

None anticipated.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## **Increase Family Self-Sufficiency**

### **Initiative 2.1 – Family Self-Sufficiency (FSS) Program**

**1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.**

#### **Family Self-Sufficiency Program: Approved and implemented in FY2007.**

**2. Provide a description of the activity and an update on its status.**

##### **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. 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.

HANH 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) Update on Status (Impact Analysis)** ECC/HANH continues to provide classes and trainings to residents who are experiencing barriers to employment. Classes include, but are not limited to: Pre-GED, GED; Literacy; Financial Literacy; basic, intermediate and advanced computer training. Prior to applying for jobs, ECC provides Job Skills/Life Skills classes. We know that providing these classes, as well as other trainings, increase their employment options. During 2015 a total of 132 residents enrolled in classes at our learning lab. Forty-one residents attended GED classes. Of that number, 21 were returning/continuing residents. Fifty-four residents attended basic computers with 20 graduating from the course. Twenty-two residents attended Job Skills and all participants graduated. Literacy class continues to meet with six continuing participants attending. All are reading at a second or third grade level which is an improvement for them

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

None anticipated.

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

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. New internal metrics were identified to track the effectiveness of FSS classes for which many FSS participants receive referrals.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## Initiative 2.2 – Incremental Earned Income Exclusion

1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.

### Incremental Earned Income Exclusion: Approved and implemented in FY2008.

2. Provide a description of the activity and an update on its status.

#### 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.

- Where the earned income increases (*from the effective date of contract*) of participants is excluded in increments according to the year of participation: 1<sup>st</sup> year of participation = 100%, 2<sup>nd</sup> year of participation = 75%, 3<sup>rd</sup> year of participation = 50%, 4<sup>th</sup> year of participation = 25%, 5<sup>th</sup> year of participation = 0%. During the 5<sup>th</sup> year, FSS staff will include all earned income in rent calculations.
  - Note that during this period, if there is a contract, participants will not earn escrow benefits during the 1<sup>st</sup> year and may or may not during the following based on the rent increase and income exclusions.
- **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) Update on Status (Impact Analysis)** Data collection for this initiative was not collected, therefore no update on impact is available at this time. HANH will implement a Data collection tool so that this information is captured in the next Fy2016 report and the Fy2017 plan.

#### **Internal Metrics**

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

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

None anticipated.

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

None anticipated.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## **Initiative 2.3 – CARES (Caring About Resident Economic Self Sufficiency)**

**1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.**

**CARES (Caring About Resident Economic Self Sufficiency). Approved in FY2012 and implemented in FY2013.**

**2. Provide a description of the activity and an update on its status.**

### **a) Description of Activity**

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.

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) Update on Status (Impact Analysis)** In the Full Cares Program, residents are doing well averaging \$32,000.00 in earned wages per year, all participants are employed full time . In Transition Cares Program, residents average \$ 14,450.00 in earned wages per year and are primarily employed part time. Residents each fiscal year continue to increase income working toward a benchmark of \$45,000.00 per year. In 2015 28 residents matriculated from Transition to Full Cares. Currently, 143 residents are enrolled in Cares. 83 Residents in Transition Cares and 60 Residents are Full Cares. Residents employed part time continue to decrease in number and more residents are taking advantage of employee related training programs. Also, 5 residents are attending four year institutions and 2 are in graduate school. Lastly, in fiscal year 2015, 31 residents attended training programs related to their jobs.

*Note: The CARES program started in January 2013.*

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

None anticipated.

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

None anticipated.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## **Initiative 2.4. Teacher in Residence**<sup>[e1]</sup>

**1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.**

### **Teacher in Residence Approved in FY2015 and implemented in FY2015.**

**2. Provide a description of the activity and an update on its status.**

#### **A. Description of Activity**

Elm City Communities / The Housing Authority of the City of New Haven (HANH) has recently launched a new youth initiative—HANH Believes. Based on the premise that although some young people are able to rise above the dictations of birth and family structure in order to advance academically, personally, and professionally, most do not without intensive supports from an array of service providers and caring, community based organizations. HANH is leveraging smart housing policy in order to advance academic outcomes for student residents. The initiative is also a motto we believe in—that each of our students can achieve excellence through the provision of supports to students and families to help them on their way towards success.

HANH Believes is comprised of supports that expand upon the good work HANH has been doing as well as enhance what the nationally recognized New Haven Public Schools are doing. Programs are research-based and best practice supported as well as founded on feedback from HANH residents, HANH staff, and community stakeholders. As such, we focus our youth initiative on 1) academic supports and afterschool programming to reduce the achievement gap; 2) parent and family engagement in children’s education; and 3) increasing programs that support post-secondary opportunities. In addition to the array of HANH-wide programs, HANH has school-specific partnerships that cater to individual student needs (e.g. Tutoring and small group homework help, whole-family wraparound evaluations and mental health supports, student attendance and engagement assistance).

As part of HANH Believes, Elm City Communities seeks to make academic supports readily available to the approximately 2,000 school age youth residing in our developments. Modeled on the Officer in Residence program already implemented through HUD approval, HANH proposes a new MTW initiative that would offer housing to teachers in exchange for the delivery of homework help and tutorial services for our youth. Teachers housed through HANH Believes will be called “Teachers in Residence” and the initiative will provide HANH youth with the necessary academic assistance so many of our youth need as well as help bridge an historical divide between educators and our families. Creating communities where teachers and parents reside and commune regularly will shift traditional relationships between teachers and parents. In turn, the program will create space for experiential learning, living, and communication. We are building relational pathways from the home into the classroom.

Teachers in the pilot program, as part of an agreement between HANH and each teacher, will be required to provide educational assistance to HANH’s youth at McConaughy Terrace and Waverly Townhouses (the developments selected for the pilot where the Teachers in Residence will be housed). Educational assistance to Elm City Communities’ school-aged youth is defined as follows:

- Conduct a site-base homework help program at the developments in which the Teacher in Residence resides, in conjunction with HANH staff, throughout the school year;
- Provide homework help and/or tutoring for students in their respective HANH developments;
- Facilitate site-based meetings for parent residents, in conjunction w/HANH staff, so that parents may better understand how to navigate the New Haven public schools; and
- Participate in the Tenant Resident Council.

HANH will host meet and greets for each teacher at the identified HANH sites in order to spark relationships between and among the Teachers in Residence and residents, facilitate communication between the teachers and HANH staff and to evaluate and alter the program as needed. Specific terms of the program will be included in the Teacher in Residence agreement.

The Special Use unit designation benefits teachers in providing subsidized housing as well as benefits residents as the teacher in residence will support academic achievement of HANH's youth through the aforementioned educational assistance. Increasing students' academic achievement has the potential to end the cycle of poverty for our families. In doing so we build a new, vibrant middle class in New Haven; as this initiative will increase the economic self-sufficiency of our families. Anticipated outcomes include improved academic success as students receive additional academic assistance, improved attendance in school as students better understand their respective academic material, and improved performance on district and/or standardized testing.

Program dollars are limited in terms of the ability to pay for such on-site services. By offering the incentive of housing, we are able to access these services without an additional outlay of cash. Efforts to ensure the academic success of young people reduce the likelihood that they become the next generation of subsidized housing recipients.

***B) Update on Status (Impact Analysis)***

Now that HANH has received MTW approval for the program in the fy 2015 plan, HANH is in the process of identifying two units and will begin marketing efforts.

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year. No changes**

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year. No anticipated changes**

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

## Cost Effective and Efficient Service Delivery

### **Initiative 3.1 – Rent Simplification**

**1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.**

**Rent Simplification. Approved in FY2007 and implemented in FY2008.**

**2. Provide a description of the activity and an update on its status.**

**a) Description of Activity**

HANH utilizes EIV for all third party verifications. In FY2009 HANH implemented the multi-year recertification cycles with “work-able” families recertified every two years and elderly/disabled families recertified every three years.

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.

<u>Tiered Amount of Expenses</u>	<u>Monthly Rent Reduction</u>
\$ 2,000 - \$ 3,999	\$ 75 (equivalent to \$3,000 deduction)
\$ 4,000 - \$ 5,999	\$ 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**

Below is a draft update on rent simplification from the data I currently have for FY2015. Please let me know if you have any questions.

HANH continued to employ its MTW Rent Simplification model in FY2015. Below is an update on the policy’s four main components:

- **Multi-year recertification schedules.** HANH realized a decrease in the number of annual recertifications processed in FY2015 vs. FY2014 which may be a function of more effective operations regarding biennial (for work-able families) and triennial (for elderly/disabled families) recertification schedules; and implementation of HCV caseload optimization in FY2015. In FY2015, it is estimated that HANH spent approximately 5,300 staff hours processing recertifications compared to approximately 12,200 hours in FY2007 prior to launch of Rent Simplification. It is also estimated that HANH saved approximately \$14,000 in postage, printing and copying costs in FY2015 compared to what it spent in FY2007.

- **Minimum rent.** Although slightly down in FY2015 (versus FY2014), the number of minimum rent families has been trending up since the policy was first implemented in 2007. Families continue to request hardships for assistance with their rent in light of the \$50 minimum rent adopted with this policy. Although the number of hardship applications was down significantly in FY2015, more hardship applications were approved (42) vs. FY2014 (40); and a higher percentage of hardship applications (38%) were approved compared to FY2014 (19%). HANH continues to monitor trends in hardship applications.
- **Simplification of deductions.** Even though the rent calculation was simplified with tiered rents and simplified deductions, most of the time savings have resulted from a decrease in the number of recertifications processed rather than a significant reduction in the time required to process a recertification. Staff time to process a recertification only decreased from 2.5 hours per recertification in 2007 to 2.3 hours as of a time study completed in 2014.
- **Tiered rents model.** The tiered rent model does provide an incentive for families to increase income in that it allows families to earn additional income from the middle to the top edge of each income band without having to pay more rent. Based on an analysis of earned income from work-able families, it appears that real incomes are slightly down since rent reform was implemented. Although it appears Rent Simplification didn't provide an effective incentive to increase income, this could also be a function of lower income families lagging the recovery from the 2007 recession.

### **3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

HANH has clarified the definitions to define elderly/disabled and work-able families. We don't anticipate any material financial impact to families based on this refinement of the activity. Elderly/disabled families will be defined as: all adult members (excluding live-in attendants) of the household are elderly (age 62) and/or disabled. MTW families that don't meet the new elderly/disabled definition will be considered work-able families.

Also, HANH will reorganize the way it serves HCV participants by organizing caseload staff into work-able and elderly/disabled teams. Per HUD direction, caseload optimization does not rise to the level of an MTW activity, but we are including here for information purposes.

Operating practices will also be revised to achieve an optimal and uniform distribution of work by caseworker over the course of a year. Once a new organizational structure is developed, households will be allocated to assigned workers and redistributed in order to "optimize" the workload on a month-to-month basis by caseworker.

Caseload optimization includes the following components:

1. Elderly/disabled families will now have mail-in recertifications instead of in-person meetings that have previously been used as part of the recertification process. HANH has decided to keep in-person meetings for work-able families pending evaluation of the elderly/disabled change.
2. Caseloads will be distributed to workers that specialize in the needs of specific populations: work-able families, elderly/disabled families, special programs, and project-based vouchers.
3. In order to provide HANH with flexibility in optimizing recertification months, the gap in recertifications may be extended up to a maximum of 27 months for work-able families and 39 months for elderly/disabled families. Once the caseloads have gone through the initial optimization process, recertifications will be on a biennial (24 month) schedule for work-able families and a triennial (36 month) schedule for elderly/disabled families.

#### **Rationale:**

- Caseworkers currently experience significant month-to-month availability in their caseloads. Over the period of time from August 2013 – January 2014, the HCV team experienced an average monthly recertification workload of 284, with a monthly high of 324 (Aug) and low of 110 (Nov).
- Elderly/disabled households are currently on a triennial recertification schedule. In-person meetings take place for each recertification which are time consuming for staff to schedule and conduct. Because elderly/disabled families typically have very little changes to their income, changed can be processed through the mail.
- **Expected Impact:** Staff time savings and improved efficiency of HCV administrative functions.

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

HANH will begin measuring the impact of rent simplification policies on specific populations (elderly/disabled and workable families, given the clarified definitions above). Since these populations have unique needs, measuring the impact on each group will allow HANH to better tailor programs to meet their needs.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## B. Not Yet Implemented Activities

List any approved activities that were proposed in the Plan, approved by HUD, but not implemented; specify the Plan Year in which the activity was first approved; and

### Initiative 3.5 – HCV Rent Simplification/Cost Stabilization Measures

**1. Describe any approved activities that were proposed in the Plan, approved by HUD, but have not yet been implemented, and discuss why these activities were not implemented; specify the Plan Year in which the activity was first approved;**

#### **HCV Rent Simplification/Cost Stabilization Measures: Approved as part of FY2014 MTW Plan.**

The Authority enacted Rent Simplification measures consistent with the FY2008 MTW Plan. This initiative seeks to expand upon those streamlining measures. This initiative will replace previous Initiative 3.3 (to be closed-out) and will be transitioned once HCV organizational changes and caseload optimization have been completed.

This proposed activity has three components:

#### **Part 1. HQS Inspections on Biennial/Triennial Schedule**

Unit inspections and rent increases will be placed on a schedule consistent with recertifications (in other words, recertifications and HQS inspections will coincide). However, Housing Choice Voucher participants and landlords can request a Special inspection, if necessary, at any point that deficiencies are suspected.

- **Rationale:** History has demonstrated that the majority of all units inspected annually pass on the first inspection. It is reasonable to assume that given high pass rates, the quality of the housing lends itself to less frequent inspections.
- **Expected impact:** Staff time savings related to inspection scheduling and reduction in cost of the inspection contract with the City of New Haven.

#### **Part 2. Self-Certification for Fails Not Related to Health/Safety**

A self certification process will be used for inspection follow-up related to HQS inspection fails linked to items that are not health and safety related. For annual (biennial and triennial) HQS inspections, landlords and participants will be able to self certify and submit documentation of correction of deficiencies. All participants retain the right to request a Special Inspection at any time.

- **Rationale:** Currently, approximately 860 inspections are required due to a fail for items that are not health and safety related. The cost of these inspections is approximately \$61,000.00.
- **Expected impact:** Reduction in the number of re-inspections related to minor fails that are not health and safety related.

#### **Part 3. Landlord Rent Increases on Biennial/Triennial Schedule**

Landlord rent increases will only be processed at the time the family is recertified. These recertifications take place biennially for work-able families and triennially for elderly/disabled families. HQS inspections will be placed on the same schedule as HCV recertifications. Since the proposed HCV caseload optimization will change recertification dates, HQS inspection dates will change correspondingly. See Initiative 3.1 for definitions of elderly/disabled and work-able families.

- **Rationale:** Requests for rent increases currently are allowed annually. Of over 3,500 landlords, on average 700 rent increases were requested and approved annually. This represents 20% of assisted units. This suggests that most landlords are not requesting annual increases and that requests are less frequent.
- **Expected impact:** Reduction in the number of interims related to landlord rent increases and associated HCV staff time savings.

**2. Provide an update on the plan for implementation of the activity;**

HANH is in the process of completing a caseload optimization project in its Housing Choice Voucher program. This project is expected to be implemented in FY2015. Initiative 3.5 will be implemented in conjunction with the launch of caseload optimization as discussed in Initiative 3.1.

**3. Provide a timeline for implementation.**

We expect this initiative to take effect in January 2015.

**4. Provide an explanation of any non-significant changes or modifications to the activity since it was approved.**

Not applicable.

## **Initiative 1.15 – RAD Finance Development for Rockview Phase II Rental**

**1. List approved, implemented, ongoing activities continued from the prior Plan year(s) that are actively utilizing flexibility from the MTW Agreement; specify the Plan Year in which the activity was first approved and implemented.**

### **Development of Mixed Finance Development for Rockview Phase II Rental. Approved in FY2014.**

The Rockview Phase II development will be an off-site component of the Westville Manor redevelopment. The Authority anticipates applying for a 9% Tax Credit Application in November 2016. As such, the anticipated closing will be the Fall of 2017.

**2. Provide a description of the activity and an update on its status.**

#### **a) Description of Activity**

The Authority has undertaken an aggressive modernization program which includes the submission of an application for RAD funding for several sites including for Westville Manor. This initiative is part of the Westville RAD submission for the creation of replacement public housing units. The Authority intends to demolish 26 units total at Westville Manor and will create these units at Rockview Phase II Rental. Rockview Phase II Rental will rely on the MTW authorizations for alternative TDCs and commingling of funds. This initiative started implementation in FY2014 and will continue to be explored during FY2015.

#### **b) Update on Status (Impact Analysis)**

**3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year.**

None anticipated.

**4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year.**

None anticipated.

**5. If the PHA requires a different authorization from Attachment C or D when implementing the activity than was initially proposed, the PHA must re-propose the activity and include all required elements in Section (III) Proposed Activities.**

Not applicable.

## 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 FY2014.

Implementation of the marketing initiatives for Higher Income Eligible families began during FY09 with the development of marketing materials. Outreach will continue during FY11. Additionally the re-entry pilot implementation was delayed, during FY2010 the policies and procedures were established and revisions to the Admission and Continued Occupancy Policies were implemented and now during FY2011 we expect to bring the initial residents into the program.

#### **2. Report any actions that were taken towards reactivating the activity.**

No actions were taken towards reactivating this activity in FY 2014.

### **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 and continued to be deferred in FY2014. This development is included in the RAD conversion for FY 2016. The Authority completed a RPCA and submitted a RAD application on 10.9.2015 for the rehabilitation of Fulton Park. The Authority anticipates a HUD RAD application decision in the spring of 2016. Upon approval, the Authority will begin submission of the RAD material as detailed in the milestones so as to reach a closing by the summer of 2016.

#### **2. Report any actions that were taken towards reactivating the activity.**

The Fulton Park project continued to be deferred in FY 2014 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 HANH does not plan to implement and obsolete activities.

### Initiative 1.1 – Development of Mixed Use Development at 122 Wilmot Road

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

This activity was Proposed and approved in 2009 MTW Annual Plan, it was implemented in FY 2014. The development was completed and occupied in September 2013.

**2. Explain why the activities was closed out.**

HANH was directed by HUD to close out this activity.

**3. Provide the year the activity was closed out.**

This activity was closed out in FY2014.

***Final outcome and lessons learned.***

The Authority and its instrumentality, the Glendower Group, Inc., completed another successful mixed-finance deal providing for 47 units of housing, commercial space and supportive services.

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.

HANH enlisted the help of a commercial Real Estate Agent to help lease up the space. We have a preliminary contract for a Food Mart to occupy 3,000 square foot of space as well as a Spa and Consignment Store occupying 1,100 square feet respectively. HANH is doing its due diligence to see if job training initiative (Café) is suitable for the remaining commercial space. The most viable lesson HANH learned on commercial business would be to engage a consultant with needed experience to assist in the leasing transition of the said businesses who would be potential renters.

## Internal Metrics

## **Initiative 1.3 – Fungibility**

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

Approved in FY2012 and implemented in FY2013.

### **2. Explain why the activities was closed out.**

HANH was directed by HUD to eliminate in MTW reporting as it is not necessary to list as an initiative.

### **3. Provide the year the activity was closed out.**

This activity was closed out in FY2013.

#### ***Final outcome and lessons learned.***

HANH needed to do more analysis and feasibility studies before the proper implementation of trading or substituting commodities for equal or said amounts of HANH funds. The lesson learned is to ensure that needed consultants are procured to provide the technical knowledge to make the needed recommendations to make sound decisions.

## **Initiative 1.13 – Creation of a Commercial Business Venture at 122 Wilmot Road**

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

Approved in FY2013.

### **2. Explain why the activities was closed out.**

HUD instructed HANH to close-out this activity. It was combined with Section V: Initiatives Requiring MTW Funding Flexibility Only, Major Redevelopment Efforts at West Rock and the description of the activity is now placed in that section of the report.

### **3. Provide the year the activity was closed out.**

This activity was closed out in FY2014.

#### ***Final outcome and lessons learned.***

Because this initiative was combined with Section V: Initiatives Requiring MTW Funding Flexibility Only, Major Redevelopment Efforts at West Rock, there were no metrics (HUD and internal) used to measure this activity prior to close-out.

## **Initiative 1.14 – Redevelopment of 99 Edgewood Avenue (Dwight Gardens) HANH will use MTW Block Grant Banks to develop housing through a mixed finance process**

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

This activity was approved in FY2013 and was never implemented.

### **2. Explain why the activities was closed out.**

HANH was directed by HUD to eliminate in MTW reporting. The Authority and its instrumentality, the Glendower Group, Inc., determined that this redevelopment undertaking was no longer feasible and therefore did not pursue the redevelopment efforts with the co-developer. During FY2014 ECC determined that the Redevelopment of 99 Edgewood Avenue k/n/a Dwight Gardens would not benefit the Elm City Communities/HANH because the feasibility of the project needed to be expended in order to complete the redevelopment.

### **3. Provide the year the activity was closed out.**

This activity was closed out in FY2014.

### ***Final outcome and lessons learned.***

Because this initiative was not implemented, there were no metrics (HUD and internal) used to measure this activity prior to close-out.

## Initiative 3.2. UPCS Inspections

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

UPCS Inspections were approved and implemented in FY2008.

### **2. Explain why the activities was closed out.**

MTW authorization was no longer required. Since HANH implemented the initiative in FY2008, HUD subsequently permitted all PHAs to inspect on a similar schedule. It is no longer being reported on as an MTW initiative.

### **3. Provide the year the activity was closed out.**

This activity was closed out in FY2013.

#### ***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.*

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

<b>Internal Metrics: UPCS Inspections</b>				
<b>Unit of Measurement</b>	<b>Baseline</b>	<b>Benchmark</b>	<b>Outcome</b>	<b>Benchmark Achieved?</b>
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.

By implementing this initiative, HANH realized the following:

- Cost reduction in UPCS inspection contract of 31% annually between FY 2008 and FY 2012.
- 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).

## **Initiative 3.3 – Revised HQS Inspection Protocol**

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

**Revised HQS Inspections: Approved and implemented in FY2011.**

### **2. Explain why the activities was closed out.**

This activity will be replaced with Initiative 3.5.

### **3. Provide the year the activity was closed out.**

This activity will be closed out in FY2015.

### ***Final outcome and lessons learned.***

By reducing the number of required HQS inspections, HANH has realized cost and staff time savings while still maintaining Quality Control inspections of approximately 10% of these units, and the standard of 24 hour correction requirement for health and safety deficiencies. Additionally, the protocol requires HQS deficiencies to be corrected within 30 days or HANH will abate the landlord's rent. Quality Control inspections are performed in-house by HANH staff.

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

## **Initiative 3.4. Mandatory Direct Deposit for Housing Choice Voucher Landlords**

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

Mandatory direct deposit for Housing Choice Voucher landlords was approved and implemented in FY2010.

### **2. Explain why the activities was closed out.**

This activity was closed since it does not require MTW flexibility as it is covered by general operational flexibility provided to all PHAs. Although the activity continued in FY2014 and will in the future, it will no longer be reported on as an MTW initiative.

### **3. Provide the year the activity was closed out.**

This activity was closed out in FY2014.

### ***Final outcome and lessons learned.***

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 FY 2010. Implementation of this initiative rewards landlords with timely and accurate HAP payments.

This increased efficiency has eased HANH's burden to accurately administer 1,370 HAP payments to landlords. This initiative was also expected to minimize landlord complaints on non-payment of HAP payments and it has reduced the number of paper checks processed monthly which has in turn reduced the cost of administrating the HCV program.

**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	- 2014: 1,138 (83%) - 2013: 961 (70%) - 2012: 935 (70%) - 2011: 918 (69%) - 2010: 889 (67%)	No, but enrollment increased significantly in 2014

\*There were 1,367 HCV landlords in 2014, 1,370 in 2013, 1,329 in 2012, 1,321 in 2011, 1,320 in 2010, and 1,300 in 2009

By implementing this initiative, HANH has realized the following:

- Estimated average incremental savings since implementing this initiative of approximately \$34,250 annually.
- 83% of landlords are now on direct deposit and 177 additional landlords signed up for direct deposit in FY 2014.

## V. Sources and Uses of Funds

OMB Control Number: 2577-0216  
Expiration Date: 5/31/2016

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

Attachment B

### (V) Sources and Uses of Funds

#### Annual MTW Plan

#### V.1. Plan Sources and Uses of MTW Funds

#### A. MTW Plan: Sources and Uses of MTW Funds

#### Estimated Sources of MTW Funding for the Fiscal Year

PHAs shall provide the estimated sources and amounts of MTW funding by FDS line item.

Sources		
FDS Line Item	FDS Line Item Name	Dollar Amount
70500 (70300+70400)	Total Tenant Revenue	\$ 4,200,000.00
70600	HUD PHA Operating Grants	\$ 79,000,000.00
70610	Capital Grants	\$ 6,795,000.00
70700 (70710+70720+70730+70740+70750)	Total Fee Revenue	\$ 1,700,000.00
71100+72000	Interest Income	\$ 8,000.00
71600	Gain or Loss on Sale of Capital Assets	\$ -
71200+71300+71310+71400+71500	Other Income	\$ 515,000.00
<b>70000</b>	<b>Total Revenue</b>	<b>\$ 92,218,000.00</b>

**Estimated Uses of MTW Funding for the Fiscal Year**

PHAs shall provide the estimated uses and amounts of MTW spending by FDS line item.

Uses		
FDS Line Item	FDS Line Item Name	Dollar Amount
91000 (91100+91200+91400+91500+91600+91700+91800+91900)	Total Operating - Administrative	\$ 14,000,000.00
91300+91310+92000	Management Fee Expense	\$ 1,600,000.00
91810	Allocated Overhead	\$ -
92500 (92100+92200+92300+92400)	Total Tenant Services	\$ 3,771,800.00
93000 (93100+93600+93200+93300+93400+93800)	Total Utilities	\$ 4,700,000.00
93500+93700	Labor	\$ -
94000 (94100+94200+94300+94500)	Total Ordinary Maintenance	\$ 7,000,000.00
95000 (95100+95200+95300+95500)	Total Protective Services	\$ 1,100,000.00
96100 (96110+96120+96130+96140)	Total Insurance Premiums	\$ 1,700,000.00
96000 (96200+96210+96300+96400+96500+96600+96800)	Total Other General Expenses	\$ 3,500,000.00
96700 (96710+96720+96730)	Total Interest Expense and Amortization Cost	\$ 370,000.00
97100+97200	Total Extraordinary Maintenance	\$ -
97300+97350	Housing Assistance Payments + HAP Portability-In	\$ 46,434,000.00
97400	Depreciation Expense	\$ 8,000,000.00
97500+97600+97700+97800	All Other Expenses	\$ -
90000	Total Expenses	\$ 92,175,800.00

**Describe the Activities that Will Use Only MTW Single Fund Flexibility**

Single fund flexibility is made possible by the MTW program. It enables HANH to make improvements at some of its developments, enables vacancy prep which increases occupancy, enables major redevelopment efforts, and enables provision of services to our residents through the SEHOP Capital improvement program, Resident Owned Business program and the Prison/Community Reentry Program as well as the Resident Services for Elderly/Disabled. MTW Single Fund Flexibility is under Section (V).

V.2.Plan.Local Asset Management Plan

B. MTW Plan: Local Asset Management Plan

Is the PHA allocating costs within statute?

<input type="checkbox"/>	or	<input checked="" type="checkbox"/> NO
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Is the PHA implementing a local asset management plan (LAMP)?

<input checked="" type="checkbox"/> Yes	or	<input type="checkbox"/>
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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. The narrative 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?

<input checked="" type="checkbox"/> Yes	or	<input type="checkbox"/>
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PHAs should provide a brief summary of any changes in the Local Asset Management Plan in the body of the Plan.

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

	<b>FY 2016 Project Total</b>	<b>Capital Grants</b>	<b>MTW</b>	<b>ROSS</b>	<b>Developer Fees</b>	<b>Other</b>	<b>Tax Credit Equity</b>	<b>DECD</b>	<b>Bank Loan</b>	<b>Other</b>	<b>Est Total Project Cost</b>
<b><i>Community and Economic Development</i></b>											
Supportive Housing Salaries/Administrative	\$1,898,800		\$1,643,800	\$35,000		\$220,000					
SEHOP	\$40,000		\$40,000								
CARES	\$40,000		\$40,000								
Family and Youth Coordinator	\$85,000		\$85,000								
Eastview terrace Youth Services	\$150,000		\$150,000								
McQueeney Supportive Services	\$205,000		\$205,000								
Crawford Manor Supportive Services	\$240,000		\$240,000								
Ruopplo Manor	\$150,000		\$150,000								
Robert T. Wolfe	\$140,000		\$140,000								
William T. Rowe	\$53,000		\$38,000			\$15,000					
Winslow Celentano	\$25,000		\$25,000								
Westville Manor	\$150,000		\$150,000								
Quinnipiac Terrace	\$32,000					\$32,000					
Various AMPs	\$563,000		\$550,000			\$13,000					
<b>Total CED</b>	<b>\$3,771,800</b>	<b>\$0</b>	<b>\$3,456,800</b>	<b>\$35,000</b>	<b>\$0</b>	<b>\$280,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

Planned HANH and Non-HANH Sources and Uses for Capital Projects:

	FY 2016 Project Total	Capital Grants	MTW	ROSS	Developer Fees	Other	Tax Credit Equity	DECD	Bank Loan	Other	Est Total Project Cost
<b>Capital Projects</b>											
Agency Wide UFAS Compliance	\$175,000	\$175,000									\$175,000
Agency wide vacancy reduction	\$350,000	\$350,000									\$1,750,000
Famum Fire Stairs	\$20,000	\$20,000									\$20,000
Waverly TH Roofs/Siding	\$250,000	\$250,000									\$250,000
Waverly TH Interiors	\$450,000	\$450,000									\$450,000
McQueeny Kitchens, Baths, Interiors	\$750,000	\$750,000									\$2,000,000
McQueeny Elevators	\$450,000	\$450,000									\$450,000
McQueeny Windows	\$1,150,000	\$1,150,000									\$1,150,000
AMP Environmental Remediation Work	\$200,000	\$200,000									\$200,000
LEAP Building Roof Replacement	\$275,600		\$275,600								\$275,600
Motley Riser Upgrade	\$550,000	\$550,000									\$550,000
McConaughy sewer A&E	\$200,000	\$200,000									\$200,000
McConaughy Interiors	\$500,000	\$500,000									\$1,500,000
Scattered Sites Capital Repairs	\$500,000	\$500,000									\$2,000,000
Fairmont Elevators	\$350,000	\$350,000									\$350,000
Wolfe Elevator	\$400,000	\$400,000									\$400,000
IQC A&E	\$250,000	\$250,000									\$1,250,000
IQC Environmental Energy Performance Contract	\$250,000	\$250,000									\$750,000
	\$5,278,227					\$5,278,227					\$5,278,227
<b>Total Capital Projects</b>	<b>\$12,348,827</b>	<b>\$6,795,000</b>	<b>\$275,600</b>	<b>\$0</b>	<b>\$0</b>	<b>\$5,278,227</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$18,998,827</b>

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

	<b>FY 2016 Project Total</b>	<b>Capital Grants</b>	<b>MTW</b>	<b>ROSS</b>	<b>Developer Fees</b>	<b>Other</b>	<b>Tax Credit Equity</b>	<b>DECD</b>	<b>Bank Loan</b>	<b>Other</b>	<b>Est Total Project Cost</b>
<b>Capital Projects</b>											
Agency Wide UFAS Compliance	\$175,000	\$175,000									\$100,000
Agency wide vacancy reduction	\$350,000	\$350,000									\$1,750,000
Farnum Fire Stairs	\$20,000	\$20,000									\$20,000
Waverly TH Roofs/Siding	\$250,000	\$250,000									\$250,000
Waverly TH Interiors	\$450,000	\$450,000									\$450,000
McQueeney Kitchens, Baths, Interiors	\$750,000	\$750,000									\$2,000,000
McQueeney Elevators	\$450,000	\$450,000									\$450,000
McQueeney Windows	\$1,150,000	\$1,150,000									\$1,150,000
AMP Environmental Remediation Work	\$200,000	\$200,000									\$200,000
LEAP Building Roof Replacement	\$275,600		\$275,600								\$275,600
Motley Riser Upgrade	\$550,000	\$550,000									\$550,000
McConaughy sewer A&E	\$200,000	\$200,000									\$200,000
McConaughy Interiors	\$500,000	\$500,000									\$1,500,000
Scattered Sites Capital Repairs	\$500,000	\$500,000									\$2,000,000
Fairmont Elevators	\$350,000	\$350,000									\$350,000
Wolfe Elevator	\$400,000	\$400,000									\$400,000
IQC A&E	\$250,000	\$250,000									\$1,250,000
IQC Environmental	\$250,000	\$250,000									\$750,000
Energy Performance Contract	\$5,278,227					\$5,278,227					\$5,278,227
<b>Total Capital Projects</b>	<b>\$12,348,827</b>	<b>\$6,795,000</b>	<b>\$275,600</b>	<b>\$0</b>	<b>\$0</b>	<b>\$5,278,227</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$18,923,827</b>

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

	<b>FY 2016 Project Total</b>	<b>Capital Grants</b>	<b>MTW</b>	<b>ROSS</b>	<b>Developer Fees</b>	<b>Other</b>	<b>Tax Credit Equity</b>	<b>DECD</b>	<b>Bank Loan</b>	<b>Other</b>	<b>Est Total Project Cost</b>
<b>Development</b>											
Essex-RAD	\$100,000		\$100,000								\$2,100,000
Crawford-RAD	\$100,000		\$100,000								\$723,000
Farnam Courts - RAD	\$31,611,552		\$7,164,000				\$11,660,130	\$5,000,000	\$7,787,422	\$12,000,029	\$46,320,301
Fair Haven (Farnum off-site) RAD	\$19,545,436		\$100,000				\$10,974,034	\$1,664,912	\$5,890,190	\$916,300	\$24,148,594
Ribicoff - RAD	\$37,806,006		\$3,500,000				\$16,592,942		\$6,568,470	\$11,144,594	\$42,882,506
Eatview Terrace RAD	\$100,000		\$100,000								\$100,000
Wimot Road RAD	\$100,000		\$100,000								\$100,000
Westville Manor- RAD	\$200,000		\$200,000								\$39,000,000
Constance Baker Motley RAD	\$200,000		\$200,000								\$1,000,000
Chamberlain Courts (including Fulton Park) RAD	\$100,000		\$100,000								\$1,100,000
Katherine Harvey Terrace RAD	\$90,000					\$90,000					\$90,000
McConaughy Terrace RAD	\$100,000		\$100,000								\$2,000,000
Newhall Gardens RAD	\$50,000		\$50,000								\$300,000
Prescott Bush RAD	\$90,000					\$90,000					\$90,000
Robert T. Wolfe RAD	\$100,000		\$100,000								\$3,000,000
Rockview CC	\$100,000		\$100,000								\$750,000
Brookside 1 Rental CFFP Bond	\$906,138	\$906,138									\$11,500,000
GAP Financing	\$1,500,000		\$1,500,000								\$1,500,000
<b>Total Development Projects</b>	<b>\$92,799,132</b>	<b>\$906,138</b>	<b>\$13,514,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$180,000</b>	<b>\$39,227,106</b>	<b>\$6,664,912</b>	<b>\$20,246,082</b>	<b>\$12,060,894</b>	<b>\$176,704,401</b>

## Initiatives Requiring MTW Funding Flexibility Only

### Project Modernization

#### Description

During FY2015, HANH continued to address hazardous material remediation, long term vacancies and modifying units for UFAS compliance. The updated Green PNAs became available for planning in 2015.

HANH's ambitious modernization program is made possible by the funding flexibility of the MTW program and enabled/enables improvements at the following developments: Ruoppolo Manor, McQueeney Towers, Crawford Manor, Winslow-Celentano, McConaughy Terrace, C.B. Motley, Fairmont, Prescott Bush, R.T. Wolfe, Westville Manor and various vacancy reduction and UFAS compliance initiatives agency wide. It also supports the architectural and engineering services required by these activities and the abatement testing, remediation and monitoring associated costs.

- During FY 2014, C.B. Motley mold remediation and agency wide environmental remediation tasks were completed, as well as the replacement/repair of onsite sewers at Prescott Bush. Initiatives continuing for FY 2016 include agency wide environmental remediation work, building roof and parapet replacement at LEAP community center building, architectural engineering and environmental consulting services; Rental Assistance Demonstration (RAD) Projects: Westville, Essex, Crawford, Farnam, Motley, Chamberlain Courts, Fulton Park, Harvey, McConaughy, Newhall, Prescott Bush, Wolfe, Eastview, Wilmont Crossing; Fair Haven (Chatham and Eastview Terrace Phase 2), West Rock Community Center, GAP financing, and additional funds for RAD's and PBV's.

UFAS compliance is ongoing. During FY 2012 the project at Fulton Park was deferred due to capacity issues and continues to be deferred. Vacancy reduction initiatives have allowed HANH to continue to show improvement from the baseline vacancy rate of 10%.

Completion of long term capital improvements projects resulted in lease up of long term vacant units at Ruoppolo Manor, Robert Wolfe and Westville Manor in FY 2014.

- **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 operational efficiency of its housing inventory.

#### Impact Analysis

## **Vacancy Reduction**

Implemented in FY2008.

### **Description of Activity**

HANH will continue to show improvement from the baseline FY2008 vacancy rate of 10%. Efforts continued in FY2014.

### **Impact Analysis**

ECC/HANH currently uses the funding flexibility to perform more unit turn over to maintain an Occupancy percentage of 96%. The Agency has set a standard of unit turns by bedroom size. Typically a 0 or 1 bedroom unit turn should occur within a 5 week period. A larger 3-5 bedroom unit may take several weeks particularly if hazardous materials (asbestos/lead) have been found in the unit. Funding allows the Agency to bulk, abate hazardous materials, renovate the unit and all administration function which support vacancy reduction.

## **Major Redevelopment Efforts at West Rock (Previously Included Initiative 1.13)**

Approved in HANH received approval of HUD to dispose of the Brookside property in FY2010. HANH requested approval of disposal of Rockview in FY2012. Per HUD direction, Initiative 1.13 was folded into this Section V description since only single fund flexibility was required.

### **Description**

This project includes Brookside Phase I and II, Homeownership, 122 Wilmot and Rockview. During FY 2014, the Rockview Rental Phase I was completed and leased-up.

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

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

HANH has partnered with Michaels Development Company, a nationally known developer of affordable housing with a large portfolio, to redevelop the Rockview and Brookside public housing sites. Brookside, Rockview and the commercial space located at 122 Wilmot Road have all been demolished. During FY 2010, construction began on the infrastructure necessary for the Brookside rental and homeownerships phases.

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

In FY2014, initiative 1.13 – Creation of a Commercial Business Venture at 122 Wilmont Road has been combined into this initiative. The following few paragraphs describe the additional activities formerly included in initiative 1.13.

The Glendower Group, Inc., or an affiliate thereof, has developed 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.

During FY2013, Glendower began 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.

In FY2014 ECC/HANH/Glendower continued to outreach to the community for businesses that would be interested in being housed in the Crossings at Wilmont Road and started to explore the feasibility of a cooperative venture being housed in the facility.

In FY2015, ECC/HANH/Glendower closed on the redevelopment of Ribicoff Cottages and Ribicoff Cottages Extension.

**Impact Analysis**

The Authority successfully completed Brookside Phase 1, Brookside Phase 2, Rockview Phase 1, and Brookside Homeownership. The Authority closed on the Ribicoff 4% and Ribicoff 9% development deals. Ribicoff 9% will be occupied by December 2015 and Ribicoff 4% will be occupied in the spring of 2016. The Rockview Phase II development will be an off-site component of the Westville Manor redevelopment. The Authority anticipates applying for a 9% Tax Credit Application in November 2016 with a closing in the Fall of 2017. This redevelopment effort will also include the redevelopment of the community center.

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)	10/31/13	12/31/13	x	x
Brookside Phase I (WestRock)	8/10/12	7/23/13	x	x
Brookside Phase II (WestRock)	11/1/12	2/1/13	x	x
William T. Rowe (land swap)	8/5/11	10/31/11	x	x
Rockview Phase I (WestRock)	12/31/13	2/28/14	x	x
Quinnipiac Terrace III	5/31/11	7/31/11	x	x
Eastview Terrace	11/5/08	6/30/09		
Farnam	Under design	Not applicable		
Ribicoff Cottage	Under design	Not applicable		

## Resident Owned Business Development

Implemented in FY2011.

### Description

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.

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.

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' Principal 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.

The ROBs will operate in 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**

During 2015, five Resident Owned Businesses (ROBs) participated in the program. Four of the participants have construction businesses with one being an accounting firm. Three of the ROBS have some earned income for 2015 with an average earned income of \$12,880.00 and two with zero earned income. Average gross income for the year is \$25,282.00. One ROB continues to pay on an existing HANH loan owing \$7,382.00. This is the only outstanding loan. No ROB has transitioned off subsidized housing.

*Note: one participant with a construction business had household earned income of approximately \$161,000 in FY14 (of which, \$104,000 was from self-employment). Excluding this household, the average household earned income for this program would have been approximately \$8,000 in FY14. This household will continue to pay flat rent.*

## **SEHOP Capital Improvement Program**

HANH launched the SEHOP (Section Eight Homeownership Program) Capital Improvement Program in FY2010.

### **Description**

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**

HANH currently has 43 homeowners. 2 waiting to close and 2 looking for homes. The capital improvement allowance account is \$155,407.24 and there has been one homeowner so far that has accessed the account.

## Prison/Community Reentry

Implemented in FY2010.

### Description

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

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 that 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 16 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.

### Impact Analysis

During the fiscal year, the Re-Entry program leased 5 additional household and now has a total of 15 households subsidized under the program. We met with each household to confirm continued program compliance; and currently 1 household is in non-compliance. Our Legal Department is pursuing an eviction action.

9 households of the total 16 are receiving disability income from the Social Security Administration; 3 households have wages derived from part-time employment; only 1 household is the recipient of contributions from family members as the only means of income; and 3 households count child support as part of their income.

There is only 1 household that is pursuing higher education and is enrolled as a full-time student.

There is 1 last available opening at this time and the Operations department will execute a lease with the household.

There is a maximum capacity of 16 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 113 applicants for the Reentry Program, 44 have been deemed eligible and 19 individuals have enrolled. Since the beginning of the program 3 individual have graduated from the program and 6 individuals have been terminated from the program.

## **Notes**

While this program is relatively new, it has been a challenge to meet HANH's goal of benchmark of 50% of the residents becoming employed. Currently 80% of the Reentry Residents are disabled. The percentage of residents that are able to work is 20%, however, over the course of the next year, HANH anticipates that the percentage of non-working residents who have disabilities will increase. Many are taking self-sufficiency classes to obtain the skills needed in today's current work force.

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.

## Resident Services for Elderly/Disabled

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

### Description

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.

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 assesses 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 a 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.

### Impact Analysis

The enrolled residents receive frequent service. The other residents in the facilities have access to the services but usually use the services on a much less frequent basis. In 2014 the average number of residents enrolled at the four sites was: Crawford Manor 25, McQueeney Towers 29, Ruoppolo Manor 24, and Wolfe 22. In 2015 the average number of residents enrolled was: Crawford Manor 20, McQueeney Towers 29, Ruoppolo Manor 21 and Wolfe 22. The assistance received, helps the residents to remain in the Housing authority facilities and not face eviction or being moved to a higher level of care.

In 2014 an average of 126 outreach efforts were made per month. In 2015 the efforts were increased to 227 per month. These efforts would include movie nights, trips to events or local attractions, and holiday events. The programs also offer groups. In 2014 the average number of groups was 118 per month per program. In 2015 the average was 151. These groups included supports for managing substance abuse, financial responsibility and budgeting, chair yoga, and a range of other topics. The program staff will also engage the residents in individual sessions to assist with their needs.

In 2015 3 residents who enrolled in the program were able to return to the work 30+ hours per week. There are strong efforts made to encourage return to school or attend training programs as an effort to return to work.

In 2015 one elderly resident and one disabled resident were able to successfully discharge from the program as they did not need the higher levels of case management support and were able to function in a much more independent manner.

### ***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.

Note: The number of outreach efforts conducted on a monthly basis increased by 64% and the number of group meeting on a monthly basis increased by 50%. The number of households transitioned to self sufficiency was zero. HANH did not expect to transition any household to self sufficiency in FY 2014 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.

Note: During Fiscal Year 2014 this program decreased the enrollment of participants when compared to the baseline in FY 2012 by 2%.

## **Following activities that only required MTW funding flexibility have been closed:**

### **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 FY2012 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

## VI. Administrative

### Board Resolution – Approving HANH’s MTW Annual Plan for FY2016 June 16, 2016

To: Board of Commissioners  
From: Karen DuBois-Walton, Ph.D., Executive Director  
Date: June 16, 2015  
**RE: Approval of MTW Annual Plan for FY 2016**

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**ACTION:** Recommend that the Board of Commissioners adopt Resolution Number 06-62/15-R.

**TIMING:** Immediately.

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

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

As a MTW agency, HANH is required, in lieu of the one year/five year Housing Agency Plan, to provide an Annual MTW Plan and an Annual MTW Report. The MTW Annual Plan for FY 2016 was made available for public review on April 27, 2015. A public hearing was held on May 28, 2015. At this time HANH submits for Board approval the MTW Annual Plan for Fiscal Year 2016. We request the Board’s authorization for the Executive Director to submit to the U.S. Department of Housing and Urban Development (HUD) the MTW Annual Plan for FY 2016 and all related or required certifications and HUD forms, of which the attached document is a part, and all necessary documentation and submissions of the Plan.

**FISCAL IMPACT:** None.

**STAFF:** Renée Dobos, Deputy Executive Director of Operations

**Housing Authority of the City of New Haven**

**Resolution Number: 06-62/15-R**

**APPROVING HANH'S MTW ANNUAL PLAN FOR FY 2016**

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

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

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

NOW, THEREFORE, BE IT RESOLVED THAT THE BOARD OF COMMISSIONERS hereby authorizes the Executive Director to submit to the U.S. Department of Housing and Urban Development (HUD) the Moving to Work Annual Plan for FY 2016 and all related or required certifications and HUD forms, of which this document is a part, and all necessary documentation and submissions for the receipt of public housing operating, Section 8, and Comprehensive Grant Program funds, and make the following certifications and agreements with HUD in connection with the submission of the Plan and implementation thereof:

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

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

I hereby certify that the above resolution was adopted by a majority of the Commissioners present at a meeting duly called at which a quorum was present on June 16, 2015.

  
 \_\_\_\_\_  
 Karen DuBois-Walton  
 Secretary/Executive Director  
 6/16/2015  
 \_\_\_\_\_  
 Date

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

By:   
 \_\_\_\_\_  
 Rolan Joni Young-Smith, Esq.  
 A Senior Partner

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 2016, 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.

PHA Name

PHA Number/HA Code

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

Erik Clamon

Chairman

Name of Authorized Official

Title



10/22/2015

Signature

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.

**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

As of FY2015 HANH has a total of 2,447 units of those units 223 are fully accessible units and 54 are partial units. HANH has exceeded the 5% (122 units) Voluntary Compliance Agreement requirement. Currently, HANH has reached their 10% (244) goal at 245 units.

**Voluntary Compliance Agreement – Americans with Disabilities Act**

HANH executed the Voluntary Compliance Agreement (VCA) regarding reasonable accommodation and the Americans with Disabilities Act in September 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 verification and will wait one month for the requesting party to identify a new verifier to the agency. 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.

HANH has submitted revised reasonable accommodation procedures to HUD in September 2013 and HUD has approved revised procedures. On August 2014 the VCA regarding reasonable accommodations was closed.

**A. Results of Agency Directed Evaluations of Demonstration**

HANH has contracted with Seasholtz Consulting, Inc., an outside evaluator to assess HANH’s MTW program and the effectiveness of MTW initiatives

**B. Certification that the Agency has met the three Statutory Requirements**

**Initial Incomes of Families Assisted by MTW**

At 94.2%, HANH has met the requirement that 75% of families assisted be below 50% of AMI at admission.

<b>Fiscal Year</b>	<b>2007</b>	<b>2008</b>	<b>2009</b>	<b>2010</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>
Total number of newly admitted families assisted	344	329	344	425	433	447	583
Number of families with incomes below 50% of area median	332	310	322	387	394	410	555
Percentage of families with incomes below 50% of area median	96.50%	94.22%	93.60%	91.06%	90.99%	91.72%	95.25%

<b>Fiscal Year</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>
Total number of newly admitted families assisted	352	414		
Number of families with incomes below 50% of area median	332	390		
Percentage of families with incomes below 50% of area median	94.32%	94.2%		

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

Baseline number of families to be served (total number of families) <sup>1</sup>	4,827
Total number of families served this fiscal year (HCV:3,127; LIPH: 2,262)	5,389
Numerical Difference	+562
Percentage Difference	+ 11.64%

HANH has served considerably more families since achieving MTW status primarily through its modernization and redevelopment efforts made possible by MTW flexibility. During FY16 HANH plans to serve 32% more families than at baseline.

### **Baseline for the Mix of Family Sizes to Be Served**

	<b>1 person</b>	<b>2 people</b>	<b>3 people</b>	<b>4 people</b>	<b>5 people</b>	<b>6+ people</b>	<b>Total</b>
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%	

<sup>1</sup> Based upon agreed upon baseline calculation discussions with HUD (March 2012)

## Annual Statement/Performance and Evaluation Report

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

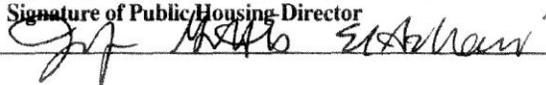
U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 06/30/2017

Part I: Summary					
PHA Name: <b>Housing Authority of the City of New Haven</b>		Grant Type and Number Capital Fund Program Grant No: CT26P00450115 Replacement Housing Factor Grant No: Date of CFFP:			FFY of Grant: 2015 FFY of Grant Approval: 2015
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: ) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration	\$2,962,221.50			
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 06/30/2017

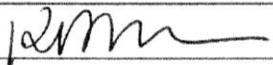
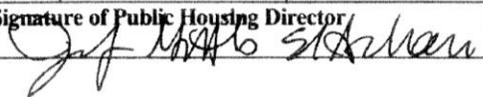
<b>Part I: Summary</b>					
<b>PHA Name:</b> Housing Authority of the City of New Haven		<b>Grant Type and Number</b> Capital Fund Program Grant No: CT26P00450115 Replacement Housing Factor Grant No: Date of CFFP:		<b>FFY of Grant:2015</b> <b>FFY of Grant Approval: 2105</b>	
<b>Type of Grant</b>					
<input checked="" type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input type="checkbox"/> Revised Annual Statement (revision no: )	
<input type="checkbox"/> Performance and Evaluation Report for Period Ending:			<input type="checkbox"/> Final Performance and Evaluation Report		
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Debt Obligation	\$641,521.50			
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$3,603,743.00			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
<b>Signature of Executive Director</b> Karen DuBois-Walton, Ph.D. 		<b>Date</b> 2/23/15	<b>Signature of Public/Housing Director</b> 		<b>Date</b> 4/13/15

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.



<b>Part I: Summary</b>					
<b>PHA Name: Housing Authority of the City of New Haven</b>		<b>Grant Type and Number</b> Capital Fund Program Grant No: Replacement Housing Factor Grant No: CT26R00450115 Date of CFFP:			<b>FFY of Grant: 2015</b> <b>FFY of Grant Approval: 2015</b>
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: ) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

<b>Part I: Summary</b>						
<b>PHA Name:</b> Housing Authority of the City of New Haven		<b>Grant Type and Number</b> Capital Fund Program Grant No: Replacement Housing Factor Grant No: CT26R00450115 Date of CFFP:			<b>FFY of Grant:2015</b> <b>FFY of Grant Approval: 2105</b>	
<b>Type of Grant</b> <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: ) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report						
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>		
		Original	Revised <sup>2</sup>	Obligated	Expended	
18a	1501 Collateralization or Debt Service paid by the PHA					
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment					
18c	9001 Bond Dept Obligation	\$1,405.00				
19	1502 Contingency (may not exceed 8% of line 20)					
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$1,405.00				
21	Amount of line 20 Related to LBP Activities					
22	Amount of line 20 Related to Section 504 Activities					
23	Amount of line 20 Related to Security - Soft Costs					
24	Amount of line 20 Related to Security - Hard Costs					
25	Amount of line 20 Related to Energy Conservation Measures					
<b>Signature of Executive Director</b> Karen DuBois-Walton, Ph.D.			<b>Date</b> 2-23-15	<b>Signature of Public Housing Director</b> 		
				<b>Date</b> 4/13/15		

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.



Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 06/30/2017

<b>Part I: Summary</b>	
PHA Name: Housing Authority of the City of New Haven	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: CT26R00450215 Date of CFFP:
FFY of Grant: 2015 FFY of Grant Approval: 2015	

Type of Grant  
 Original Annual Statement     Reserve for Disasters/Emergencies     Revised Annual Statement (revision no: )  
 Performance and Evaluation Report for Period Ending:     Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
1	Total non-CFF Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFF Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 06/30/2017

<b>Part I: Summary</b>					
<b>PHA Name:</b> Housing Authority of the City of New Haven		<b>Grant Type and Number</b> Capital Fund Program Grant No: Replacement Housing Factor Grant No: CT26R00450215 Date of CFFP:		<b>FFY of Grant: 2015</b> <b>FFY of Grant Approval: 2105</b>	
<b>Type of Grant</b>					
<input checked="" type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input type="checkbox"/> Revised Annual Statement (revision no: )	
<input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Final Performance and Evaluation Report			
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Dept Obligation	\$422,825.00			
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$422,825.00			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
<b>Signature of Executive Director</b> Karen DuBois-Walton, Ph.D.		<b>Date</b> 2-23-15		<b>Signature of Public Housing Director</b> <i>[Signature]</i>	
				<b>Date</b> 4/13/15	

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.



<b>Part I: Summary</b>					
PIHA Name: Housing Authority of the City of New Haven		Grant Type and Number Capital Fund Program Grant No: CT20100450112 Replacement Housing Factor Grant No: Date of CFIP:		FFY of Grant: 2012 FFY of Grant Approval: 2012	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input checked="" type="checkbox"/> Revised Annual Statement (revision no:1 ) <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Obligated	Total Actual Cost <sup>1</sup> Expended
		Original	Revised #1 <sup>2</sup>		
1	Total non-CFIP Funds				
2	1-00 Operations (may not exceed 20% of line 21) <sup>3</sup>				
3	1-08 Management Improvements				
4	1-10 Administration (may not exceed 10% of line 21)				
5	1-11 Audit				
6	1-15 Liquidated Damages				
7	1-30 Fees and Costs				
8	1-40 Site Acquisition				
9	1-50 Site Improvement				
10	1-60 Dwelling Structures				
11	1-65.1 Dwelling Equipment—Nonexpendable				
12	1-70 Non-dwelling Structures				
13	1-75 Non-dwelling Equipment				
14	1-85 Demolition				
15	1-92 Moving to Work Demonstration				
16	1-95.1 Relocation Costs	\$2,277,045.50	\$2,035,816.00		
17	1-99 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PIHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RIF funds shall be included here.

Annual Statement Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 08/31/2011

Part I: Summary

PHA Name: Housing Authority of the City of New Haven	Grant Type and Number Capital Fund Program Grant No. C.F.2010-00112 Replacement Housing Factor Grant No. Date of C.F.F.	FFY of Grant: 2012 FFY of Grant Approval: 2012
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Type of Grant

Original Annual Statement     
  Reserve for Disasters Emergencies  
 Performance and Evaluation Report for Period Ending: \_\_\_\_\_  
 Revised Annual Statement (revision no: \_\_\_\_\_)  
 Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised #1 <sup>2</sup>	Obligated	Expended
18a	1801 Utilization of Debt Service paid by the PHA				
18b	1803 Utilization of Debt Service paid Via System of Direct Payment				
18c	1804 Bond Debt Obligation				
19	1802 Contingency (may not exceed 5% of line 20)	\$300,722.50	\$541,952.00		
20	Amount of Annual Grant: (sum of lines 2 - 19)	\$2,577,768.00	\$2,577,768.00		
21	Amount of line 20 Related to IHP Activities				
22	Amount of line 20 Related to Section 804 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

Signature of Executive Director: *Karen DuBois-Walton* Date: *5-15-13*  
 Signature of Public Housing Director: *Jeff Mank* Date: *5/17/2013*

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
 PHAs with under 250 units in management may use 100% of C.F.P Grants for operations.  
<sup>3</sup> HUD funds shall be included here.



<b>Part III: Implementation Schedule for Capital Fund Financing Program</b>					
PHA Name: Housing Authority of the City of New Haven				Federal FFY of Grant: 2012	
Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>1</sup>
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
HA-wide	03-11-2014	02-28-2014	03-11-2016	09-30-2015	
CT004000076	03-11-2014	02-28-2014	03-11-2016	09-30-2015	
Brookside Phase 1					
Rental					

<sup>1</sup> Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 8/31/2011

<b>Part I: Summary</b>		
PHA Name: Housing Authority of the City of New Haven	Grant Type and Number Capital Fund Program Grant No: CT26P00450113 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant: 2013 FFY of Grant Approval: 2013

Type of Grant  
 Original Annual Statement       Reserve for Disasters/Emergencies       Revised Annual Statement (revision no 1)  
 Performance and Evaluation Report for Period Ending:       Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised #1	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>2</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment---Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration	\$1,903,549	\$2,392,060		
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 08/31/2011

<b>Part I: Summary</b>					
PHA Name: Housing Authority of the City of New Haven		Grant Type and Number Capital Fund Program Grant No: CT26P00450113 Replacement Housing Factor Grant No: Date of CFFP:		FFY of Grant:2013 FFY of Grant Approval: 2013	
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: 1 ) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Debt Obligation	\$488,511	\$0		
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 - 19)	\$2,392,060	\$2,392,060		
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director Karen DuBois-Walton, Ph.D.		Date 4-1-14		Signature of Public Housing Director [Signature]	
				Date 4-5-2014	

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.



<b>Part III: Implementation Schedule for Capital Fund Financing Program</b>					
PHA Name: Housing Authority of the City of New Haven				Federal FFY of Grant: 2013	
Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>1</sup>
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
HA-wide	09-08-2015	09-08-2015	09-08-2017		
CT004000076	09-08-2015	09-08-2015	09-08-2017		
Brookside Phase I Rental					

<sup>1</sup> Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

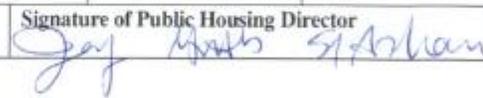
**Part I: Summary**

PHA Name: Housing Authority of the City of New Haven	Grant Type and Number Capital Fund Program Grant No: CT26P00450114 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant: 2014 FFY of Grant Approval: 2014
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Type of Grant  
 Original Annual Statement     Reserve for Disasters/Emergencies     Revised Annual Statement (revision no: )  
 Performance and Evaluation Report for Period Ending:     Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
1	Total non-CFF Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment - Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration	\$3,116,308.00			
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFF Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

<b>Part I: Summary</b>					
<b>PHA Name:</b> Housing Authority of the City of New Haven		<b>Grant Type and Number</b> Capital Fund Program Grant No: CT26P00450114 Replacement Housing Factor Grant No: Date of CFFP:		<b>FFY of Grant:</b> 2014 <b>FFY of Grant Approval:</b> 2014	
<b>Type of Grant</b> <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: ) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Debt Obligation				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 - 19)	3,116,308.00			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
<b>Signature of Executive Director</b> Karen DuBois-Walton, Ph.D.		 Date 4-4-14	<b>Signature of Public Housing Director</b>  Date 5/13/2014		

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.



**Part III: Implementation Schedule for Capital Fund Financing Program**

PHA Name: Housing Authority of the City of New Haven					Federal FFY of Grant: 2014
Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>1</sup>
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
HA-wide	05-12-2016		05-12-2018		
CT004000005	05-12-2016		05-12-2018		
Waverly					
CT004000004	05-12-2016		05-12-2018		
McConaughy					
CT004000011	05-12-2016		05-12-2018		
McQueeney					
CT004000015	05-12-2016		05-12-2018		
Fairmont					

<sup>1</sup> Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

<b>Part I: Summary</b>					
PHA Name: Housing Authority of the City of New Haven		Grant Type and Number Capital Fund Program Grant No: CT26P00450115 Replacement Housing Factor Grant No: Date of CFPP:		FFY of Grant: 2015 FFY of Grant Approval: 2015	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input checked="" type="checkbox"/> Revised Annual Statement (revision no 1 ) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup> 1	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration	\$2,962,221.50	\$2,967,921.50		
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 06/30/2017

<b>Part I: Summary</b>					
PHA Name: Housing Authority of the City of New Haven		Grant Type and Number Capital Fund Program Grant No: CT26P00450115 Replacement Housing Factor Grant No: Date of CFFP:		FFY of Grant: 2015 FFY of Grant Approval: 2105	
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input checked="" type="checkbox"/> Revised Annual Statement (revision no: 1 ) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>1</sup>	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Debt Obligation	\$641,521.50	\$635,821.50		
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$3,603,743.00	\$3,603,743.00		
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director Karen DuBois-Walton, Ph.D.		Date 6-22-15		Signature of Public Housing Director Jeff M. A. S. Stashan	
				Date 7/7/15	

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.



<b>Part III: Implementation Schedule for Capital Fund Financing Program</b>					
PHA Name: Housing Authority of the City of New Haven				Federal FFY of Grant: 2015	
Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>1</sup>
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
HA-wide	04-12-2017		04-12-2019		
CT004000011	04-12-2017		04-12-2019		
McQueeney					
CT004000004	04-12-2017		04-12-2019		
McConaughy					
CT004000076	04-12-2017		04-12-2019		
Brookside Phase 1					
Rental					

<sup>1</sup> Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 8/31/2011

<b>Part I: Summary</b>	
PHA Name: Housing Authority of the City of New Haven	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: CT26R00450114 Date of CFFP:
FFY of Grant: 2014 FFY of Grant Approval: 2014	

Type of Grant  
 Original Annual Statement     Reserve for Disasters/Emergencies     Revised Annual Statement (revision no: )  
 Performance and Evaluation Report for Period Ending:     Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
1	Total non-CFF Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFF Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

**Part I: Summary**

PHA Name: Housing Authority of the City of New Haven	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: CT26R00450114 Date of CFFP:	FFY of Grant:2014 FFY of Grant Approval: 2014
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Type of Grant  
 Original Annual Statement       Reserve for Disasters/Emergencies  
 Performance and Evaluation Report for Period Ending:       Revised Annual Statement (revision no: )  
 Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Debt Obligation	\$447,409			
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$447,409			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

Signature of Executive Director Karen DuBois-Walton, Ph.D.		Date 4-4-14	Signature of Public Housing Director 	Date 5/13/14
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<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.





Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 8/31/2011

**Part I: Summary**

PHA Name: Housing Authority of the City of New Haven	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: CT26R00450214 Date of CFFP:	FFY of Grant: 2014 FFY of Grant Approval: 2014
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Type of Grant

Original Annual Statement    
  Reserve for Disasters/Emergencies    
  Revised Annual Statement (revision no: )  
 Performance and Evaluation Report for Period Ending:    
  Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.

<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.

<sup>4</sup> RHF funds shall be included here.

<b>Part I: Summary</b>					
PHA Name: Housing Authority of the City of New Haven		Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: CT26R00450214 Date of CFFP:		FFY of Grant:2014 FFY of Grant Approval: 2014	
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: ) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Debt Obligation	\$810,714			
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$810,714			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director Karen DuBois-Walton, Ph.D.		Date	Signature of Public Housing Director Jay Mathis		Date 5/13/2014

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFF Grants for operations.  
<sup>4</sup> RHP funds shall be included here.

Part II: Supporting Pages								
PHA Name: Housing Authority of the City of New Haven			Grant Type and Number Capital Fund Program Grant No: CFPP (Yes/ No): Replacement Housing Factor Grant No: CT26R00450214			Federal FFY of Grant: 2014		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised <sup>1</sup>	Funds Obligated <sup>2</sup>	Funds Expended <sup>2</sup>	
CT004000076	Bond Debt Obligation	9001		\$810,714				
Brookside Phase I Rental								

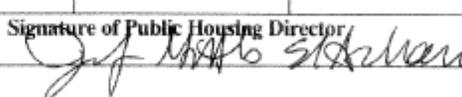
<sup>1</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>2</sup> To be completed for the Performance and Evaluation Report.

Part III: Implementation Schedule for Capital Fund Financing Program					
PHA Name: Housing Authority of the City of New Haven				Federal FFY of Grant: 2014	
Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>1</sup>
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
CT004000076	05-12-2016		05-12-2018		
Brookside Phase 1 Rental					

<sup>1</sup> Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

<b>Part I: Summary</b>					
PHA Name: Housing Authority of the City of New Haven		Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: CT26R00450115 Date of CFFP:			FFY of Grant: 2015 FFY of Grant Approval: 2015
Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: ) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
1	Total non-CFF Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

<b>Part I: Summary</b>					
<b>PHA Name:</b> Housing Authority of the City of New Haven		<b>Grant Type and Number</b> Capital Fund Program Grant No: Replacement Housing Factor Grant No: CT26R00450115 Date of CFFP:		FFY of Grant:2015 FFY of Grant Approval: 2105	
<b>Type of Grant</b> <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:    )					
<input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Debt Obligation	\$1,405.00			
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$1,405.00			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
<b>Signature of Executive Director</b> Karen DuBois-Walton, Ph.D.		Date 2-23-15	<b>Signature of Public Housing Director</b> 		Date 4/13/15

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.





Annual Statement/Performance and Evaluation Report  
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and  
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development  
 Office of Public and Indian Housing  
 OMB No. 2577-0226  
 Expires 06/30/2017

<b>Part I: Summary</b>		
PHIA Name: Housing Authority of the City of New Haven	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: CT26R00450215 Date of CFFP:	FFY of Grant: 2015 FFY of Grant Approval: 2015

Type of Grant  
 Original Annual Statement     Reserve for Disasters/Emergencies     Revised Annual Statement (revision no: )  
 Performance and Evaluation Report for Period Ending:     Final Performance and Evaluation Report

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) <sup>3</sup>				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities <sup>4</sup>				

<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

**Part I: Summary**

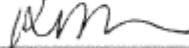
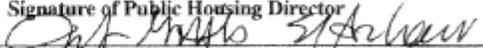
<b>PHA Name:</b> Housing Authority of the City of New Haven	<b>Grant Type and Number</b> Capital Fund Program Grant No: Replacement Housing Factor Grant No: CT26R00450215 Date of CFFP:	<b>FFY of Grant:</b> 2015 <b>FFY of Grant Approval:</b> 2105
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**Type of Grant**

Original Annual Statement
  Reserve for Disasters/Emergencies
  Revised Annual Statement (revision no: )
  Final Performance and Evaluation Report

Performance and Evaluation Report for Period Ending:

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost <sup>1</sup>	
		Original	Revised <sup>2</sup>	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18b	9000 Collateralization or Debt Service paid Via System of Direct Payment				
18c	9001 Bond Dept Obligation	\$422,825.00			
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	\$422,825.00			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

<b>Signature of Executive Director</b> Karen DuBois-Walton, Ph.D.		<b>Date</b> 2-23-15	<b>Signature of Public Housing Director</b> 	<b>Date</b> 4/13/15
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<sup>1</sup> To be completed for the Performance and Evaluation Report.  
<sup>2</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>3</sup> PHAs with under 250 units in management may use 100% of CFP Grants for operations.  
<sup>4</sup> RHF funds shall be included here.

**Part II: Supporting Pages**

PHA Name: Housing Authority of the City of New Haven		<b>Grant Type and Number</b> Capital Fund Program Grant No: CFFP (Yes/ No): Replacement Housing Factor Grant No: CT26R00450215			Federal FFY of Grant: 2015			
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised <sup>1</sup>	Funds Obligated <sup>2</sup>	Funds Expended <sup>2</sup>	
CT004000476 Brookside Phase 1 Rental	Bond Debt Obligation	9001		\$422,825.00				

<sup>1</sup> To be completed for the Performance and Evaluation Report or a Revised Annual Statement.  
<sup>2</sup> To be completed for the Performance and Evaluation Report.

Part III: Implementation Schedule for Capital Fund Financing Program					
PHA Name: Housing Authority of the City of New Haven				Federal FFY of Grant: 2015	
Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates <sup>1</sup>
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
CT004000076	04-12-2017		04-12-2019		
Brookside Phase I Rental					

<sup>1</sup> Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

## Documentation of Public Hearing and Public comment Period

Housing Authority of New Haven  
Public Hearing – 2015 Moving to Work Annual Plan  
Amendment #1

Thursday, May 28, 2015 @ 4:00 P.M.  
360 Orange Street, New Haven, CT 06511

### Those present included:

Ellieben Acosta-Harris, HANH  
Catherine Hawthorne, HANH  
Sandra Bispham-Haywood, HANH  
Frank Emery, HANH  
Nakitta Brown, HANH  
Maza Rey, HANH  
Cheryl Leeks, HANH  
Jasmin Franjul, HANH  
Johanna Davis, HANH

The public hearing was called to order at 4:00 p.m. by Ellieben Acosta-Harris.

Ms. Acosta-Harris read the legal notice aloud which stated the reason the public hearing was being called.

### **NOTICE OF PUBLIC HEARING FOR THE FIRST AMENDMENT TO THE HOUSING AUTHORITY OF THE CITY OF NEW HAVEN MOVING TO WORK 2016 ANNUAL PLAN**

Section VI B of the Authority's Moving to Work Agreement (the "Agreement") requires that before the Agency can amend its Approved Annual Moving to Work Plan to include any MTW activity that falls outside of the scope of Housing and Urban Development (the "HUD") approved Annual MTW Plan that it must conduct a public hearing, consider comments from the hearing on the proposed amendments, obtain approval from the Board of Commissioners, and submit the amendments to HUD.

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

Pursuant to said Section VI B, the Authority will conduct a public hearing on May 28, 2015 at 4:00 PM, in the 3<sup>rd</sup> floor Board of Commissioners Conference Room at 360 Orange Street, New Haven, CT 06511 to receive comments and recommendations. A copy of the Plan will be available for review starting April 27, 2015 on the Authority's website at [www.elmcitycommunities.com](http://www.elmcitycommunities.com) or can be picked up at the front desk in the main lobby area at 360 Orange Street. You are invited to provide written comments addressed to HANH MTW 2016 Plan, Attn: Maza Rey, P.O. Box 1912, New Haven, CT 06509-1912. Any individuals requiring a reasonable accommodation to participate in the hearing may call Teena Bordeaux, Reasonable Accommodations Coordinator for HANH at 498-8800 extension 1507 or at the TDD Number 497-8434.

At 4:04 p.m., the meeting was opened to take public comments.

No members of the public or residents were in attendance at the public hearing.

### Adjournment

Ms. Ellieben Acosta-Harris thanked the participants and the meeting was adjourned at 4:19 p.m. There were no public comments received.

**Housing Authority of New Haven (CT004)**

	<b>Agreement Year BASELINE September 2001</b>	<b>FY2002</b>	<b>FY2003</b>	<b>FY2004</b>	<b>FY2005</b>	<b>FY2006</b>	<b>FY2007</b>	<b>FY2008</b>	<b>FY2009</b>	<b>FY2010</b>
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
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
Other Families Served through MTW	0	0	0	0	0	0	0	0	0	0
<b>NUMERATOR - Families Served Total</b>	<b>4,827</b>	<b>4,975</b>	<b>4,889</b>	<b>4,913</b>	<b>5,094</b>	<b>4,865</b>	<b>4,637</b>	<b>5,389</b>	<b>4,940</b>	<b>5,092</b>
<b>Baseline Number of Families (Public Housing)</b>	1,970	1,970	1,852	1,852	1,575	1,432	1,490	1,365	1,303	1,061
Incremental Increase to Baseline	0	36	0	0	0	58	28	28	53	0
Incremental Decrease to Baseline	0	-154	0	-277	-143	0	-153	-90	-295	0
<b>Baseline Number of Families (Vouchers)</b>	2,857	2,857	2,934	2,934	2,934	2,992	3,026	3,026	3,026	3,026
Incremental Increase to Baseline	0	77	0	0	58	34	0	0	0	6
Incremental Decrease to Baseline	0	0	0	0	0	0	0	0	0	0
<b>DENOMINATOR - Baseline Total</b>	<b>4,827</b>	<b>4,786</b>	<b>4,786</b>	<b>4,509</b>	<b>4,424</b>	<b>4,516</b>	<b>4,391</b>	<b>4,329</b>	<b>4,087</b>	<b>4,093</b>
<b>% TOTAL</b>	<b>100%</b>	<b>104%</b>	<b>102%</b>	<b>109%</b>	<b>115%</b>	<b>108%</b>	<b>106%</b>	<b>124%</b>	<b>121%</b>	<b>124%</b>

	<b>Agreement Year BASELINE September 2001</b>	<b>FY2011</b>	<b>FY2012</b>	<b>FY2013</b>
Families Served through MTW Public Housing	1,970	2,294	2,161	2,576
Families Served through MTW Vouchers	2,857	3,089	2,975	2,860
Other Families Served through MTW	0	0		
<b>NUMERATOR - Families Served Total</b>	<b>4,827</b>	<b>5,383</b>	<b>5,136</b>	<b>5,436</b>
<b>Baseline Number of Families (Public Housing)</b>	1,970	1,061	1,060	1,060
Incremental Increase to Baseline	0	0	0	0
Incremental Decrease to Baseline	0	-1	0	0
<b>Baseline Number of Families (Vouchers)</b>	2,857	3,032	3,041	3,041
Incremental Increase to Baseline	0	9	0	0
Incremental Decrease to Baseline	0	0	0	0
<b>DENOMINATOR - Baseline Total</b>	<b>4,827</b>	<b>4,101</b>	<b>4,101</b>	<b>4,101</b>
<b>% TOTAL</b>	<b>100%</b>	<b>131%</b>	<b>125%</b>	<b>1.32%</b>

<b>Data Source Families Served</b>		
<i>Source</i>	<i>Year</i>	<i>Amount</i>
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 - Pulled from HANH MTW Number of Low Income Families Served Report as of 9/30/2011	FY2011	2,904
FY2011 – Public Housing - Pulled from HANH MTW Number of Low Income Families Served Report as of 9/30/2011	FY2011	2,120
FY2012 – Vouchers - Pulled from HANH MTW Number of Low Income Families Served Report as of 9/30/2012	FY2012	2,987
FY2012 – Public Housing - Pulled from HANH MTW Number of Low Income Families Served Report as of 9/30/2012	FY2012	2,208
FY2013 – Vouchers - Pulled from HANH MTW Number of Low Income Families Served Report 9/30/2013	FY2013	3,127
FY2013 – Public Housing - Pulled from HANH MTW Number of Low Income Families Served Report 9/30/2013	FY2013	2,262

<b>Incremental Increases/Decreases to Baseline</b>			
<i>Reason for Change</i>	<i>Program</i>	<i>Year of Change</i>	<i>Change Amount</i>
Voucher Baseline - HANH gives "Section 8 Participant Demographics" on page 184 of their FY2002 Annual MTW Report. This number is given as of the beginning of FY2002 (which would be October of 2001). This is very close to when HANH signed their MTW Agreement. Best number available.	HCV	FY2001	2,857
Public Housing Baseline - HANH gives public housing households served as 1,146 (families) and 824 (elderly) at the beginning of FY2002 (which would be October of 2001). This is very close to when HANH signed their MTW Agreement. Best number found.	PH	FY2001	1,970
Public Housing - 154 actual units demo/dispo in 2002. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2002	-154
Public Housing - 36 HOPE VI public housing units added in 2002. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY2002	36
Vouchers - 77 Enhanced Vouchers became part of MTW program on 8/1/02.	HCV	FY2002	77
Public Housing - 277 actual units demo/dispo in 2004. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2004	-277
Vouchers - Housing Conversion for Ethan Gardens (28 in 01/05). Housing Conversion for Eastview Terrace (30 in 05/05).	HCV	FY2005	58
Public Housing - 143 actual units demo/dispo in 2005. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2005	-143
Vouchers - Housing Conversion for Canterbury Gardens (34 in 12/05).	HCV	FY2006	34
Public Housing - 58 HOPE VI public housing units added in 2006. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY2006	58
Public Housing - 153 actual units demo/dispo in 2007. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2007	-153
Public Housing - 28 HOPE VI public housing units added in 2007. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY2007	28
Public Housing - 90 actual units demo/dispo in 2008. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2008	-90
Public Housing - 28 HOPE VI public housing units added in 2008. Pulled according to "Production Year" in ACC unit construction spreadsheet.	PH	FY2008	28
Public Housing - 53 new units brought online at Eastview Terrace.	PH	FY2009	53
Public Housing - 295 actual units demo/dispo in 2009. Pulled from Demo/dispo report on PIC data page, pulled on 04.06.11.	PH	FY2009	-295
Vouchers - Housing Conversion for 77-79 Orchard Street Apartments (6 in 08/10).	HCV	FY2010	6
Vouchers - William T. Rowe Apartments (9 in 7/11).	HCV	FY2011	9
Public Housing - ADJUSTMENT - Demo/dispo report for FY2010 was updated to show one actual unit demolished.	PH	FY2011	-1

MTW Start Date: 9.28.01  
HANH Fiscal Year: 10/01-9/30

## 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	<b>\$ 123,709</b>	\$ 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

<b>HANH/ELM CITY COMMUNITIES TDC 2013</b>								
		<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
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
<b>PERCENT CHANGE HANH/ELM CITY COMMUNITIES TDC 2008-2013</b>								
		<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
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%
<b>PERCENT CHANGE COMPARISON HUD TO HANH/ELM CITY COMMUNITIES TDC</b>								
		<b>0</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>
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 \$75.08 per unit per month, bookkeeping fee of \$7.50 per unit per month, asset management fee of \$10 per unit per month if a property has "surplus cash" 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.

**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 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

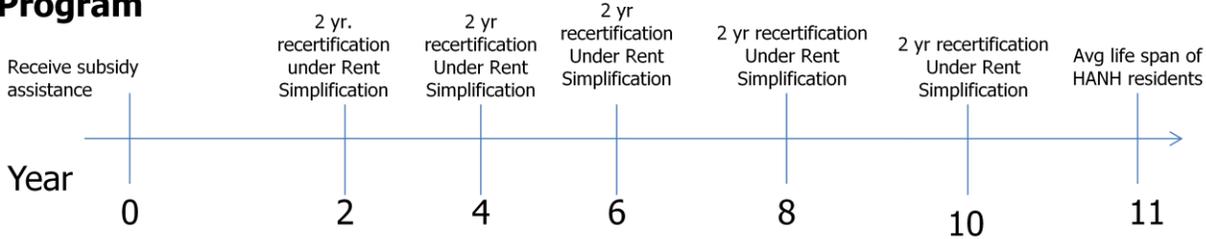
as a loss of job, downturn in the economy or an unforeseen family circumstance that will hinder them from entering the CARES Program.

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.

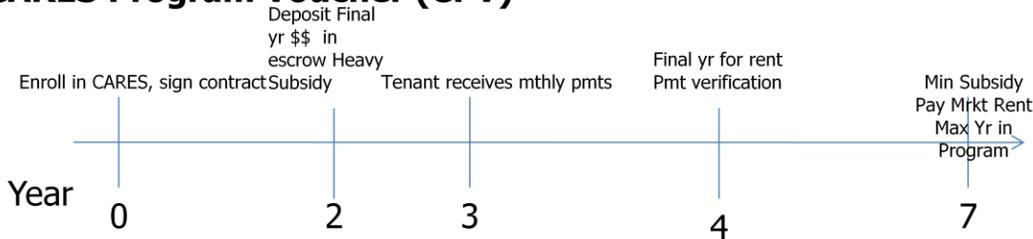
The first step to self-sufficiency is encouraging families to seek affordable housing and manage their household expenses on a fixed income which will empower them to make their own choices. At the time of enrollment into the program, each family will sign a CARES Addendum and go through an assessment 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.

## HCV 7 Year Cash Payment Schedule

### 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
<b>Median Monthly Cash Payment Assistance</b>	<b>917</b>	<b>1187</b>	<b>1357</b>	<b>1452</b>	<b>1572</b>	<b>1644</b>
Years in Program	Cost of Living Increase	Subsidy Value				

1 Supportive Component <b>Monthly</b> <b>Annually</b>	Lease up Year	917.00	1,187.00	1,357.00	1,452.00	1,572.00	1,644.00
		11,004.00	14,244.00	16,284.00	17,424.00	18,864.00	19,728.00
2 Supportive Component <b>Monthly</b> <b>Annually</b>	3%	944.51	1,222.61	1,397.71	1,495.56	1,619.16	1,693.32
		11,334.12	14,671.32	16,772.52	17,946.72	19,429.92	20,319.84
3 Tenant Based Component <b>Monthly</b> <b>Annually</b>	3%	972.85	1,259.29	1,439.64	1,540.43	1,667.73	1,744.12
		11,674.14	15,111.46	17,275.70	18,485.12	20,012.82	20,929.44
4 Tenant Based Component <b>Monthly</b> <b>Annually</b>	3%	1,002.03	1,297.07	1,482.83	1,586.64	1,717.77	1,796.44
		12,024.37	15,564.80	17,793.97	19,039.68	20,613.20	21,557.32
5 Tenant Based Component <b>Monthly</b> <b>Annually</b>	3%	1,032.09	1,335.98	1,527.32	1,634.24	1,769.30	1,850.34
		12,385.10	16,031.75	18,327.79	19,610.87	21,231.60	22,204.04
6 Tenant Based Component <b>Monthly</b> <b>Annually</b>	3%	1,063.05	1,376.06	1,573.13	1,683.27	1,822.38	1,905.85
		12,756.65	16,512.70	18,877.62	20,199.19	21,868.55	22,870.16
7 Tenant Based Component <b>Monthly</b> <b>Annually</b>	3% (Amount deposited into Escrow)	1,094.95	1,417.34	1,620.33	1,733.76	1,877.05	1,963.02
		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**

### **Orientation**

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

### **CARES Addendum to 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.

### **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

### **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

### **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.

## **Hardship Policy and Guidelines**

### **i. Hardship Policy:**

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.

• **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.

• **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.

### **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

### **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.

### **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.

### **Progress Meetings**

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

### **Early Graduation from CARES Program**

Residents can graduate from the program earlier than the 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.

## Coordination of Supportive Services Initiatives

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

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

## Violations of the CARES Program

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

- a. Misappropriation of funds;
  - b. Fraudulent acts, as set forth in the ACOP and Administrative Plan respectively; and
  - c. Non-compliance of CARES Program per the CARES Contract
- Any resident that is notified of a program violation will have the opportunity to appeal the claims being made against them 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.

## 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.

## Moves

As outlined in the FY2015 MTW Plan (Initiative 2.3), HANH will be initiating a policy to limit moves for CARES participants (those who elected to take the CPV option) unless an extraordinary situation exists. Limiting CARES moves to only extraordinary situations will allow participants to follow-through on the commitment they made at program entry and will give HANH data to evaluate the program as it was intended. Extraordinary situations could include moves to be closer to

work, medical care, or full-time school, or to care for sick or disabled family member and will be evaluated by a HANH-appointed committee.

## Appendix 4

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

<b>PBV</b>	<b>2011</b>	<b>2011 MTW Expenditure</b>	<b>2011 Voucher cost</b>	<b>2012</b>	<b>2012 MTW Expenditure</b>	<b>2012 Voucher cost</b>	<b>2013</b>	<b>2013 MTW Expenditure</b>	<b>2013 Voucher cost</b>
<b>Ribicoff</b>									
<b>Eastview/Chatham</b>									
<b>Cedar Hill</b>							4		\$12,800.00
<b>Frank Nasti</b>							8		\$8,400.00
<b>Essex RAD</b>									
<b>Crawford RAD</b>									
<b>Westville Manor RAD</b>									
<b>Scatter Sites RAD</b>									
<b>Total PBV</b>	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
<b>Number of Vouchers HANH would otherwise be able to issue for HCV based upon the use of MTW funds for redevelopment</b>									
<b>Percentage of Total Budget Authority</b>									
<b>Adjusted HCV Baseline</b>									
<b>Percentage of Allocation</b>									

<b>PBV</b>	<b>2014</b>	<b>2014 MTW Expenditure</b>	<b>2014 Voucher cost</b>	<b>2015</b>	<b>2015 MTW Expenditure</b>	<b>2015 Voucher cost</b>	<b>2016</b>	<b>2016 MTW Expenditure</b>	<b>2016 Voucher cost</b>
<b>Currently under HAP</b>			\$42,940,800.00			\$47,129,504.00			
<b>HANH overhead</b>			\$7,178,000.00			\$ 7,258,340.00			
<b>PreDevelopment Loans</b>					\$600,000				
<b>Shartenberg</b>									
<b>CUHO New Construction</b>									
<b>Brookside Phase I</b>									
<b>Brookside Phase II</b>									
<b>Brookside Homeownership</b>									
<b>Rowe</b>									
<b>QT3</b>									
<b>Mutual Housing</b>									
<b>122 Wilmot Road</b>									
<b>Rockview Phase I</b>	47		\$ 444,150.00						
<b>Rockview Phase II</b>									
<b>Downtown</b>	50		\$ 315,000.00						
<b>Dwight</b>									
<b>Farnam</b>				84	\$7,164,000.00	\$ 529,200.00			
<b>Ribicoff</b>				100	\$ 3,500,000.00	\$ 672,000.00			

<b>PBV</b>	<b>2014</b>	<b>2014 MTW Expenditure</b>	<b>2014 Voucher cost</b>	<b>2015</b>	<b>2015 MTW Expenditure</b>	<b>2015 Voucher cost</b>	<b>2016</b>	<b>2016 MTW Expenditure</b>	<b>2016 Voucher cost</b>
<b>Eastview/Chatham</b>		\$ 2,800,000.00		47		\$ 592,200.00			
<b>Cedar Hill</b>									
<b>Frank Nasti</b>									
<b>Essex RAD</b>		\$ 2,296,594.00							
<b>Crawford RAD</b>		\$ 723,704.00							
<b>Westville Manor RAD</b>									
<b>Scattered Sites RAD</b>									
<b>Working Family Initiative</b>				100		\$240,000.00			
<b>Working Young Adults Initiative</b>				100		\$240,000.00			
<b>Total PBV</b>	97	\$14,484,298.00	\$50,877,950.00	1009	\$ 10,664,000.00	\$56,661,244.00	0	0	0
<b>Number of Vouchers HANH would otherwise be able to issue for HCV based upon the use of MTW funds for redevelopment</b>									
<b>Percentage of Total Budget Authority</b>									
<b>Adjusted HCV Baseline</b>									
<b>Percentage of Allocation</b>									

## **Appendix 5**

**HOUSING AUTHORITY OF THE CITY OF NEW HAVEN**

**MOVING TO WORK SUFFICIENCY PROGRAM**

**RENT SIMPLIFICATION PROCEDURES FOR THE PUBLIC  
HOUSING PROGRAM**

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## **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 programs combined cannot 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 of 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 FSS 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.

Effective FY2015 (October 2014), HANH will be changing its definitions of elderly/disabled and work-able families. Under the policy change, an elderly/disabled family will be defined as one in which all adult members (excluding live-in attendants) are elderly and/or disabled. A work-able family will be one that doesn't meet the new elderly/disabled definition. Work-able households under the new definition will have reexaminations every two years (biennial schedule) and elderly/disabled households will have annual reexaminations every three years (triennial schedule).

HANH believes this new definition more closely matches the spirit of a "work-able" family since all work-able families would have at least one work-able adult. Under the prior definition, an elderly/disabled family only needed a head, co-head, or spouse to be elderly or disabled which led to some families with work-able adults being categorized as elderly/disabled. This change will also give HANH the ability to better track earnings and employment for work-able families; and the better population division will give HANH the flexibility to implement work-able specific rent policy changes in the future if it so chooses.

## 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.

<b>Tiered Amount of Expenses</b>	<b>Monthly Rent Reduction</b>
\$ 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 their 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. If the hardship exemption is determined to be temporary:**

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

- (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**

<b>Utility Allowance</b>						
<b>Income Range</b>						
\$0	\$2,499	\$50		\$36,500	\$37,499	\$867
\$2,500	\$3,499	\$59		\$37,500	\$38,499	\$891
\$3,500	\$4,499	\$83		\$38,500	\$39,499	\$914
\$4,500	\$5,499	\$107		\$39,500	\$40,499	\$938
\$5,500	\$6,499	\$131		\$40,500	\$41,499	\$962
\$6,500	\$7,499	\$154		\$41,500	\$42,499	\$986
\$7,500	\$8,499	\$178		\$42,500	\$43,499	\$1,009
\$8,500	\$9,499	\$202		\$43,500	\$44,499	\$1,033
\$9,500	\$10,499	\$226		\$44,500	\$45,499	\$1,057
\$10,500	\$11,499	\$249		\$45,500	\$46,499	\$1,081
\$11,500	\$12,499	\$273		\$46,500	\$47,499	\$1,104
\$12,500	\$13,499	\$297		\$47,500	\$48,499	\$1,128
\$13,500	\$14,499	\$321		\$48,500	\$49,449	\$1,152
\$14,500	\$15,499	\$344		\$49,500	Above	\$1,176
\$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				

## Hardship Waiver Policy and Guidelines

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.

### 1. 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.

## **2. 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.

## **3. 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.

## **4. 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:

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

- (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.

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

- (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.

**6. 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.

**7. 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.

# PUBLIC HOUSING RENT SIMPLIFICATION SUMMARY

## EXCEPTIONS TO LIPH REGULATIONS

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
Annual Income	24 CFR Part 5.609(a)(4)  5.609(c)(8)(x)1	Any income derived from an asset to which any member of the family has access  Adoption assistance payments for any child in excess of \$480.00 received.	Excludes asset from the determination of annual income to the extent the amount does not exceed \$50,000. All income earned by fulltime student will be excluded who is over 18. 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 <b>State or local employment training</b> 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 or local program will be expanded to include any qualifying <b>federal</b> 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 business; provided the business qualifies as a <b>resident owned business</b> 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.

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
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)

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
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; (a) 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 (b) When the family would be evicted because it is unable to pay the minimum rent (c) When the income of the family has decreased because of changed circumstances, including loss of employment.  Family whose shelter expenses, plus unreimbursed 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.

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Public Housing Program
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 <b>one</b> request for an <b>interim</b> 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.

**HOUSING AUTHORITY OF THE CITY OF NEW HAVEN**

**MOVING TO WORK SUFFICIENCY PROGRAM**

**RENT SIMPLIFICATION PROCEDURES FOR THE SECTION 8  
MTW VOUCHER PROGRAM**

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## **Moving to Work Voucher Program Rent Simplification**

HANH 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. **The Rent Simplification policies apply only to the Housing Choice Voucher (HCV) Program included under the agency's MTW Program. The Moderate Rehabilitation Program, Mainstream for Elderly, Welfare to Work and Enhanced Vouchers are not covered by these policies.**

### **Rent Simplification: Equity & Efficiency**

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

### **Everyone Should Contribute**

HANH 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 allowed an interim adjustment. The minimum rent will be increased from \$25.00 per month to \$50.00 per month for the HCV Program.

### **Fiscal Equity for HANH**

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.

### **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 for the Federal Housing Choice Voucher Program, Rent Simplification makes the job of recertifying tenants significantly easier.

### **Transition to Avoid Hardships**

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

## **ALTERNATIVE RENT STRUCTURE**

### **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.

### **Earned Income Disallowance**

**The Earned Income exclusion under Sec. 5.617** for Self-Sufficiency incentives for persons with disabilities who experience increases in annual income is eliminated. Moreover, family members over the age of 18 who enroll in HANH's Family Self Sufficiency (FSS) Program will have all **Incremental earnings** and benefits resulting to said family member from participation in qualifying Federal, State or City of New Haven employment training programs (including training programs not affiliated with a local government) and training of a family member while enrolled in the FSS Program excluded from determination of Annual Income so long as the family member is enrolled in the FSS Program.

### **Other Exclusions**

All adoption assistance payments will be excluded from income calculations under Section 5.609(c)(8)(v) 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 Exclusions**

The average annual income of our participants in the HCV Program is approximately \$15,700.00 and the median is \$12,900.00 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 earning 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) and excluded from the determination of Annual Income so long as the family member is enrolled in HANH's FSS Program.

Additionally, any incremental earning by any family member while enrolled in FFS Program will be excluded from the determination of Annual Income. After conclusion of 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 FSS Program.

There will no longer be a requirement that these increases in earnings be saved in 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 annually, HANH requests pay stubs covering the most recent four weeks of employment or a W-2 or 1099 within six months 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 years for elderly and disabled households. HANH spends on average three hours per annual reexamination. HANH must perform more than 3,500 HCV 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. During the first year all families will be recertified. This process will be phased in over a three-year period.

## Exceptional Expenses Deduction

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 will eliminate standard deductions for these amounts for elderly, disabled and non-elderly households.

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

The amounts of expense are set in \$1,000.00 tiers. This allows HANH to move away from verifying every last dollar. Tenants are not required to provide documentation of every dollar of expense; rather, tenants need only provide documentation sufficient to meet the appropriate tier.

The amount of monthly rent reduction is established at the mid-range of the tier.

Households with exceptional expenses will receive a direct reduction of the monthly rent. However, no tenant's rent will be reduced below a rent of \$50.00 as a result.

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

## Changes in Family Composition

Families will be required to report any changes to household composition at least once per year for only the categories of changes listed below. 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. This increase in rent does not count as an interim reexamination.

## Mandatory Interim Reexaminations Policy

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

- Change in family composition that affects the voucher size or bedroom size.
- The addition of a family member 18 years of age or older.
- Increase in family income of at least \$200.00 per month that is expected to last 30 days or more
- Addition of a live-in aid

**If HANH grants an exceptional deduction for any family and there is a subsequent change then the family must report that change to HANH.**

## Optional Interim Reexaminations Policy

Residents have the option to request three 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 30 days or more if it will result in a change in the family's income
- Increase in Exceptional Expenses that bring the total amount of these expenses equal or exceed \$2,000.
- Interim rents remain in place until the next scheduled reexamination or until the household experiences an increase in income equal to or greater than \$200.00 per month, whichever comes first. Households receiving an interim rent reduction must report any subsequent income increase to HANH within ten (10) days of occurrence. Failure to report the change within ten (10) days results in retroactive rent changes, and depending on the severity of the circumstances, lease termination. This increase in rent does not count as an interim reexamination.

Permanent loss of income (i.e., death of an income earner) results in a permanent, rather than interim, rent reduction. This decrease in rent does not count as an interim reexamination.

## Verification of Annual Income from Wages and Salaries and Assets

To reduce the administrative burden associated with the verification of income HANH will amend its Administrative Plan 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 shall be required as verification of said income.
- For earnings from wages and salaries in excess of \$5,000.00 pay stubs for the most recent 4 weeks of employment, or W-2 or 1099 within six months 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 (UIV).
- 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 only a self-certification of said assets shall be required.

## Income Tiered Total Tenant Payment (TTP) 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 and residents to move away from verifying every last dollar earned and deducted. **(See Exhibit A)**

**Currently, almost 58 percent of the families in the HCV Program pay 25 percent or more of Annual Income for TTP; approximately 18 percent pay between 20 and 25 percent of Annual Income for TTP; approximately 17 percent pay between 10 and 20 percent of Annual Income for TTP; and approximately 7 percent pay less than 10 percent of Annual Income for TTP.**

**Currently, the median TTP is \$251.00 per month. The median Housing Assistance Payment is \$725.00 per month. The median Tenant Rent (TTP minus utility allowance) to owner is \$121.00 per month. One of the goals of the Rent Simplification is that it be revenue neutral.**

Total Tenant Payment for HCV families shall be set at 28.5 percent of the lower range of each income band. For example, for a family with Annual Income between \$2,500.00 and \$3,499.00, the TTP rent will be calculated at 28.5 percent of \$2,500.00. Families with incomes below \$2,500.00 will pay the minimum rent of \$50.00. Families will be permitted to submit documentation for Additional or Excess Deductions where they have verifiable proof that total deductions as defined herein equal or exceed \$2,000.00

## Minimum Rents

**Families with annual income below \$2,500.00 will pay a rent of \$50.00.**

### Zero Income Households

Rents based on a claim of zero income are limited to ninety (90) days. After ninety (90) days, zero income rents expire and household rent reverts to \$50.00. Only one request for an interim rent based on zero income, except for disabled and elderly households, may be processed in any given twelve (12) month period. **This limitation on requests for an interim reexamination based on zero income does not apply to elderly or disabled households.**

**An exception to the restriction of applying for more than one zero income rent in a twelve (12) month period may be granted to families where at least one adult member enrolls in the HANH FSS program.**

Households are required to provide sufficient documentation in support of zero rent, including completion of a family budget sheet.

### 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 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 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.

### Hardship Review

The Hardship Review Committee was created to review individual cases of certain rent increases for families with extraordinary cost of living, childcare or medical expenses. The Committee shall consist of one representative from the **Executive Director's office, the Director of Operations or designee, the Service Center Director or designee and a member of the Family Self Sufficiency (FSS) team.** At the applicant's request, the Hardship Review Committee may include one Housing Choice resident.

Families with verifiable deductions that prior to Rent Simplification qualified as Mandatory Deductions under Section 5.611 (a), plus Tenant Rent to the owner and non-reimbursed utility expenses (except phone) that exceed 40 percent of Annual Income for the family may apply to the Hardship Committee for a Hardship exemption from the Minimum Rent. Expenses that may be included in determining if the family meets the 40 percent threshold include:

- (1) The sum of the following:
  - (i) Un-reimbursed medical expenses of any elderly family or disabled family;
  - (ii) Un-reimbursed reasonable attendant care and auxiliary apparatus expenses for each member of the family who is a person with disabilities, to the extent necessary to enable any member of the family (including the member who is a person with disabilities) to be employed. This deduction may not exceed the earned income received by family members who are 18 years of age or older and who are able to work because of such attendant care or auxiliary apparatus; and
  - (iii) Un-reimbursed child care expenses for children below 13.

The Hardship Review Committee will examine each family's circumstances on a case-by-case basis. The Hardship Review Committee has a choice of six remedies it can recommend (including permanent, family-specific rent caps) as it deems appropriate, to reduce a qualifying household's rent burden:

- Set rent at \$50.00 per month for a period of time not to exceed ninety (90) days or set a minimum rent as described in the zero income policy.
- Give an Exception Expenses deduction if prior mandatory deduction, plus tenant rent payment and un-reimbursed utility expenses exceed \$6,000.00.
- Set interim rent at Rent Simplification schedule rent closest to Pre-Rent Simplification rent for a period of time not to exceed ninety (90) days.
- Phase \$25.00 per month rent increase cap out over specified period of time beyond the 5-year remedy described above.
- Appropriate combination of remedies listed above.

If a family documents that it meets the 40 percent threshold the Hardship Committee shall be required to apply one of the above listed remedies. Moreover, the Hardship Committee shall require that all families, except elderly and disabled families, reapply to the Hardship Committee after the end of the ninety (90) day period for which the exemption is granted if the family wants the exemption to continue for more than ninety (90) days. Except for elderly and disabled families, all exemptions from the Minimum Rent shall be granted for only ninety (90) days.

Only one exemption from the Minimum Rent shall be granted in any twelve (12) month period.

There shall be no increases in monthly TTP resulting from the implementation of Rent Simplification during the first year a family becomes subject to this Rent Simplification Policy.

### **Rent Simplification Implementation - Housing Choice**

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

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 September 30, 2010.

### **SEMAP WAIVERS**

The SEMAP verification methods and ratings are set forth under 24 CFR Part 983. As a result of the Rent Simplification Plan many of these indicators will either no longer be relevant or the Authority and/or HUD will be unable to measure HANH's performance; therefore, HANH will request a waiver of the following SEMAP indicators beginning October 1, 2007.

- **Sec. 985.3(c). Determination of Adjusted Income.**  
Beginning October 1, 2007, Total Tenant Payment will be based Annual Income by income tiers. Additionally, HANH will no longer include assets of less than \$50,000 in the determination of Annual Income. There will no longer be any Mandatory Deductions; therefore, a waiver of this Section is required.
- **Section 985.3(j) Annual reexaminations.**  
This indicator shows whether the PHA completes a reexamination for each participating family at least every 12 months (24 CFR 5.617). A waiver of this indicator is required since HANH will no longer reexamine every family each year.
- **Section 985.3(m) Annual HQS Inspections.**  
This indicator shows whether the PHA inspects each unit under contract at least annually. (24 CFR 982.405(a)). HANH will no longer inspect every unit every year, but will instead inspect units every two years unless the unit's inspection history indicates a need for an annual inspection as set forth above; therefore a waiver of this indicator is required. HANH will no longer inspect every unit every year, but will instead inspect units every two years unless the first unit inspection conducted after the implementation of the Rent Simplification Process shows that the unit (1) is a failed inspection, or (2) the unit had a failed inspection in the past three years prior to the implementation of the Rent Simplification Policy. A unit must have three consecutive years without a failed inspection to qualify for the bi-annual inspection.
- **Section 985.3(n) Lease-Up.**  
This indicator shows whether the PHA enters HAP contracts for the number of units reserved under ACC for at least one year. Due to the funding fungibility under MTW, Section 8 funds are used according to the priorities set forth in the MTW Annual Plan.

## **ALTERNATIVE INSPECTION SCHEDULE**

HANH will no longer inspect each unit every year, but will instead inspect units every two years unless the unit's inspection history indicates a need for an annual inspection. The following is a list of reasons for HANH to conduct an annual inspection:

- Unit was cited for an emergency, health or safety violation in the prior year. If so, unit must be inspected annually and cannot have any such violations for at least three consecutive years.
- Unit failed inspection. If so, unit cannot have any failed inspections for at least two consecutive years.

## **Hardship Waiver Policy and Guidelines**

### **1. Hardship Policy:**

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).

### **2. Hardship Criteria:**

The following criteria will trigger a review for consideration of a Hardship Rent.

### Excess Deductions:

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

### Medical, Childcare Expenses, Elderly and Disabled Deduction, Disabled Attendant Care Allowance, and Dependent Deductions Greater than \$6,000.00:

In Housing Choice, hardship review may be conducted if a household's total un-reimbursed medical, disability, childcare 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.

### **3. Waiver Request Process:**

All waiver 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 Occupancy Specialist receives the required documentation, the information shall be forwarded to the Director of Operations or the Service Center Director, as applicable.

At the applicant's option, the Hardship Review Committee shall include a Housing Choice resident or voucher holder, as applicable.

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

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

### **4. Hardship Committee Remedies (Housing Choice):**

Depending on income, deductions and family circumstances the Committee may take action including, but not limited to:

- a. Set rent at \$50.00 per month for a period of time not to exceed ninety (90) days or set hardship rent below \$50.00 for a period not to exceed ninety (90) days. Head of households and other persons in household above 18 years of age must be referred to Family Self Sufficiency (FSS) for job or benefit counseling, except for persons above 62 years of age and persons with disabilities. (See other applicable exemption under the Community Services requirements).
- b. Give a deduction of \$6,000.00 or more

- c. Set interim rent at Rent Simplification schedule rent closest to Pre-Rent Simplification rent for a specified period of time.
- d. Phase \$25.00 per month rent increase cap after the second year of Rent Simplification out over specified period of time beyond the 5-year period specified above.

**ATTACHMENT C-1  
EXCEPTION TO HCV REGULATIONS**

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
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 assets, from the determination of annual income, to extent the amount does not exceed \$50,000. All income earned by a fulltime student will be 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 to any family member, received from participation in a qualifying <b>State or local employment training</b> program, (including training programs not affiliated with a local government); and training of a family member participating as resident management staff.	<p>Exclude 100 percent of any incremental earnings from wages or salaries earned by any family member, as long as the household is enrolled in the FSS Program. This will not exceed 5 years.</p> <p>Additionally, the current exclusion covering incremental earnings of any family participating in a state or local program will be expanded to include any qualifying <b>federal</b> program, whether or not the member is enrolled in the FSS program. . 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 exclusion thereafter. In no event shall the family receive the exclusion provided for under this subparagraph during the same period said family member is receiving a disregard from earned income (Earned Income Disregard) 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.</p>
Earned Income Disallowance for Persons with Disabilities	24 CFR Part 5.617(a)	<p>Incremental income earned by a previously unemployed disabled person in the 12 months prior to becoming employed, provided the increase in income is the result of;</p> <p>employment of a family member, previously unemployed for one or more years prior to employment;</p> <p>(2) increased earnings by a family member during participation in any economic self-sufficiency or other job training program; or</p> <p>(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.</p>	<p>HANH 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.</p>
Mandatory Deductions	24 CFR Part 5.611	<p>(1) \$480 for each dependent;</p> <p>(2) \$400 for any elderly family or disabled family;</p> <p>(3) The sum of the following, to the extent the sum exceeds three percent of annual income:</p> <p>(i) Un-reimbursed medical expenses of any elderly family or disabled family; and</p> <p>(ii) reimbursed reasonable attendant care and auxiliary apparatus expenses for each member of the family who is a person with disabilities</p> <p>(4) Any reasonable childcare expenses necessary to enable a member of the family to be employed or to further his or her education.</p>	Eliminate all mandatory deductions.

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
Additional (Exception) Expenses Deductions	24 CFR 5.611	None	Families with verifiable deductions that or exceed of \$2,000 will be allowed to request that these additional expenses be used in determining TTP. These verifiable deductions must equal or exceed \$2,000 and shall be the sum of: Mandatory Deductions determined in accordance with Section 5.611 (a), plus non-reimbursed utility expenses (except telephone).
Total Tenant Payment	24 CFR 5.628	Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (a) 30 percent of the family's monthly adjusted income; (b) 10 percent of the family's monthly income; (c) 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 (d) The minimum rent, as determined in accordance with Sec. 5.630.	TTP to 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	24 CFR 5.630(b)	A family may be exempt from minimum rent as follows: (i) When the family has lost eligibility or is waiting 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, including loss of employment.	A family whose shelter expenses, plus unreimbursed medical, childcare and disability expenses exceed 40 % of annual income or whose medical, childcare or disability expenses exceed \$6,000 annually may seek hardship.
Minimum Rent	24 CFR 5.630	\$25.00 for HCV. \$50.00 for LIPH	HCV increased from \$25.00 a month to \$50.00 a month so that LIPH and HCV have same minimum rent amount.
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. Tenant paid utilities to be deducted from TTP to determine tenant rent.
Medical Deductions	24 CFR 5.611(c)		No longer applicable unless they exceed applicable threshold.
Annual Reexamination of Income and Family Composition	24 CFR 982.516	Reexamination of income must occur every year, except every two years for elderly or disabled households.	Reexamination of family income will occur every three years for Elderly or Disabled families and every two years for all other families, instead of every year.  Reexamination of family composition will only occur if a family notifies HANH of a change in family composition since this will affect the determination of appropriate size unit. . Annual update of changes in family composition for persons 18 years of age and older that are added or subtracted from the family. HANH will do UIV and submit a 50058 annually.

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
Interim Reexamination	24 CFR 982.516	<p>A family may request an interim reexamination of family income for any changes since the last annual reexamination.</p> <p>HANH must conduct the interim reexamination within a reasonable time period after the family request. Currently, family must report any change in income that exceeds \$200 or more a month.</p>	<p>A family may request a maximum of three interim re-examinations within a 12-month period, with the exception of those conditions where they are required to report certain changes in family composition or certain changes in family income.</p> <p>A family, except for elderly or disabled, may only make <b>one</b> request for an <b>interim</b> for a hardship exemption each 12 months.</p>
Verification of Wages, Salaries and Assets below \$5,000 and Assets below \$50,000	24 CFR 5.659	<p>HANH 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:</p> <ol style="list-style-type: none"> <li>(1) Reported family annual income;</li> <li>(2) The value of assets;</li> <li>(3) Expenses related to deductions from annual income; and</li> <li>(4) Other factors that affect the determination of adjusted income.</li> </ol>	<p>Only a self-certification will be required for income up to and including \$5,000. For income above \$5,000 two most recent pay stubs or a W-2 or 1099 dated within 90 days of effective date of re-examination.</p> <p>HANH will continue to conduct EIV or UIV.</p>
Determination of Tenant Total Payment (TTP)	24 CFR 5.628	<p>Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar:</p> <ol style="list-style-type: none"> <li>(1) 30 percent of the family's monthly adjusted income;</li> <li>(2) 10 percent of the family's monthly income;</li> <li>(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</li> </ol>	<p>TTP based upon income-tiered approach. No family shall be subject to an increase in TTP greater than \$25.00 a month during the second year family is of the Rent Simplification Policy.</p> <p>The increase in TTP during the third year of the Rent Simplification Policy shall not exceed \$50 a month.</p> <p>The increase in TTP during the fourth year of the Rent Simplification Policy shall not exceed \$75 a month.</p> <p>The increase in TTP shall not exceed \$100 a month above the monthly TTP in the year immediately preceding the implementation of Rent Simplification Policy.</p> <p><b>These limitations on rent increase shall only apply to increases in TTP that result from the implementation of the Rent Simplification Policy and not rent increases that result from changes in family composition or changes in family income.</b></p>

Topic	Regulatory Provision	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
Annual Inspections	24 CFR Part 982.405(a)	HANH must inspect each unit annually during Section 8 assisted occupancy. 24 CFRP Part 982.405 (a) states that : The PHA must inspect the unit leased to a family prior to the initial term of the lease, at least annually during assisted occupancy, and at other times as needed, to determine if the unit meets the HQS. (See §982.305(b) (2) concerning timing of initial inspection by the PHA.)	HANH will no longer inspect every unit every year, but will instead inspect units every two years, unless the first unit inspection conducted after the implementation of the Rent Simplification Policy shows that the unit; (1) failed an inspection, or (2) the unit had a failed inspection in the three years prior to the implementation of the Rent Simplification Policy.  A unit must have three consecutive years without a failed inspection to qualify for the bi-annual inspection.  <b>Units for which landlords are requesting increases in HAP payment will also be inspected prior to HANH granting any such increase.</b>
Waiver of SEMAP Indicator	24 CFR Part 985.3(c).		<b>Determination of Adjusted Income.</b> Beginning October 1, 2007, Total Tenant Payment will be based Annual Income by income tiers. Additional, HANH will no longer include assets of less than \$50,000 in the determination of Annual Income. There will no longer be any Mandatory Deductions; therefore, a waiver of this Section is required by HUD.
Waiver of SEMAP Indicator	24 CFR Part 985.3(m)		<b>Annual HQS Inspections.</b> This indicator shows whether the PHA inspects each unit under contract at least annually. CFR 982.405(a). HANH will no longer inspect every unit every year, but will instead inspect a unit every two years unless the unit's inspection history indicates a need for an annual inspection as set forth above.
Waiver of SEMAP Indicator	24 CFR Part 985.3 (n)		<b>Lease-Up.</b> This indicator shows whether or not HANH enters HAP contracts for the number of units reserved under ACC for at least one year. HANH currently has a waiver of this provision and request that it be extended until September 30, 2008

Topic	Exceptions to HCV Program Regulations	Current Policy	Alternative MTW Policy for Housing Choice Voucher Program
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 assets, from the determination of annual income, to extent the amount does not exceed \$50,000. All income earned by a fulltime student will be 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 to any family member, received from participation in a qualifying <b>State or local employment training</b> program, (including training programs not affiliated with a local government); and training of a family member participating as resident management staff.	Exclude 100 percent of any incremental earnings from wages or salaries earned by any family member, as long as the household is enrolled in the FSS Program. This will not exceed 5 years.  Additionally, the current exclusion covering incremental earnings of any family participating in a state or local program will be expanded to include any qualifying <b>federal</b> program, whether or not the member is enrolled in the FSS program. . 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 exclusion thereafter
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.	During the first year of enrollment in the FSS program, exclude 100 percent of any net income derived from the operation of a business; provided the business qualifies as a <b>resident owned business</b> under 24 CFR Part 963.5. 50 percent exclusion during the second year; 25 percent exclusion the third year.
Earned Income Disallowance for Persons with Disabilities	24 CFR Part 5.617(a)	Incremental income earned by a previously unemployed disabled person in the 12 months prior to becoming employed, provided the increase in income is the result of;  employment of a family member, 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.	Eliminated since any family member that enrolls in the FSS program will have all incremental earnings excluded as long as the member remains in the FSS program.
Mandatory Deductions	24 CFR Part 5.611	<b>(1)</b> \$480 for each dependent; <b>(2)</b> \$400 for any elderly family or disabled family; <b>(3)</b> 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 <b>(4)</b> Any reasonable childcare expenses necessary to enable a member of the family to be employed or to further his or her education.	Eliminate all mandatory deductions.

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Waiver of SEMAP Indicator	24 CFR Part 985.3 (n)		<b>Lease-Up.</b> This indicator shows whether or not HANH enters HAP contracts for the number of units reserved under ACC for at least one year. HANH currently has a waiver of this provision and request that it be extended until September 30, 2008
Portability procedures	24 CFR Part 983.355 (c) (1)	HANH would like to have the ability to re-determine the eligibility of adult household members by performing a background check to ensure that family members do not have a criminal background.	

**Housing Choice Voucher (Section 8) Program**  
**Utility Allowance must be deducted in Accordance with Appropriate Utility Allowance Schedule**

<b>Utility Allowance</b>						
<b>Income Range</b>						
\$0	\$2,499	\$50		\$36,500	\$37,499	\$867
\$2,500	\$3,499	\$59		\$37,500	\$38,499	\$891
\$3,500	\$4,499	\$83		\$38,500	\$39,499	\$914
\$4,500	\$5,499	\$107		\$39,500	\$40,499	\$938
\$5,500	\$6,499	\$131		\$40,500	\$41,499	\$962
\$6,500	\$7,499	\$154		\$41,500	\$42,499	\$986
\$7,500	\$8,499	\$178		\$42,500	\$43,499	\$1,009
\$8,500	\$9,499	\$202		\$43,500	\$44,499	\$1,033
\$9,500	\$10,499	\$226		\$44,500	\$45,499	\$1,057
\$10,500	\$11,499	\$249		\$45,500	\$46,499	\$1,081
\$11,500	\$12,499	\$273		\$46,500	\$47,499	\$1,104
\$12,500	\$13,499	\$297		\$47,500	\$48,499	\$1,128
\$13,500	\$14,499	\$321		\$48,500	\$49,499	\$1,152
\$14,500	\$15,499	\$344		\$49,500	Above	\$1,176
\$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				

## **Appendix 6**

# **HOUSING AUTHORITY OF THE CITY OF NEW HAVEN**

## **HANH BELIEVES: YOUTH INITIATIVE!**

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## **Housing Authority of the City of New Haven Background**

### **From the Housing Authority of the City of New Haven to Elm City Communities**

The Housing Authority of the City of New Haven (HANH) was established in 1938 by the City of New Haven in response to the United States Housing Act of 1937. Elm Haven, HANH's first housing development, planned in 1939, was one of the earliest public housing projects in the nation, a forward-thinking trend that still exists within HANH's philosophy today.

Quinnipiac Terrace and Farnam Courts were subsequently completed in 1941. As wartime labor flooded into New Haven, these family developments were noted for their effective use of space in a city facing a housing crisis. Again, HANH had prepared for the future.

The post-World War II population increased the housing shortage and the Housing Authority was the leading builder of new units in the city, which included moderate-income housing at McConaughy Terrace, Brookside and Rockview developments. In the 1950s and '60s, ECC/HANH completed expansion construction at Elm Haven and Farnam Courts.

In 1989, Elm Haven was rebuilt as the Monterey Place neighborhood, and in 2001, HANH received HUD status as a Moving to Work (MTW) agency, one of fewer than 36 MTW agencies in the nation at that time. In 2003, HANH received a grant for the reconstruction of Quinnipiac Terrace, and has since completed significant work at West Rock and Eastview Terrace.

MTW has enabled HANH to renovate senior housing, increase its number of accessible units to accommodate the needs of New Haven residents with disabilities, and has transformed its public housing stock into housing of choice. MTW has enabled HANH to provide a robust self sufficiency program.

In 2009, the Housing Authority changed its name to "Elm City Communities" (ECC) to better capture the essence of that to which the Housing Authority of New Haven aspires: creating affordable, safe, decent neighborhoods with stability and positive opportunities for all our residents.

Today, Elm City Communities' developments and scattered sites provide affordable community living and quality of life services for more than 1,900 families comprising low- and middle-income households, families with children, seniors, disabled, young couples starting out, people in career transition and those saving to buy a home of their own. Since its inception, the Housing Authority of New Haven has continuously demonstrated its commitment to the people of New Haven with foresight, dedication and sensitivity.

## **Elm City Believes**

### **Placing a premium on youth**

Elm City Communities/Housing Authority of the City of New Haven's (ECC/HANH) mission is to provide, now and in the future, affordable communities of choice and opportunities for greater self-sufficiency for residents of the City of New Haven. In the spirit of its original creation, Elm City Communities continues to find new ways to serve the ever-changing needs of an ever-growing population.

As a MTW agency, we not only have the flexibility to pilot programs that support families ability to gain self-sufficiency, it is our responsibility as a MTW agency to demonstrate innovative policies and programs that support our mission as well as model in this effort for public housing authorities around the country.

We, at Elm City Communities, are proud of our accomplishments to date but know we must do more if we are to truly help the majority of our families become self-sufficient; it is not enough to simply help the adults within our households. We must support our youth and by placing a premium on our young people's success, we achieve the results public housing authorities across the nation seek—higher turnovers and a shrinking waitlist.

### **A youth initiative focused on academic achievement**

Elm City Believes is a new youth initiative that leverages smart housing policy and programs in order to advance academic outcomes for student residents so that we may see success among New Haven's young people through increased high-school graduation, postsecondary completion, and employment attainment. Launched as HANH Believes in April of 2014, Elm City Believes provides a cradle-to-career pipeline of learning resources for children and youth and sustains the notion that our children's success relies on supportive in-school and out-of-school experiences. Elm City Believes has the potential to stop the cycle of poverty among the families utilizing ECC/HANH and in so doing we have the opportunity to build a new, vibrant middle class in New Haven.

Elm City Believes is comprised of supports that expand upon the good work HANH has been doing as well as enhance what the nationally recognized New Haven Public Schools are doing. Programs are research-based and best practice supported as well as founded on feedback from HANH residents, HANH staff, and community stakeholders. As such, we focus our youth initiative on 1) academic supports and afterschool programming to reduce the achievement gap; 2) parent and family engagement in their children's education; and 3) increasing New Haven Promise<sup>2</sup> admittance and other programs that support post-secondary opportunities. In addition to the array of HANH-wide programs, HANH has school-specific partnerships that cater to individual student needs (e.g. Tutoring and small group homework help, whole-family wraparound evaluations and mental health supports, student attendance and engagement assistance).

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<sup>2</sup> New Haven Promise is a scholarship and support program for New Haven Public School students that reside in New Haven, which provides full tuition to any in-state public university or college: <http://newhavenpromise.org/>

## Why now?

Although some young people are able to rise above the circumstances of birth and family structure in order to advance academically, personally, and professionally, most do not without intensive supports from an array of service providers and caring, community based organizations.

**Students are not hopeful:** 46% students surveyed<sup>3</sup> lack hope for the future, reporting they feel stuck in their lives (32%) or discouraged about the future (14%).

**Students are not success-ready:** Only 33% of U.S. students surveyed<sup>4</sup> in grades 5 through 12 are success-ready, meaning students have hope<sup>5</sup>, are engaged<sup>6</sup>, and their well-being<sup>7</sup> is thriving—things that significantly relate to student performance and influence outcomes such as grades, credits earned, achievement scores, likelihood to stay in school, and future employment. The fact of the matter is that students in the U.S. become less engaged every year and we are in essence creating psychological dropout factories.

**Students are not workforce-ready:** Less than 30% of Americans (3 in 10)<sup>8</sup> feel high school graduates are prepared for college, and less than 20% (2 in 10)<sup>9</sup> of Americans feel graduates are ready to enter the labor force. Employers now rank reading and writing as top deficiencies in new hires—one in five U.S. workers reads at a lower skill level than their job requires;<sup>10</sup> written communications tops the list of applied skills found lacking in high school and college graduates alike.<sup>11</sup>

### **Poverty rate in New Haven is too high (population ≥ 25 years) <sup>12</sup>**

25.0% of residents that have less than a high school degree

10.8% of residents that have high school graduates

3.8% of residents that have bachelor's degree or higher

Connecticut saw a 50% increase in child poverty since 1990<sup>13</sup>

*The average earnings for a high school dropout is \$22,165*

*The average earnings for a high school graduate is \$33,137*

*The average earnings for a college graduate is \$55,722*

*42.2% of residents aged 25 years and over have a high school diploma / equivalent or less*

*The average earnings for a HANH family is \$14,091*

<sup>3</sup> 2013 Gallup poll of more than 600,000 students in grades 5 through 12 from school districts across the country

<sup>4</sup> Ibid.

<sup>5</sup> Student *hope* is defined by how students view their future. It's their belief that they can, and will, succeed at school and beyond.

<sup>6</sup> Student *engagement* is defined by the non-cognitive engagement—paying attention in class, how students feel, overall behavior, etc.

<sup>7</sup> Student *well-being* is defined by how students evaluate their lives and the extent to which they report positive daily experiences.

<sup>8</sup> 2013 Phi delta Kappa/Gallup poll

<sup>9</sup> 2013 Phi delta Kappa/Gallup poll

<sup>10</sup> <http://arts.gov/sites/default/files/ToRead.pdf>

<sup>11</sup> <http://arts.gov/sites/default/files/ToRead.pdf>

<sup>12</sup> [http://factfinder2.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS\\_12\\_5YR\\_S1701](http://factfinder2.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS_12_5YR_S1701).

<sup>13</sup> <http://datacenter.kidscount.org/data#CT>

## Framework: New Haven Housing Authority and New Haven public schools

HANH Believes School Partnerships	Leverage opportunities for HANH to Address Mutual Challenges and Concerns as Part of HANH Believes	HANH Interventions and Strategies	Indicators
<b>Common Ground High School</b>	<ul style="list-style-type: none"> <li>• Coordinate with school to identify child-level needs</li> <li>• Individualized case management for students and families</li> </ul>	<ul style="list-style-type: none"> <li>• Homework help and tutoring</li> <li>• Attendance assistance</li> <li>• Technology assistance</li> <li>• Whole-family evaluations</li> <li>• Mental health support for students and families</li> </ul>	<ul style="list-style-type: none"> <li>• Academic increase on state standardized tests</li> <li>• Decrease in Ds and Fs</li> <li>• School attendance increase</li> <li>• School discipline decrease</li> <li>• Number of students graduating</li> <li>• Number of students matriculating to college</li> <li>• Number of students graduating from college</li> </ul>
<b>Wintergreen Interdistrict Magnet School (WIMS), an ACES K-8 school</b>	<ul style="list-style-type: none"> <li>• Coordinate with school to identify child-level needs</li> <li>• Individualized case management for students and families</li> </ul>	<ul style="list-style-type: none"> <li>• Homework help and tutoring</li> <li>• Attendance assistance</li> <li>• Whole-family evaluations</li> <li>• Mental health support for students and families</li> </ul>	<ul style="list-style-type: none"> <li>• Academic increase on state standardized tests</li> <li>• School attendance increase</li> <li>• School discipline decrease</li> <li>• Number of students matriculating to 9<sup>th</sup> grade</li> </ul>
<b>Lincoln Bassett preK-6 School (Partnership w/ ConnCAT in discussion for SY 2015-16)</b>	<ul style="list-style-type: none"> <li>• Coordinate with school to identify child-level needs</li> <li>• Increased supports for students and families</li> </ul>	<ul style="list-style-type: none"> <li>• Homework help and tutoring</li> <li>• After school enrichment, Coding program for grades 5-6</li> <li>• Parent engagement</li> <li>• Parent supports</li> </ul>	<ul style="list-style-type: none"> <li>• Academic increase on state standardized tests</li> <li>• Number of students matriculating to 7<sup>th</sup> grade</li> </ul>

<b>New Haven Public Schools</b>	<ul style="list-style-type: none"> <li>• Coordinate with school to identify child-level needs</li> <li>• Increased enrollment in schools of choice</li> </ul>	<ul style="list-style-type: none"> <li>• Youth Stat</li> <li>• TBD</li> </ul>	<ul style="list-style-type: none"> <li>• TBD</li> </ul>
<b>Adult Education (In partnership w/ existing work and Project MORE in discussion for SY 2015-16)</b>	<ul style="list-style-type: none"> <li>• Coordinate with school to identify student-level needs</li> <li>• Coordinate with school to identify family-level needs</li> </ul>	<ul style="list-style-type: none"> <li>• Attendance assistance</li> <li>• Whole-family evaluations</li> <li>• Mental health support for students and families</li> <li>• Parent engagement</li> <li>• Parent supports</li> <li>• Family supports</li> </ul>	<ul style="list-style-type: none"> <li>• School attendance increase</li> <li>• Number of students age 17-30 receiving GED</li> <li>• Number of formerly incarcerated students age 17-30 completing GED</li> </ul>
<b>HANH Believes Programs</b>	<b>Leverage Opportunities that Addresses Challenges and Concerns as Part of HANH Believes</b>	<b>HANH interventions and Strategies</b>	<b>Indicators</b>
<b>Academic Supports and Afterschool Programming to Reduce Achievement Gap</b>	<ul style="list-style-type: none"> <li>• Partner or administer out-of-school enrichment programs to support achievement in identified academic areas of need</li> <li>• Use housing authority developments to support high quality out of school enrichment programs</li> <li>• Raise awareness among</li> </ul>	<ul style="list-style-type: none"> <li>• Dinner Pilot during standardized testing window <b>*AGR</b></li> <li>• After school program w/ ConnCAT: for 40 kids in Grades 5-8 <b>*AGR</b></li> <li>• After school program w/ Solar Youth: for 86 kids in Grades k-12 <b>*AGR</b></li> <li>• After school program w/ BGCNH: for 125 kids in Grades k-8 <b>*AGR</b></li> <li>• After school program w/ Leap for Kids: for</li> </ul>	<ul style="list-style-type: none"> <li>• Increase in student participation in community programs and improved quality of community programs</li> <li>• Percent of 12<sup>th</sup> graders receiving a high school diploma</li> <li>• Increase in 12<sup>th</sup> grade cohort</li> <li>• Academic increase on state standardized tests</li> <li>• Decrease in Ds and Fs</li> </ul>

	<p>parents about out-of-school academic programs</p> <ul style="list-style-type: none"> <li>• Leverage role as Housing Authority to drive quality programs</li> </ul>	<p>20 kids in Grades k-12 <b>*AGR</b></p> <ul style="list-style-type: none"> <li>• Nonprofit Evaluations <b>*AGR</b></li> <li>• Homework Clubs @ every site <b>*AGR</b></li> <li>• Computer Labs @ every site <b>*AGR</b></li> <li>• Middle College for remediation: Wilbur Cross, Coop, and NHA <b>*AGR</b></li> <li>• Technology for blended learning and flipped classrooms <b>*AGR</b></li> </ul>	<ul style="list-style-type: none"> <li>• School attendance increase</li> <li>• School discipline decrease</li> <li>• Number of students graduating</li> <li>• Number of students matriculating to college</li> <li>• Number of students graduating from college</li> </ul>
<p><b>Access to High-Quality Early Learning and High-Quality Childcare</b></p> <p><b>*HANH Believes Flagship Program*</b></p> <p><b><u>POINT:</u> Karen DuBois-Walton</b></p>	<ul style="list-style-type: none"> <li>• Leverage role as Housing Authority to encourage more youth to read, especially at an early age with parents</li> <li>• Leverage role as Housing Authority to advocate for the importance of high-quality early learning</li> <li>• Leverage role as Housing Authority to advocate for the importance of high-quality early childcare</li> <li>• Leverage role as Housing Authority to advocate and change policies that support parents and families w/ OEC</li> <li>• Leverage role as Housing Authority to advocate and change policies that support parents and families w/ DOT</li> </ul>	<ul style="list-style-type: none"> <li>• Summer Read Program <b>*AGR, PFE</b></li> <li>• Early learning and literacy campaign <b>*AGR, PFE</b></li> <li>• Regulation and/or legislation changes to Care 4 Kids <b>*AGR</b></li> <li>• Regulation and/or legislation changes to public transportation <b>*AGR</b></li> </ul>	<ul style="list-style-type: none"> <li>• Percent of 2-5 year olds that enroll in quality early learning programs</li> <li>• Percent of 2-5 year olds that complete quality early learning programs</li> <li>• Pre-K Oral Language assessment</li> <li>• Percent of students entering Kindergarten age-level expectations in all 6 areas: social-emotional, physical, cognitive, language, literacy, math</li> </ul>

<p><b>Parent and Family Engagement in Children's Education</b></p>	<ul style="list-style-type: none"> <li>• Organize formal and informal platforms for engaging families around the importance of education and academic opportunities for their children and parental engagement with the school system.</li> <li>• Demonstrate cultural competency and offer translation services to parents and families with limited English-speaking abilities</li> <li>• Educate parents on the importance of school and classroom stability</li> </ul>	<ul style="list-style-type: none"> <li>• Parent Support Network *PFE</li> <li>• Summer BBQs *PFE</li> <li>• Sports League *PFE</li> <li>• Parent workshops and trainings *PFE, AGR</li> <li>• Parent Ambassadors *PFE</li> <li>• Facts for Families *PFE</li> <li>• Text 4 Education * PFE, AGR</li> </ul>	<ul style="list-style-type: none"> <li>• Attendance of parents in school sponsored events and conferences</li> <li>• Stable numbers of Parent Ambassadors</li> <li>• Increase numbers of parents who attend workshops and/or trainings</li> <li>• Increase numbers of parents who have leadership opportunities around the city</li> <li>• Increase numbers of parents who have leadership opportunities within their child's school and influence on decision making at their school or district</li> </ul>
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<p><b>Student Attendance, Truancy, and Discipline</b></p> <p><b>*HANH Believes Flagship Program*</b></p> <p><b><u>POINT:</u> Sheila Allen-Bell</b></p>	<ul style="list-style-type: none"> <li>• Leverage role as Housing Authority to improve student attendance</li> <li>• Leverage role as Housing Authority to improve student truancy</li> <li>• Leverage role as Housing Authority to reduce student discipline</li> </ul>	<ul style="list-style-type: none"> <li>• Direct case management work w/ NHPS students through Youth Stat <b>*AGR, PFE</b></li> <li>• Direct case management work w/ identified HANH students attending NHPS <b>*AGR, PFE</b></li> <li>• Homework help <b>*AGR</b></li> <li>• Whole-family evaluations <b>*AGR, PFE</b></li> <li>• Mental health support for students and families <b>*AGR, PFE</b></li> </ul>	<ul style="list-style-type: none"> <li>• School attendance increase</li> <li>• School discipline decrease</li> <li>• Decrease in chronic absence, defined as missing 10% or more of the school year</li> <li>• Percent of K-5 students missing fewer than 10 days</li> <li>• Percent of 9<sup>th</sup> graders triggering early warning indicators (e.g., six or more absences and one or more course failures; one or more suspensions or expulsions)</li> </ul>
<p><b>New Haven Promise Informational Sessions and other Programs to Support Postsecondary Opportunities</b></p>	<ul style="list-style-type: none"> <li>• Offer support during academic transitions: middle to high; high to postsecondary; postsecondary to employment and self-sufficiency</li> <li>• Leverage role as Housing Authority to create postsecondary avenues</li> <li>• Leverage role as Housing Authority to provide adult relationships through youth employment</li> <li>• Leverage role as Housing Authority to celebrate youth</li> </ul>	<ul style="list-style-type: none"> <li>• NHP informational sessions for parents <b>*PSO, AGR, PFE</b></li> <li>• NHP informational sessions for students <b>*PSO, AGR</b></li> <li>• NHP applications for 8<sup>th</sup> graders <b>*PSO, AGR, PFE</b></li> <li>• PSAT and SAT supports <b>*PSO, AGR</b></li> <li>• HANH apprenticeship program <b>*PSO, AGR</b></li> <li>• Afterschool job shadow program <b>*PSO, AGR</b></li> <li>• Student Training and Employment Program (STEP) <b>*PSO, AGR</b></li> <li>• Graduation gift <b>*PSO, AGR, PFE</b></li> <li>• Youth Leadership Council (YLC) and STEP alumni group <b>*PSO, AGR</b></li> </ul>	<ul style="list-style-type: none"> <li>• Percent of eligible students that complete the New Haven Promise application</li> <li>• Percent of graduating college bound students that complete the FAFSA</li> <li>• Developmental assets data (savings)</li> <li>• Increase in percent of seniors that take the PSAT and SAT</li> <li>• Percent of students receiving New Haven Promise awards</li> </ul>

	<ul style="list-style-type: none"> <li>• Provide supports for completion of a postsecondary degree or credential</li> </ul>		<ul style="list-style-type: none"> <li>• Percent of graduates that enroll in postsecondary college or technical school</li> <li>• Percent of students at state universities, community colleges, and technical colleges enrolling in pre-college and/or remedial coursework</li> <li>• Percent of students continuing past the first year of postsecondary</li> <li>• Percent of students that graduate from 2- and 4-year colleges and universities</li> </ul>
<p><b>College Week</b></p> <p><b>*HANH Believes Flagship Program*</b></p> <p><b><u>POINT:</u> Emily Byrne</b></p>	<ul style="list-style-type: none"> <li>• Leverage role as Housing Authority to avail students of the fact that postsecondary is a viable option for after high school graduation</li> <li>• Offer support during academic transitions: middle to high; high to post-secondary; post-secondary to employment and self-sufficiency</li> <li>• Offer support during the winter break when school is not in session</li> </ul>	<ul style="list-style-type: none"> <li>• 5 days of intensive supports during winter break for grades 9-12 that is geared toward postsecondary <b>*PSO, AGR, PFE</b></li> <li>• Early years will be large groups; if there is more interest it will be separated into grade cohorts <b>*PSO, AGR, PFE</b></li> <li>• Student Ambassadors <b>*PSO, AGR</b></li> </ul>	<p>(Same as above)</p>

## System issues that need to be addressed

- MOUS, Data Sharing Agreements, Consent Forms, and FERPA
- Culture of high expectations and excellence at HANH
- Moving to Work status
- Start-up funds
- Financial sustainability
- Culture change among academic, community and stakeholder partners
- Sustainable social capital between schools and families

## Appendix 7

# HOUSING AUTHORITY OF THE CITY OF NEW HAVEN POLICIES FOR MIXED FINANCE DEVELOPMENTS

## **NON-MTW ACTIVITY**

### **Policy is entered in the plan to inform the public of Policies of Mixed Finance Developments.**

HANH/ELM CITY COMMUNITIES's public housing portfolio presently includes fifteen mixed finance developments: Monterey Place Phase 1, 2, 3, 4, 5 and 2R, Eastview Terrace Phase 1, William T. Rowe, Brookside Phase 1, Brookside Phase II, Rockview Phase 1 Rental, 122 Wilmot Road and Quinnipiac Terrace Phase 1, 2 and 3. The housing in all developments is owned and managed by private companies, according to management agreements, which have established their own policies for admissions and occupancy, according to the following guidelines:

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

The admissions and occupancy policies for the mixed finance developments must comply with HUD regulations and federal fair housing and civil rights requirements. The aforementioned mixed-finance developments have had their admissions and occupancy plans and policies set forth in previous MTW plans.

The West Rock Redevelopment consists of the Brookside Phase 1 Rental, Brookside Phase 2 Rental and Rockview developments. As such, pursuant to the MOA these units are subject to the Preferences indicated below, however, notwithstanding the method of selection for new admissions, the Owner is permitted to transfer families among and in between Brookside Phase 1, Brookside Phase 2 and Rockview Rental Phase 1; provided that such transfers are in accordance with the Transfer Procedures set forth in Priorities 1-6 below:

#### **1. Relocation due to modernization**

Where modernization activities will make units uninhabitable during construction, the Owner will require residents to relocate, either temporarily or permanently, and relocation options may include transfer to another PHA Assisted unit owned and managed by the Owner.

The relocation options of resident families will be specified in a Relocation Plan, and all Owner relocation activities will be conducted according to the requirements of the Uniform Relocation Act and implementing regulations. Resident families are entitled to all the rights specified in the URA and implementing regulations, including proper notice, offers of comparable units, and payment of certain relocation costs.

If a resident family refuses or has failed to relocate after 2 appropriate unit offers, provided that the Owner has complied with the requirements of the URA (and its implementing regulations, including requirements for proper notice, the Owner will begin lease termination proceedings against the family.

#### **2. Families occupying units with accessibility or other special features that are not needed by the occupant family**

The Owner has a limited number of accessible units with special features suited to persons with mobility-related disabilities. According to this ACOP, accessible units will be assigned first to current resident families or applicants in need of accessibility features. If there are no current residents nor applicants in need of the unit's accessibility features, the unit may be offered to another family that does not need that unit's accessibility features. However, as a condition of admission, the occupant family is required to consent to transfer to another appropriately-sized unit when/if the Owner has a resident or applicant in need of the unit's accessibility features. Families who are admitted to an accessible unit, but who do not require the unit's accessibility features, are required to sign a lease addendum to this effect. The Owner will maintain a list of households residing in accessible units but not needing their apartments' accessibility features, who will be required to transfer when the Owner has a resident or applicant in need of the apartment's accessibility features.

If an accessible unit (or unit with other special features) is occupied by a family that doesn't require the unit's accessibility features, when the Owner identifies that there is a need for the unit's accessibility features, the Owner will require the unit's occupant family to transfer to another, appropriately sized unit. The Owner will provide at least 30 days written notice that, when a unit of the proper size becomes available, the family will be expected to consent to a transfer.

Families required to transfer under this policy will be offered 1 comparable unit of the appropriate size for the household. If a family has rejected the unit offer, the Owner may begin lease termination proceedings against the family.

### **3. Emergency transfers due to un-inhabitability of unit**

The Owner will prioritize, and may require, transfers in cases where the resident's unit has been damaged by fire, flood, or other causes to such a degree that the unit is not habitable, provided the damage was not the result of an intentional act, carelessness, or negligence on the part of the resident or a member or guest of the resident's household.

The Owner may, at its discretion, permit continued occupancy and permit and prioritize a transfer in cases where the damages that resulted in the unit's un-inhabitability were a result of carelessness or negligence of the resident or a member or guest of the resident's household, provided that the resident has, in writing, accepted the responsibility for such damage and has agreed to make restitution to the Owner for the expense of repairing such damage.

### **4. Protection of victims and witnesses**

The Owner will authorize emergency transfers in cases where the Owner has received sufficient documented evidence of an emergency situation in which the family is subject to risk of violence and that a transfer to a different HANH public housing development will be effective in reducing the family's risk of threatened violence. Emergency transfers due to risk of violence may be provided in the following circumstances:

- Residents who are participants in a government-sponsored witness protection program.
- Residents who have been subjected to domestic violence.

Households who have provided documentation that indicates a reasonable probability of threatened violence due to fear of retaliation for witnessing an incident, or providing testimony in an eviction or criminal proceeding.

Residents who are victims of hate crimes.

Before considering an administrative transfer based on threats of violence, the Owner will require documentation that (1) there is a reasonable probability of violence, (2) the risk of violence is not due to the lease violations or other actions of family members, and (3) the family has taken any available actions to reduce its vulnerability to threats of violence (such as police involvement with documented reports, restraining orders, criminal trespass, etc.). In addition, the family must demonstrate that a transfer to another unit at the Brookside Phase 1 Community or HANH public housing unit or development will effectively reduce the family's risk of violence.

In cases in which the Owner determines that the risk of violence is valid (and sufficiently documented and that transfer to another public housing development will effectively end the threatened violence), and after approval by Owner the application will be forwarded to HANH for approval. HANH will prioritize this transfer to the next available unit of the appropriate size. HANH will also consider issuing a voucher on a case-by-case basis. The family is permitted to reject this unit and maintain its priority emergency transfer status only if:

- The resident provides evidence that the threatened violence would continue in this new site, or
- The offered unit does not have accessibility or other special features to accommodate a disability, which features were present in the resident's current apartment and/or were requested and approved through HANH's reasonable accommodations procedures.

Otherwise, if a family has requested an emergency transfer due to threats of violence but has rejected a unit offer that would address their emergency needs, the family will be removed from consideration as an emergency transfer and will be offered the opportunity to request a transfer based on good cause.

In cases in which HANH determines that there is a reasonable probability of violence that is sufficiently documented and that transfer to another public housing unit would not at all be effective in reducing the threat of violence, HANH may, at

its discretion, refuse to transfer a family and, instead, may offer the family a Section 8 voucher so that they could relocate in the private market. This is an exceptional measure, and HANH will grant a Section 8 voucher to families under these circumstances only when (a) it is clear that transfer to another public housing development would not reduce the family's vulnerability to documented threats of violence, (b) relocation into the private apartment market with a voucher may effectively reduce the family's vulnerability to documented threats of violence, and (c) the family has taken steps necessary to reduce the family's vulnerability to threatened violence, including police reports, restraining orders, criminal trespass procedures, etc.

## 5. Under-housed or over-housed.

The Owner may initiate or require transfers of households who are under-housed by a degree of 2 bedrooms, or who are over-housed, according to the Owner's occupancy standards.

At the Brookside Phase 1 Community, the household is over or under-housed by a degree of two bedrooms. Over and under housed transfers by a degree of one bedroom shall also be considered on a case by case basis for reasons of good cause. Transfers to larger units may be approved only when the family size has increased through birth, marriage, legal adoption, award of custody (permanent or temporary custody greater than six (6) months), reconciliation of separated co-heads, return of a minor to legal custody of the household, or for approved medical or disability purposes.

If the Owner determines a resident family is over or under housed, the Owner will inform the resident in writing that when a unit of proper size becomes available, the Resident will have to move.. The resident will receive at least 30 days notice of the date by which the transfer must be complete.

## 6. Emergency Transfers

HANH may permit or require a transfer in emergencies, such as severe medical needs, upon approval of the Executive Director or her designee.

CARES – Brookside Phase II and Rockview Phase 1 Rental – the following preferences was approved by the HANH/ELM CITY COMMUNITIES Board of Commissioners via Resolution # 11-225/11-R and Resolution # 01-02/13-S respectively: The following modifications will be made to the HANH/ELM CITY COMMUNITIES ACOP specific to the Brookside Phase 2 and Rockview Phase 1 Rental Mixed Finance Development:

- An admission preference for "working families" for all PBV units;
- An admission preference for former and current West Rock residents for all ACC units will apply pursuant to the agreement between the Tenant Resident Council ("TRC") for West Rock and the Developer and is as follows:
  - **First preference** –all residents of Brookside at the time of the execution of the Memorandum of Agreement (MOA) (7/17/1999) between TRCs of West Rock and HANH/ELM CITY COMMUNITIES by order of when people initially moved into the development,
  - **Second preference**—all residents of Rockview at the time of the execution of the MOA between TRCs of West Rock and HANH/ELM CITY COMMUNITIES,
  - **Third preference**—all residents of Westville Manor or Ribicoff\_Cottages at the time of the execution of the MOA between TRCs of West Rock and HANH/ELM CITY COMMUNITIES,
  - **Fourth preference**—applicants in accordance with all other preference set forth in the ACOP.
- In accordance with the MOA, all relocated residents that are in "good standing" as defined in the ACOP will be permitted to exercise their right to return.

- Accessible vacant units shall be offered first to former residents of West Rock with a disability that qualifies them for the units, in order of the preferences, then to families on the Authority's transfer waiting list, then to families on the Authority's accessible waiting list.
- Returning residents that voluntarily accept a PBV unit will be provided with same transfer rights as other ACC residents.
- In the event of a conflict between the Declaration of Restrictive Covenants, the Regulatory and Operating Agreement, the Mixed Finance ACC Amendment any deal-specific management documents and this ACOP those documents shall control. Provided however that in all events notwithstanding anything in this addendum to the contrary the applicable public housing requirements shall control.
- Income tiering in accordance with the ACOP such that 100 percent of the public housing units shall be rented to households with annual income at or below 30 percent of area median income.
- Rent determination for returning families will continue to be done in accordance with HANH/ELM CITY COMMUNITIES's Rent Simplification Policies under HANH/ELM CITY COMMUNITIES's Alternative Rent Determination Policy.
- Rent determination for all new admissions shall be done in accordance with HUD regulations at 24 CFR Part 5.
- Flat Rent determination for new families shall be done annually.
- CARES (Caring About Resident Economic Self-Sufficiency) as further defined in Exhibit C attached hereto.
- Definition of "Tenant in Good Standing" for "returning residents" who have preference are as follows (i) HANH/ELM CITY COMMUNITIES deems a household not to be in good standing if HANH/ELM CITY COMMUNITIES has taken legal action against the household and has obtained an execution for possession, allowing it to evict the household. At this stage of the legal process, all rights to cure the lease violation have been exhausted, and so have the appeals processes through both the Housing Court and the Housing Authority's internal grievance procedure; (ii) Households which have reached court-stipulated agreements with the Housing Authority to cure lease violations (such as nonpayment of rent) are considered to be in good standing as long as they abide by the terms of the stipulated agreement; (iii) Households which have received a pre-termination notice or notice to quit or are at any subsequent stage of eviction process are still considered to be in "good standing" for the purposes of the MOA until they have "exhausted all rights to cure and appeals", this means that households under eviction remain in good standing until HANH/ELM CITY COMMUNITIES obtains an execution for eviction.

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

#### THE PREFERENCE SYSTEM

- a) An Admission preference does not guarantee admission.
- b) Preferences establish the order of applicants on the waiting list.
- c) Every applicant must still meet the Wilmot Crossing at West Rock's Selection Criteria as set forth in the ACOP before being offered an apartment.
- d) Verification must be submitted in order to be given a preference.
- e) Preferences will be granted to applicants who are otherwise qualified and who, at the time of the offer (prior to execution of a lease), have the oldest application date on the waiting list for the size and type of unit sought.
- f) An admission preference for the thirteen (13) Project Based Section 8 (PBV) units are set forth below:
  - a. The thirteen (13) PBV units are designed Elderly Only.
    - i. Preference for these 13 PBV units are as follows:
      1. First preference – all residents of Brookside at the time of the execution of the Memorandum of Agreement (MOA) (7/17/1999) between TRCs of West Rock and HANH/ELM CITY COMMUNITIES by order of when people initially moved into the development;

2. Second preference - all residents of Rockview at the time of the execution of the MOA between TRCs of West Rock and HANH/ELM CITY COMMUNITIES;
  3. Third preference - all residents of Westville Manor or Ribicoff Cottages at the time of the execution of the MOA between TRCs of West Rock and HANH/ELM CITY COMMUNITIES;
  4. Fourth preference - applicants in accordance with all other preference set forth in the ACOP.
- g) Within the aforementioned preferences, the following preferences will prevail:
    - a. Displaced Persons as defined under Section II Housing Glossary Terms of the ACOP.
    - b. Documented victims of domestic violence, dating violence or stalking.
    - c. Local preference based on Income Targeting 24 CFR 960.202. The Owner and HANH/ELM CITY COMMUNITIES have agreed pursuant to the Regulatory and Operating Agreement.
  - h) Accessible vacant units shall be offered first to former residents of West Rock with a disability that qualifies them for the units, in order of the preferences, then to a family on the Authority's transfer waiting list, then to the Authority's accessible waiting list.
  - i) Returning residents that voluntarily accept a PBV unit will be provided with same transfer rights as other ACC residents.
  - j) In the event of a conflict between the Declaration of Restrictive Covenants, the Regulatory and Operating Agreement, the Mixed Finance ACC Amendment, any deal-specific management documents and this ACOP, those documents shall control. Provided however, that in all events notwithstanding anything in this addendum to the contrary, the applicable public housing requirements shall control.
  - k) Income tiering in accordance with the ACOP such that 100% percent of the public housing units shall be rented to households with annual income at or below 30 percent of area median income and that public housing units shall be leased to families with income above 30 percent of the area median income if households below 30% area median income are not available and eligible for occupancy so that vacant units are not unoccupied.
  - l) Rent determination for returning families will continue to be done in accordance with HANH/ELM CITY COMMUNITIES's Rent Simplification Policies under HANH/ELM CITY COMMUNITIES's Alternative Rent Determination Policy.
  - m) Rent determination for all new admissions shall be done in accordance with HUD regulations at 24 CFR Part 5.
  - n) Flat Rent determination for new families shall be done annually.

## Appendix 8

# **Significant Amendments to 2014 MTW Plan as Required Under the Rental Assistance Demonstration Program for 60 Day Milestone**

## Significant Amendments to 2014 MTW Plan as Required Under the Rental Assistance Demonstration Program for 60 Day Milestone

Rental Assistance Demonstration (RAD) authorized by the Consolidated and Further Continuing Appropriations Act, allows for the conversion of assistance under the public housing, Rent Supplement, Rental Assistance (RAD), and Moderate Rehabilitation (Mod Rehab) programs to long term, renewable assistance under Section 8. As provided in the Federal Register notice that HUD published on March 8, 2012, at 77 FR 14029, RAD has two separate components. RAD allows projects funded under the public housing and Mod Rehab programs to convert to long term Section 8 rental assistance contracts.

HANH/ELM CITY COMMUNITIES applied for and received a RAD assistance portfolio award to convert Essex Townhouses, Westville Manor, Crawford Manor, Farnam Courts, Ribicoff Cottages and Ribicoff Cottages Extension, Townhomes at Eastview Terrace, 122 Wilmont Crossing, McConaughy Terrace, McQueeney Towers, Fairmont Heights, Ruoppolo Manor and Winslow Celentano, during FY2013. Approvals were received for Essex Townhouses and Crawford Manor during FY2013. HANH received approval for the remaining developments on January 29, 2014 for aggregate total of 1330 RAD units. It is anticipated that HANH/ELM CITY COMMUNITIES will apply for 4% bonds from the State of Connecticut during FY15 and FY2016 and will apply for 9% Low Income Housing Tax Credit during FY2015 and FY 2016, as well . ELM City Communities is working with the RAD offices around its portfolio award and as such, during FY2016, it is anticipated that HANH/Elm City Communities will submit applications for RAD conversions for Essex Townhouses, Crawford Manor, C.B. Motley, Chamberlain and Fulton Park, Katherine Harvey, McConaughy Terrace, Newhall Gardens, Prescott Bush, and Robert T. Wolfe. HANH intends to submit RAD applications within 365 days of issuance of the Portfolio Award Letter as required by HUD.

HANH has received four CHAPs for dated January 29, 2014 for the following developments:

- PIC Development CT004000074 Town Homes at Eastview Terrace
- PIC Development CT004000078 Wilmont Crossing
- PIC Development CT004000003 Ribicoff Cottages
- PIC Development CT004000014 Farnam Courts

Within 60 days of the CHAP issuance, PHAs must submit:

- The significant amendment to its Annual/Five Year Plan. See section 1.5E and Attachment 1D of the RAD Notice.
- The PHA's decision whether the project will convert its assistance to PBV or to PBRA. For conversions to PBV, where the PHA does not administer a Housing Choice Voucher program, the PHA must submit a signed letter from a voucher agency evidencing their willingness to administer the PBVs.

The information set forth below are the items that must be covered in a PHAs Significant Amendment request or MTW's revision to the MTW plan:

### 1. Description of the Units to be Converted

During FY2014, HANH/Elm City Communities received notice on January 29, 2014 of its award of a RAD for Ribicoff Cottages and Ribicoff Cottages Extensions. Below, pursuant to

Attachment 1D: Requirements for RAD-Specific Significant Amendment submissions are the details concerning Ribicoff Cottages and Extension, Farnam Courts and Wilmot Crossing and Eastview Terrace. It is anticipated that Farnam Courts will be separated into up to four separate CHAPs as set forth below. It should also be noted that Ribicoff Cottages, a 4 Percent Low Income Tax Credit component and a 9 Percent LIHTC component, was converted during FY 2015.

The following units will be converted under the RAD Portfolio Award:

A Description of Units to Be Converted								
Development Name	Type	0	1 Bedroom	2 Bedroom	3 Bedroom	4 Bedroom	5 Bedroom	Total Bedroom
Ribicoff Cottages and Extension	Elderly/Disabled	16	84					100
Farnam Courts	Family		7	134	71	23		235
Eastview Terrace	Family		19	31	3			53
Wilmot Crossing	Elderly/Disabled		32	2				34
Essex Townhouses	Family			14	13	8		35
Crawford Manor	Elderly/Disabled	50	54	5				109
Westville Manor	Family			33	67	26	16	142
McConaughy Terrace	Family			161	30	7		198
C.B. Motley	Elderly/Disabled	8	37					45
Katherine Harvey	Elderly	0	16					16
Chamberlain/Fulton Park	Family				15	4		19
Newhall Gardens	Elderly		26					26
Prescott Bush	Elderly	22	27	7				56
Robert T. Wolfe	Elderly/Disabled	77	14	2				93
Total		173	316	389	199	6864	16	1,161

## 2. Any Changes in the Number of Units That Is Proposed as Part of the Conversion

The table below set forth the proposed changes in the number of units that is being proposed as part of the conversion. The chart also shows the proposed changes in the bedroom distribution for each RAD project in the Portfolio Award. Note that all of housing types for all the RAD projects will remain unchanged with the exception of Ribicoff Cottages and Extension. Ribicoff Cottages and Extension is currently an Elderly/Disabled Development. After conversion it will be both Family and Elderly/Disabled. . There will be 95 RAD units after conversion at Ribicoff Cottages and Extensions: 55 will be Family units and 40 will be Elderly/Disabled units. The de minimis unit reductions are listed in the table below as well.

Proposed Changes in Number of Units											
Development Name	Census Tract	Type	0	1 Bedroom	2 Bedroom	3 Bedroom	4 Bedroom	5 Bedroom	Total	Transfer of Assistance at Time of Conversion	Deminimis Reduction
Ribicoff Cottages and Extension	1413	Family			28	7	3		38		5
Ribicoff Cottages and Extension	1413	Elderly/Disabled		50	7				57		
Farnam Courts Phase 1 On –Site	1421	Family		23	52	6	3		84		7
Fair Haven Farnam Court Phase 1 Offsite	1426.03 1425	Family			27	28	2		57	X	
Farnam Phase 2 On Site	1421	Family			49	31	7		87		4

**Proposed Changes in Number of Units**

Development Name	Census Tract	Type	0	1 Bedroom	2 Bedroom	3 Bedroom	4 Bedroom	5 Bedroom	Total	Transfer of Assistance at Time of Conversion	Deminimis Reduction
Eastview Terrace	1425.03	Family		19	31	3			53		
Wilmot Crossing	1413	Elderly/ Disabled		32	2				34		
Essex Town Houses	1426.01	Family		14	13	8			35		
Crawford Manor	1409	Elderly/ Disabled	50	54	5				109		6
Westville Manor	1413	Family			33	67	26	16	134		8
McConaughy Terrace	1412	Family			161	30	7		189		9
C.B. Motley	1415	Elderly	8	37					45		
Katherine Harvey	1403	Elderly	0	16					16		
Chamberlain/Fulton Park	1427	Family				15	4		19		
Newhall Gardens	1415	Elderly		26					26		
Prescott Bush	1416	Elderly	22	27	7				56		
Robert T. Wolfe	1402	Elderly/ Disabled	77	14	2				23		5
<b>Total</b>			<b>157</b>	<b>312</b>	<b>417</b>	<b>195</b>	<b>52</b>	<b>16</b>	<b>1,062</b>		

3. Changes in Policies that Govern Eligibility, Admission, Selection and the Occupancy of Units After Conversions

a. Ribicoff Cottages and Extensions

HANH/Elm City Communities is changing the waiting list policy to coincide with the Memorandum of Agreement between the HANH/Elm City Communities and the TRC's for Brookside Avenue, Ribicoff Cottages, Rockview Circle and Westville Manor, Section VII. Rehousing Guarantee, VII.A. Guaranteed Right to Return.... "Residents will be provided a signed, written agreement from HANH which guarantees a Right of Return to a Suitable Unit in Revitalized West Rock..... In addition, these residents will continue to be governed by the HANH/Elm City Communities Admission and Continued Occupancy Policy (ACOP) as public housing residents. First preference is given to the 1999 residents of Ribicoff followed by the current residents of Ribicoff based on the date of their move in, followed by the remaining residents of West Rock who were tenants during 1999. Accessible units will be assigned based off the accessible waitlist first. This conversion occurred in FY 2015.

b. Farnam Courts

Farnam Courts will consist of at least two on-site and two off-site phases. HANH/Elm City Communities is changing the waiting list policy to coincide with the Memorandum of Agreement between the HANH/Elm City Communities and the TRC's for Farnam Courts. Under the MOA existing Residents will be provided a signed, written agreement from HANH which guarantees a Right of Return to a Suitable Unit in the Revitalized Farnam Court. In addition, these residents will continue to be governed by the HANH/Elm City Communities Admission and Continued Occupancy Policy (ACOP) as public housing residents. First preference is given to existing residents of Farnam at the time of the General Information Notice followed by the families on the Farnam Court site based waiting list until said list shall have been exhausted. The preference in the existing HANH ACOP covering Farnam Court will only be changed to permit existing residents to have

first preference for the revitalized on site and off site developments. Accessible units will be assigned first to return families with need for said UFAS units and after that to families off the HANH accessible waitlist. For the assistance that will be transferred off-site, the existing Farnam Courts site based waiting list shall be used. Families displaced as a result of the Farnam Courts Redevelopment will be given preference off this list in accordance with the date they moved into Farnam Courts, with the exception that the UFAS accessible units at these properties will be offered first to returning families needing these accessible features then to other families on HANH's Accessible Waiting List.

c. Town Homes at Eastview Terrace

The Eastview Terrace LLC is the owner of this Low Income Housing Tax Credit Property. All fifty-three (53) RAD units are covered by Section 42 of the Internal Revenue Code as well the Regulatory and Operating Agreement that govern occupancy along with the Eastview Terrace Mixed Income ACOP. There will be no changes in the occupancy policy as result of converting these 53 units to RAD. This conversion occurred in FY 2015.

d. Wilmont Crossings

The Glendower Wilmot Road Residential LLC is the owner of this Low Income Housing Tax Credit Property. All thirty-four (34) RAD units are covered by Section 42 of the Internal Revenue Code as well as the Regulatory and Operating Agreement that govern occupancy along with the Wilmont Crossing Mixed Income ACOP. There will be no changes in the occupancy policy as result of converting these 34 units to RAD. This conversion occurred in FY 2015.

4. Transfer of Assistance at time of Conversion

The only RAD project where there will be a transfer of assistance is the Farnam Courts RAD project. Up to one hundred forty-eight (148) of the 228 RAD, PBVs will be transferred to other properties as shown in the table above.

5. Indication of Compliance with Voluntary Compliance Agreement

July 9, 2007, HANH entered a Voluntary Compliance Agreement (VCA) regarding complying with federal and state accessible standards. Compliance with the VCA will not be negatively impacted by the conversion activities.

6. All Other Required Information

HANH will post the revisions to the MTW Annual Plan as required by HANH's Amended and Restated Moving to Work Agreement. HANH will include all comments received and addressed prior to finalizing these Significant Amendments.

7. MTW Fungibility

HANH will use its MTW Fungibility to provide assistance for two (2) RAD projects; Farnam Courts, 228 units; Ribicoff Cottages and Extensions, 95 units. We estimate that the average assistance per unit will be \$400.00 for a total monthly assistance of \$129,200.00. With an average estimated voucher payment of \$ 980.00 per month/per family providing assistance to the 323 RAD units would be the equivalent of 132 vouchers. HANH's baseline number of units for which it must maintain service is 4,827 units. Currently, HANH serves 5,436 units; therefore, using our fungibility to assist these RAD units will not negatively impact our ability to meet our continuing service level requirements.

8. In accordance with 24 CFR Part 903

As part of the Public Notice informing the public of these Significant Amendments, HANH will include language specifying the reduction of Capital Fund Budget grants as a result of converting the ACC units to RAD.

- a. Current Capital Fund Grant associated with: Ribicoff Cottages Ribicoff Cottages Extensions. As the 2014 CFP budget was just released, the estimated Capital Fund Grant associated with Ribicoff Cottages and Extensions is \$127,927.26. Please note that the HUD has not provided HANH with a detailed breakdown of CFP by Project.
  - a.1. Current Capital Fund Grant associated with: Farnam Courts CFP for 2014 is estimated at \$305,746.15.

- b. The RAD conversion will impact an existing CFFP to facilitate the conversion because the Bond Indenture for the Brookside Phase 1 CFFP Bonds requires that the amount of units of the HANH not fall below 5% of the baseline units. Based upon the conversion schedule, HANH estimates that it will fall below the 5% threshold in 2016, and, therefore, HANH will need to defease enough of the Brookside Phase 1 CFFP Bonds to cover the amount of debt associated with the number of units below the 5% baseline.