



Making a Difference...

2017 MOVING TO WORK ANNUAL PLAN

SUBMITTED: July 14, 2016
RESUBMITTED: December 6, 2016



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



www.facebook.com/ElmCityCommunities



@ECCommunities

Mayor
Toni Harp

Board of Commissioners
Erik Clemons, Chairman
Matthew Short, Commissioner
Waleska Candelaria, Commissioner
William Kilpatrick, Commissioner

Executive Director
Karen DuBois-Walton, Ph.D.

Table of Contents

| | | |
|------|--|-----|
| I. | Introduction | 4 |
| A. | Short Term Goals..... | 6 |
| B. | Long Term Goals | 8 |
| II. | General Housing Authority Operating Information | 14 |
| III. | Proposed MTW Activities | 36 |
| IV. | Approved MTW Activities..... | 37 |
| V. | Sources and Uses of Funds..... | 75 |
| VI. | Administrative | 88 |
| VII. | Appendices | |
| | Appendix 1: ECC/HANH/ Elm City Communities’ Alternate TDCs | 135 |
| | Appendix 2: Local Asset Based Management | 137 |
| | Appendix 3: CARES Pilot Program | 138 |
| | Appendix 4: Expenditure vs Voucher Cost | 148 |
| | Appendix 5: Rent Simplification..... | 150 |
| | Appendix 6: ECC/HANH Believes Youth Initiative | 187 |
| | Appendix 7: Significant Amendments to 2014 Plan as Required Under the Rental Assistance Demonstration Program for 60 Day Milestone..... | 198 |

I. Introduction

In 2001, the Housing Authority of the City of New Haven (ECC/HANH/ELM CITY COMMUNITIES) was awarded Moving to Work (MTW) status as part of the federal MTW Demonstration Program. ECC/HANH/ELM CITY COMMUNITIES is one of thirty-nine housing authorities nationwide selected for participation in the MTW Demonstration Program. During ECC/HANH/ELM CITY COMMUNITIES's MTW term, in lieu of the standard PHA Annual Plan and Five-Year Plan documents, ECC/HANH/ELM CITY COMMUNITIES is required to develop and submit to HUD MTW Annual Plans that articulate ECC/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 ECC/HANH/ELM CITY COMMUNITIES's MTW Agreement.

This MTW Annual Plan states ECC/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 2017 (October 1, 2016 to September 30, 2017).

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. ECC/HANH/ELM CITY COMMUNITIES has elected exemption from PHAS and SEMAP reporting.

ECC/HANH/ELM CITY COMMUNITIES's MTW program and flexibility includes, and is limited to, the following HUD programs: ECC/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, ECC/HANH/ELM CITY COMMUNITIES's MTW program does *not* include HUD grant funds committed to specific grant purposes, namely: ECC/HANH/ELM CITY COMMUNITIES's HOPE VI grants for Monterey Place, ECC/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 ECC/HANH/ELM CITY COMMUNITIES to provide periodic reports to HUD. Although these grant funded programs are not included in ECC/HANH/ELM CITY COMMUNITIES's MTW program, ECC/HANH/ELM CITY COMMUNITIES has included information, where relevant, regarding these grant funded programs in this MTW Annual Plan for FY 2017.

ECC/HANH/ELM CITY COMMUNITIES's original MTW Agreement with HUD became effective retroactively to October 1, 2000. The initial seven-year term of ECC/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. ECC/HANH/ELM CITY COMMUNITIES executed the Amended and Restated Moving to Work Agreement on May 2, 2008. The Amended and Restated MTW Agreement governs ECC/HANH/ELM CITY COMMUNITIES's MTW status through 2018. ECC/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 ECC/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.

ECC/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, ECC/HANH/ELM CITY COMMUNITIES has executed the Second Amendment to its Restated and Amended Moving to Work Agreement with HUD which clarifies such authority.

On April 15, 2016 HUD communicated its intention to extend MTW agreements for an additional 10 years beyond the current extension date or until 2028.

ECC/HANH/ELM CITY COMMUNITIES's MTW program is the product of an extensive planning process, conducted initially from 1998-2000, to establish long-term plans for improving our agency's operations and for transforming our public housing stock. During 2006-2007, ECC/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, ECC/HANH/ELM CITY COMMUNITIES developed a Three-Year Strategic Plan for FYs 2007-2009. During 2009-2010, ECC/HANH/ELM CITY COMMUNITIES again engaged in a planning process to re-evaluate and provide continuity to the original Three-Year Strategic plan. In 2015 ECC/HANH/ELM CITY COMMUNITIES updated its strategic plan and issued the Strategic Plan for 2015-2018.

The MTW planning process provides the agency with a mechanism for updating its long-term strategy on an annual basis by enabling ECC/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 2017. The 2017 Annual MTW Plan sets forth a short and 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 plan is focused on the operational sustainability and capacity of the agency to meet the needs of the present day and be positioned to succeed over the long-term.

ECC/HANH/ELM CITY COMMUNITIES's 2017 MTW Annual Plan was made available for public review on May 1, 2016 and a public hearing was held on May 31, 2016. On June 21, 2016, the Board of Commissioners passed Resolution 06-56/16-R approving the 2017 MTW Annual Plan.

A. Short Term Strategic Plan

| MTW Goal | Description of Short Term Strategic Plan |
|---|--|
| 1. Ensure Organizational Sustainability | <ul style="list-style-type: none"> • Create a new organizational structure <ul style="list-style-type: none"> ◦ Elm City Communities will become the parent organization to several affiliated non-profits ◦ Launch property management entity ◦ Launch social services entity ◦ Create structures across all affiliates for leadership, purchased services and partnerships • Aligning expenses with resources <ul style="list-style-type: none"> ◦ Structure Property management company staffing such that it is fully funded by property management fees ◦ Effectively manage property and capital fund expenditures ◦ Maintain high rent collection and occupancy rates ◦ Structure the social services entity for maximum flexibility ◦ Reduce staff costs through attrition and incentives • Pursue Regionalization opportunities <ul style="list-style-type: none"> ◦ Develop business model to sell professional services • Diversify funding for affiliated entities <ul style="list-style-type: none"> ◦ Develop private donors fundraising plan for social services entity ◦ Pursue funding opportunities through state and federal grants ◦ Seek opportunities to manage non-ECC properties ◦ Secure commercial leasing opportunities • Continue implementation of development and modernization plan <ul style="list-style-type: none"> ◦ RAD conversions and investments ◦ Westville Manor redevelopment ◦ Rockview Phase 2 ◦ Choice Neighborhood –Crawford Manor |
| 2. Build Organizational Capacity | <ul style="list-style-type: none"> • Effectively use technology <ul style="list-style-type: none"> ◦ Issue and award IT services RFP ◦ Implement resource user model for IT training and support ◦ Carry out 2014-2018 IT Strategic Plan • Develop and train staff <ul style="list-style-type: none"> ◦ Establish annual training plan ◦ Cultivate professional development opportunities • Improve internal organization communication and collaboration <ul style="list-style-type: none"> ◦ Create an employee workgroup to improve communication and champion agency morale building efforts ◦ Administer and analyze annual employee satisfaction survey ◦ Establish new mechanisms for staff feedback and communication • Enhance Operational effectiveness <ul style="list-style-type: none"> ◦ Conduct a review of commonly performed tasks to identify efficiencies ◦ Institute a process improvement program |
| 3. Become an Effective Advocate | <ul style="list-style-type: none"> • Evaluate ECC Program Effectiveness <ul style="list-style-type: none"> ◦ Develop and collect program outcome data ◦ Partner with external evaluator to assess program impact • Become an advocate to improve affordable housing in CT <ul style="list-style-type: none"> ◦ Advocate for policies to increase housing affordability statewide |

| MTW Goal | Description of Short Term Strategic Plan |
|-----------------------------------|---|
| | <ul style="list-style-type: none"> ○ Address hurdles to regionalization ○ Advocate for increased linkages between housing and education systems • Tell ECC story to a broader audience <ul style="list-style-type: none"> ○ Protect spending flexibility ○ Reduce barriers to regional housing models |
| 4. Deepen Community Relationships | <ul style="list-style-type: none"> • Fully commit to ECC brand <ul style="list-style-type: none"> ○ Revise all forms, reports and brochures to use the ECC brand ○ Train staff to be more disciplined about using the ECC name • Strengthen partnerships with community based providers <ul style="list-style-type: none"> ○ Communicate the likely consequences of MTW funding reductions with partners in the community ○ Work with community partners to identify alternate sources of funding for critical services • Assume greater role in developing affordable housing for the New Haven community <ul style="list-style-type: none"> ○ Partner with city leadership to identify opportunities for affordable housing development <ul style="list-style-type: none"> ▪ Church St. South redevelopment ▪ Clock Factory redevelopment ▪ Hill-to-Downtown |

B. Long-Term Strategic Plan

| MTW Goal | Description of Long Term (10 Years) Strategic Plan |
|---|---|
| 1. Ensure Organizational Sustainability | <ul style="list-style-type: none">• Elm City Communities includes 4 well-funded, mission aligned entities that develop and manage affordable housing and provide services to the recipients of the housing resources<ul style="list-style-type: none">◦ High performing traditional housing authority programs through LIPH and HCV platforms◦ Cost effective and efficient Property Management services delivered through Elm City Properties, Inc.◦ Development of housing through Glendower Group, Inc.◦ Social services entity delivers quality and relevant two-generation self sufficiency and youth development programs to residents of the City of New Haven's affordable housing communities that breaks cycles of poverty and builds self-sufficient families |
| 2. Build Organizational Capacity | <ul style="list-style-type: none">• Elm City Communities includes a stable, well supported technology platform that created efficiencies for staff and customers• ECC staff is well trained, effective and efficient and feels engaged in the work that they perform• ECC properties are redeveloped and modernized with useful life extended at least 20 years• Empowered resident/participants actively engaged in policy and direction setting for the agency• Achieves high-performing status across all measures |
| 3. Become an Effective Advocate | <ul style="list-style-type: none">• ECC serves as a partners to incoming MTW agencies• ECC effectively secures regional opportunities in CT• ECC leads CT efforts in implementation of balanced place-based and choice models of affordable housing development• Funding flexibility is maintained and utilized to continue to increase housing choice for low income families, create opportunities for self sufficiency and improve the cost effectiveness of service delivery• ECC brand is widely known throughout City, Region, State and Nation. |
| 4. Deepen Community Relationships | <ul style="list-style-type: none">• Implement a City Housing Policy that supports the inclusion of affordable housing component in otherwise market rate housing• Maintains sustaining relationships with community providers that benefits the residents of ECC housing to reach self sufficiency goals |

Overview of Objectives and Progress of Goals MTW Initiatives

| Initiative | Description | MTW | Status |
|-------------|---|---|---------------------|
| 1.1 | Development of Mixed Use development of 122 Wilmot Road – FY2009 | Increase Housing Choice | Closed ¹ |
| 1.2 | Local Total Development Cost (TDC) limits initiative – FY2009 | Cost effectiveness Increase Housing Choice | On going |
| 1.3 | Fungibility of MTW funds – FY2012 | Cost effectiveness | Closed ² |
| 1.4 | Income Eligibility for HCV PBV units in Mixed Finance Developments - FY2012 | Cost Effectiveness Housing Choice | On going |
| 1.5 | HCV Preference and Set Aside for Victims of Foreclosure – FY2009 | Increase Housing Choice | On going |
| 1.6 | Deconcentration of Poverty Promote Expanded Housing Opportunities for HCV and PBV Program – FY2008 | Increase Housing Choice | On going |
| 1.7 | Tenant-Based Vouchers for Supportive Housing for the Homeless – FY2011 | Increase Housing Choice | On going |
| 1.8 | Farnam Courts Transformation Plan - FY2011 | Increase Housing Choice | On going |
| 1.9 | Increase the Allowed Percentage of Project Based Voucher “PBV” Units from 75 Percent to 100 Percent in a Mixed Finance Development – FY2012 | Increase Housing Choice Cost effectiveness | On going |
| 1.10 | Income Skewing for PBVs in Mixed Finance Developments - FY2012 | Cost effectiveness | On going |
| 1.11 | Increase the percentage of Housing Choice Voucher budget authority for the Agency that is permitted to project-base | Increase Housing Choice | On going |

¹ Project completed

² Per HUD directive this initiative does not need to be reported

| | | | |
|-------------|--|----------------------------------|-------------------------|
| | from 20% up to 25% | | |
| 1.12 | Development of Replacement Public Housing Units with MTW Block Grant Funds - <i>FY2013</i> | Increase Housing Choice | On going |
| 1.13 | Creation of a commercial business venture at 122 Wilmot Road – <i>FY2008</i> | Cost Effectiveness | Closed out ³ |
| 1.14 | Redevelopment of Edgewood Avenue k/n/a Dwight Gardens – <i>FY2013</i> | Increase Housing Choice | Closed out ⁴ |
| 1.15 | Development of RAD Development for Rockview Phase II Rental- | Increase Housing Choice | On going |
| 1.16 | Crawford Manor Transformation Plan- <i>FY 2014</i> | Increase Housing Choice | On going |
| 1.17 | Westville Manor Transformation Plan – <i>FY2016</i> | Increase Housing Choice | On going |
| 2.1 | Family Self Sufficiency Program - <i>FY2004</i> | Increase Family Self-Sufficiency | On going |
| 2.2 | Promotion of Self Sufficiency/ Earned/Income Exclusion - <i>FY2008</i> | Increase Family Self-Sufficiency | On going |
| 2.3 | Caring About Resident Economic Self Sufficiency -CARES Initiative - <i>FY2012</i> | Increase Family Self-Sufficiency | On going |
| 2.4 | Teacher in Residence Program – <i>FY 2016</i> | Increase Family Self-Sufficiency | On going |
| 3.1 | Rent Simplification - <i>FY2008</i> | Cost effectiveness | On going |
| 3.2 | UPCS Inspections - <i>FY2008</i> | Cost effectiveness | Closed ⁵ |

³ Project completed

⁴ Project not being pursued

⁵ Initiative no longer requires MTW flexibility

| | | | |
|------------|---|--------------------|---------------------|
| | | | |
| 3.3 | Revised HQS Inspection Protocol – FY 2011 | Cost effectiveness | Closed ⁶ |
| 3.4 | Mandatory Direct Deposit - <i>FY2009</i> | Cost effectiveness | Closed ⁷ |
| 3.5 | HCV Rent Simplification/Cost Stabilization Measures- FY2014 | Cost effectiveness | On going |

⁶ Initiative was revised and relaunched as item 3.5

⁷ Initiative does not require MTW flexibility

MTW Initiatives requiring funding flexibility only

| Initiative | Description | MTW | Status |
|------------|---|----------------------------------|--|
| | Property Disposition <ul style="list-style-type: none"> 620 Grand Ave Sheffield Manor 7 Shelton St. Valley St/South Genessee Park at McConaughy Terrace | Cost effectiveness | <ul style="list-style-type: none"> Closed On going On going Closed |
| | Local Asset Management Program | Cost effectiveness | On going |
| | Use of Frozen/Fixed Utility Consumptions | Cost effectiveness | On going |
| | Research and evaluation | Cost effectiveness | On going |
| | Energy Performance Contract | Cost effectiveness | On going |
| | ECC/HANH Believes! Youth Academic Achievement initiative | Increase Family Self-Sufficiency | On going |
| | Section 3 Employment and Training | Increase Family Self-Sufficiency | Closed ⁸ |
| | Specialized Training Initiative | Increase Family Self-Sufficiency | On going |
| | Resident Owned Business Development Support Initiative | Increase Family Self-Sufficiency | On going |
| | SEHOP Capital Improvement Program | Increase Family Self-Sufficiency | On going |
| | Resident Services – Family development | Increase Family Self-Sufficiency | On going |
| | Resident Services – Elderly/Disabled development | Increase Family Self-Sufficiency | On going |
| | Supportive services in Elderly/Disabled developments | Increase Family Self-Sufficiency | On going |
| | Community Re-entry Program | Increase Family Self-Sufficiency | On going |
| | Project modernization – various projects | Increase Housing Choice | On going |
| | Valentina Macri disposition and conversion to supportive housing for formerly homeless | Increase Housing Choice | On going |
| | Redevelopment projects <ul style="list-style-type: none"> Brookside I, II and Homeownership Rockview I 122 Wilmot Road Rowe | Increase Housing Choice | <ul style="list-style-type: none"> Closed Closed Closed Closed Closed |

⁸ Initiative has been replaced by Specialized Training Initiative

| | | | |
|--|---|-------------------------|--|
| | <ul style="list-style-type: none"> • Eastview Terrace • Ribicoff I • Ribicoff II • Fair Haven • Farnam | | <ul style="list-style-type: none"> • Closed • On going • On going • On going • On going |
| | Capital Fund Financing Program | Increase Housing Choice | Closed |
| | Section Eight Homeownership Program | Increase Housing Choice | On going |
| | Rental Assistance Demonstration Program (RAD) | Increase Housing Choice | On going |

II. General Housing Authority Operating Information

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

Expiration Date: 5/31/

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 | |
|----------------------------------|--------------|---|---|---|---|---|----|-------------|----------------------|------------------|-----------|
| | 0 | 1 | 2 | 3 | 4 | 5 | 6+ | | | Fully Accessible | Adaptable |
| PIC Dev. # /AMP PIC Dev. Name | X | X | X | X | X | X | X | X | n/a | n/a | n/a |
| PIC Dev. # /AMP PIC Dev. Name | X | X | X | X | X | X | X | X | n/a | n/a | n/a |
| PIC Dev. # /AMP PIC Dev. Name | X | X | X | X | X | X | X | X | n/a | n/a | n/a |
| PIC Dev. # /AMP PIC Dev. Name | X | X | X | X | X | X | X | X | n/a | n/a | n/a |

Total Public Housing Units to be Added

0

* 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 |
|---------------------------------------|----------------------------------|-------------------------|
| CT004000015 Fairmont Heights | 98 | Conversion to RAD |
| CT004000011 McQueeney Towers | 150 | Conversion to RAD |
| CT004000012 Winslow Celentano | 65 | Conversion to RAD |
| CT004000013 Robert T. Wolfe | 93 | Conversion to RAD |
| CT004000078 Wilmont Crossing | 34 | Conversion to RAD |
| CT004000015 Ruoppolo Manor | 105 | Conversion to RAD |
| CT004000005 Valley Townhouses | 40 | Conversion to RAD |
| CT004000074 Eastview Terrace | 53 | Conversion to RAD |
| CT004000014 Farnam Courts | 240 | Conversion to RAD |
| CT004000005 Waverly Townhouses | 52 | Conversion to RAD |
| CT004000026 Monterey 1 | 42 | Conversion to RAD |
| CT004000027 Monterey 2 | 7 | Conversion to RAD |
| CT004000028 Monterey 3 | 45 | Conversion to RAD |

Planned Public Housing Units to be Removed During the Fiscal Year

| | | |
|---|------|--|
| CT004000029 Monterey 4 | 42 | Conversion to RAD |
| CT004000030 Monterey 5 | 17 | Conversion to RAD |
| CT004000031 Monterey Phase 2R | 28 | Conversion to RAD |
| CT004000079 Edith Johnson Towers | 96 | Conversion to RAD |
| CT004000080 William Griffin | 4 | Conversion to RAD |
| CT004000021 Scattered Site Multi Family-Fulton Park | 20 | Conversion to RAD |
| CT004000023 Scattered Site 2 | 5 | Demolition/Disposition of Obsolete Scattered Site properties |
| CT004000006 Katherine Harvey Terrace | 17 | Conversion to RAD |
| CT004000007 Newhall Gardens | 26 | Conversion to RAD |
| CT004000008 Prescott Bush | 56 | Conversion to RAD |
| CT004000009 Constance Baker Motley | 45 | Conversion to RAD |
| Total Number of Units to be Removed | 1380 | |

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 |
|-------------------|--|---|
| Fairmont Heights | 97 | Deminimis reduction of 1 ACC unit. Remaining 97 units converted under RAD portfolio award. Fairmont Heights is a 98 unit Elderly/Disabled Building with 0, 1 and 2 BR units, community room space and social service programming area. Building will be modernized to better meet the long term capital needs and address resident needs. |
| McQueeney Towers | 149 | Deminimis reduction of 1 ACC unit. Remaining 149 units converted under RAD portfolio award. McQueeney Towers is a 150 unit Elderly/Disabled Building with 0, 1 and 2 BR units, community room space and social service programming area. Building will be modernized to better meet the long term capital needs and address resident needs |
| Winslow Celentano | 64 | Deminimis reduction of 1 ACC unit. Remaining 64 units converted under RAD portfolio award. Winslow-Celentanot is a 65 units Elderly/Disabled Building with 0, 1 and 2 BR units, community space and social service programming area. Building will be modernized to better meet the long term capital needs and address resident needs. |
| 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 Accessibilities Standards (UFAS). Elevator service and off-street parking are available. ECC plans to convert Robert T. Wolfe to RAD. |

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 |
|-------------------|--|---|
| Wilmont Crossing | 34 | Wilmont Crossing is a 46 unit elderly and disabled development recently built (2013). 13 units are currently project based. 34 ACC units will be converted under the RAD portfolio award. |
| Ruoppolo Manor | 104 | Deminimis reduction of 1 ACC unit. Remaining 104 units converted under RAD portfolio award. Ruoppolo Manor is a 105 units Elderly/Disabled Building with 0, 1 and 2 BR units, community space and social service programming area. Building will be modernized to better meet the long term capital needs and address resident needs. |
| Valley Townhouses | 40 | Valley Townhouses is a 40 unit family development with 2, 3 and 4 bedroom units . 40 units will be converted under RAD portfolio award. Development will be modernized to better meet the long term capital needs and address resident needs. |

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 |
|--------------------|--|---|
| Eastview Terrace | 53 | Eastview Terrace is a 102 unit family development that has recently been redeveloped. 49 units are project based vouchered. The remaining 53 ACC units will be converted under the RAD portfolio award. |
| Farnam/ Fair Haven | 32 | 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 120 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. 25 units will come on-line during FY2016 and the balance of 32 units will come on line during FY2017 |
| Waverly Townhouses | 51 | De minimus reduction of 1 ACC unit. Waverly Townhouses is a 52 unit family development with 2, 3 and 4 bedroom units . 51 units will be converted under RAD portfolio award. Development will be modernized to better meet the long term capital needs and address resident needs. |
| Monterey Place 1 | 42 | Monterey Place is a HOPE VI redevelopment that is reaching the end of its LIHTC compliance period. 42 ACC units will be converted as part of a RAD award. Monterey Place is a family development with 2, 3 and 4 bedroom units. |

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 |
|-------------------|--|--|
| Monterey Place 2 | 7 | Monterey Place is a HOPE VI redevelopment that is reaching the end of its LIHTC compliance period. 7 ACC units will be converted as part of a RAD award. Monterey Place is a family development with 2, 3 and 4 bedroom units. |
| Monterey Place 3 | 45 | Monterey Place is a HOPE VI redevelopment that is reaching the end of its LIHTC compliance period. 45 ACC units will be converted as part of a RAD award. Monterey Place is a family development with 2, 3 and 4 bedroom units. |
| Monterey Place 4 | 42 | Monterey Place is a HOPE VI redevelopment that is reaching the end of its LIHTC compliance period. 42 ACC units will be converted as part of a RAD award. Monterey Place is a family development with 2, 3 and 4 bedroom units. |
| Monterey Place 5 | 17 | Monterey Place is a HOPE VI redevelopment that is reaching the end of its LIHTC compliance period. 17 ACC units will be converted as part of a RAD award. Monterey Place is a family development with 2, 3 and 4 bedroom units. |
| Monterey Phase 2R | 28 | Monterey Place is a HOPE VI redevelopment that is reaching the end of its LIHTC compliance period. 28 ACC units will be converted as part of a RAD award. Monterey Place is a family development with 2, 3 and 4 bedroom units. |
| Edith B. Johnson | 95 | Monterey Place is a HOPE VI redevelopment that is reaching the end of its LIHTC compliance period. 96 ACC units will be converted as part of a RAD award. EBJ is a elderly-disabled development with 0, 1 and 2 bedroom units |

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 |
|---|--|---|
| William Griffin | 4 | Monterey Place is a HOPE VI redevelopment that is reaching the end of its LIHTC compliance period. 4 ACC units will be converted as part of a RAD award. EBJ is an elderly-disabled development with 0, 1 and 2 |
| Scattered Site -Multi Family Chamberlain Courts | 8 | Chamberlain Court is a condominium development in which the Housing Authority owns eight units. 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. |
| Scattered Site- Multi Family 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 |
| Constance Baker Motley (CB 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. |
| 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. |
| Newhall 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. |

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 |
|--|--|---|
| 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. |
| Anticipated Total New Vouchers to be Project-Based | 1160 | <div> <div>Anticipated Total Number of Project-Based Vouchers Committed at the End of the Fiscal Year</div> <div>1807</div> </div> <div> <div>Anticipated Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year</div> <div>1807</div> </div> |

*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

ECC/HANH is continuing with agency wide UFAS compliance, agency wide vacancy reduction efforts and performing environmental remediation work where needed. ECC/HANH intends to complete boiler replacement at Crawford Manor and at Winslow-Celentano; perform emergency generator replacement at Ruoppolo; complete agency wide needs assessments; continue McQueeney kitchen, bathroom and unit upgrades; initiate sewer replacement at McConaughy and continue HVAC in-unit heating replacements at McConaughy. At Crawford, ECC/HANH will perform HVAC in-unit heating system upgrades and install bathroom grab bars. At Winslow-Celentano, ECC/HANH plans to replace the compactor/bailer and install building lighting. At Westville, ECC/HANH will perform HVAC in-unit heating replacements. At Wolfe, ECC/HANH intends to remediate cracked sewer line in the community room and make accessibility improvements to the main entrance. ECC/HANH will continue with architectural, engineering and environmental consulting services; energy performance contract; and Brookside 1 Rental CFFP Bond repayment.

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 | 950 | 11,400 |
| Federal MTW Voucher (HCV) Units to be Utilized | 5,280 | 63360 |
| Number of Units to be Occupied/Leased through Local, Non-Traditional, MTW Funded, Property-Based Assistance Programs ** | X | X |
| Number of Units to be Occupied/Leased through Local, Non-Traditional, MTW Funded, Tenant-Based Assistance Programs ** | X | X |
| Total Households Projected to be Served | 6230 | 74760 |

* 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

If the PHA has been out of compliance with any of the required statutory MTW requirements listed in Section II(C) of the Standard MTW Agreement, the PHA will provide a narrative discussion and a plan as to how it will return to compliance. If the PHA is currently in compliance, no discussion or reporting is necessary.

HANH is in compliance with its MTW statutory requirements.

Description of any Anticipated Issues Related to Leasing of Public Housing, Housing Choice Vouchers and/or Local, Non-Traditional Units and Possible Solutions

| Housing Program | Description of Anticipated Leasing Issues and Possible Solutions |
|-----------------|---|
| HCV RAD | RAD conversions may result in vacancies while work is conducted in units ; Low vacancy rate in local housing market delays lease up |
| LIPH | Vacancy reduction contracts will result in units off-line during renovation |
| n/a | n/a |

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 | 7,289 | Partially Open | Yes |
| MTW Housing Choice Voucher | Program Specific | 2,588 | 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).

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

| |
|--|
| Elderly only; Elderly/Disabled; Site-based 4 and 5 bedroom; Accessible Unit waitlists remain open; Scattered Site waitlist to open during FY2017 |
| 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:

OMB Control Number: 2577-0046

1/31

| |
|-----|
| 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 |
|-----|

Who We Serve

ECC/HANH/Elm City Communities serves **5,818** families through its low income public housing and housing choice voucher programs. During the 2001 baseline year, ECC/HANH/Elm City Communities served a total of **4,827** families. Current numbers reflect an increase of approximately 991 families or 20% indicating that MTW status has allowed ECC/HANH to increase the number of families being served.

The vast majority of these families fall in the Extremely Low Income category with 72% of LIPH and HCV families in this income category. For LIPH families, however, this represents a significantly lower percentage than FY2016 when the percentage was 83%. A migration is noted into the Very Low Income category which is 10% higher than last year. 33% percent of LIPH families and 39% of HCV families earn wages. This represents a 2% growth over last year. No change is noted over last year in the percentage of families reporting no income with 3% of LIPH and 5% of HCV families in this status.

87% 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.

See table on next page

| HANH Population Demographics- 2017 | | | | | |
|---|-------------|-----|------------|-----|--------------|
| | LIPH | | HCV | | Total |
| Total households | 2,162 | 37% | 3,656 | 63% | 5,818 |
| Total individuals | 4,381 | 33% | 9,015 | 67% | 13,396 |
| | | | | | |
| Average income | \$13,584 | | \$15,829 | | |
| Average TTP | \$309 | | \$365 | | |
| | | | | | |
| Households with Extremely low income | 1,563 | 72% | 2,650 | 72% | |
| Households with Very low income | 466 | 22% | 693 | 19% | |
| Households with Low income | 55 | 3% | 250 | 7% | |
| Households Above low income | 78 | 4% | 63 | 2% | |
| Households with No income | 57 | 3% | 183 | 5% | |
| Households with Employment Income | 704 | 33% | 1,415 | 39% | |
| Households with Public Assistance | 842 | 39% | 314 | 9% | |
| Households with Social Security | 1,212 | 56% | 1,515 | 41% | |
| Households with Other Income | 427 | 20% | 406 | 11% | |
| | | | | | |
| Minority households | 1,475 | 68% | 2,134 | 58% | |
| Non-minority | 687 | 32% | 1,522 | 42% | |
| | | | | | |
| Elderly families | 597 | 28% | 747 | 20% | |
| Disabled families | 1,092 | 51% | 1,355 | 37% | |
| | | | | | |
| 1 member | 1,054 | 49% | 1,255 | 34% | |
| 2 members | 488 | 23% | 833 | 23% | |
| 3 members | 318 | 15% | 741 | 20% | |
| 4 members | 176 | 8% | 472 | 13% | |
| 5 members | 76 | 4% | 219 | 6% | |
| 6 members | 38 | 2% | 93 | 3% | |
| 7 members | 11 | 1% | 28 | 1% | |
| 8+ members | 1 | 0% | 15 | 0% | |

Low Income Public Housing

ECC/HANH plans to complete FY2017 with a MTW public housing stock of **985** public housing units. This includes 694 site-based family units; 0 Elderly, 126 Elderly/Disabled units, and 165 Scattered Site units.

This reduction in units is due to the conversion of LIPH units to RAD PBV units through the Rental Assistance Demonstration Program and is accompanied by a commensurate increase in HCV RAD vouchers noted in the following section. This reduction in LIPH units is offset by the conversion of these units to RAD units that with the infusion of capital investment have earned at least 20 more years of useful life. ECC/HANH's RAD conversion includes approval for 1,464 units⁹. At the start of ECC/HANH's MTW status, ECC/HANH's LIPH housing stock included 2,965 total units, however, as noted previously significantly more families are being assisted through ECC/HANH's affordable housing programs.

Of these LIPH units, post RAD-conversion, 12 units will remain approved vacancies for units off line for officers in residence, Asset Management offices and TRC offices/food banks and the ECC Teacher in Residence Program.

During FY 2017, the following portfolio changes are expected.

| Development Name | Development Type | Units beginning FY2017 | Planned Units to Add | Planned Units to Remove | Planned Units at end of FY2017 |
|----------------------|-------------------|------------------------|----------------------|-------------------------|--------------------------------|
| Val Macri | Elderly/Disabled | 17 | | | 17 |
| Ribicoff Cottages | Elderly/Disabled | 0 | | 0 | 0 |
| Fairmont Heights | Elderly /Disabled | 98 | | 98 | 0 |
| Crawford Manor | Elderly /Disabled | 109 | | | 109 |
| McQueeney Towers | Elderly /Disabled | 150 | | 150 | 0 |
| Winslow Celentano | Elderly /Disabled | 65 | | 65 | 0 |
| RT Wolfe | Elderly /Disabled | 93 | | 93 | 0 |
| Wilmont Crossing | Elderly/Disabled | 34 | | 34 | 0 |
| Ruoppolo Manor | Elderly /Disabled | 105 | | 105 | 0 |
| Valley Townhouses | Family | 40 | | 40 | 0 |
| Eastview Terrace | Family | 53 | | 53 | 0 |
| Farnam Courts | Family | 240 | | 240 | 0 |
| Westville Manor | Family | 151 | | | 151 |
| McConaughy Terrace | Family | 201 | | | 201 |
| Waverly Townhouses | Family | 52 | | 52 | 0 |
| Quinnipiac Terrace I | Family | 58 | | | 58 |
| Quinnipiac Terrace 2 | Family | 56 | | | 56 |
| Quinnipiac Terrace 3 | Family | 17 | | | 17 |
| Essex Townhouses | Family | 35 | | | 35 |
| Monterey 1 | Family | 42 | | 42 | 0 |
| Monterey 2 | Family | 7 | | 7 | 0 |
| Monterey 3 | Family | 45 | | 45 | 0 |
| Monterey 4 | Family | 42 | | 42 | 0 |

⁹ ECC/HANH is approved for 1,183 units through the portfolio award and Monterey Place is approved for conversion of 281 units.

| | | | | | |
|-------------------------------|-----------------|--------------|----------|-------------|------------|
| Monterey 5 | Family | 17 | | 17 | 0 |
| Monterey Phase 2R | Family/Elderly | 28 | | 28 | 0 |
| New Rowe | Family | 46 | | | 46 |
| Brookside Phase 1 | Family | 50 | | | 50 |
| Brookside Phase II | Family | 50 | | | 50 |
| Edith Johnson Towers | Elderly | 96 | | 96 | 0 |
| William Griffin | Elderly | 4 | | 4 | 0 |
| Rockview Phase 1 Rental | Family | 30 | | | 30 |
| Scattered Site - Multi Family | Scattered Sites | 115 | | 20 | 95 |
| Scattered Site - West | Scattered Sites | 23 | | | 23 |
| Scattered Site - East | Scattered Sites | 52 | 0 | 5 | 47 |
| Katherine Harvey | Elderly | 17 | | 17 | 0 |
| Newhall Gardens | Elderly | 26 | | 26 | 0 |
| Prescott Bush | Elderly | 56 | | 56 | 0 |
| CB Motley | Elderly | 45 | | 45 | 0 |
| Total | | 2,365 | 0 | 1380 | 985 |

Housing Choice Voucher Program

At the start of FY2017, ECC/HANH/ELM CITY COMMUNITIES has budget authority for 4,394 MTW Housing Choice Vouchers, 1,280 RAD vouchers and 270 Tenant Protection Vouchers for Church St. South former residents for a total of 5,835 total vouchers. ECC/HANH/ECC will project base 527 MTW vouchers (11%). At the start of FY2017, 120 RAD vouchers were in service. An additional 1,160 will be placed in service for a total of 1,280 RAD PBV during FY2017.

ECC/HANH/ELM CITY COMMUNITIES also administers 80 Single Room Occupancy (SRO) vouchers and 85 Veterans Administration Supportive Housing (VASH) vouchers for a total authorization of 5,835 vouchers. During FY2017 ECC/HANH/ELM CITY COMMUNITIES will lease 5,280 Housing Choice Vouchers.

| Housing Program & Type | Description | Units beginning FY2017 | Planned Units to be Removed | Planned Units to be Added | Planned Units at end of FY2017 |
|---|---|------------------------|-----------------------------|---------------------------|--------------------------------|
| Total MTW vouchers | | 4394 | 0 | 0 | 4394 |
| Tenant Protection Vouchers Church Street South | Vouchers received to assist dislocated Church St.South residents | 270 | 0 | 0 | 270 |
| RAD conversion vouchers | vouchers for RAD conversions | 1280 | 0 | 0 | 1280 |
| Mod Rehab-Single Room Occupancy | 80 SRO units | 80 | 0 | 0 | 80 |
| HUD VASH | 85 Veterans Supportive Housing | 85 | 0 | 0 | 85 |
| Total Voucher Capacity | | 6109 | 0 | 0 | 6109 |
| Voucher Utilization | | | | | |
| Project Based Vouchers | | | | | |
| Efforts to End Homelessness | | | | | |
| 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 |
| Cedar Hill | Supportive Housing | 4 | 0 | 0 | 4 |
| West Village | 52 Howe St. – Single Room Occupancy Units | 15 | 0 | 0 | 15 |

| Housing Redevelopment | | | | | |
|--------------------------|---|----|---|---|----|
| 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 |
| Eastview Phase I | 102 units – 48% of units are PBV | 49 | 0 | 0 | 49 |
| 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 |
| 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 |
| Park Ridge | 100% Elderly/disabled housing | 60 | 0 | 0 | 60 |
| 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 |

| | | | | | |
|---|--|----|---|-----|-----|
| Shartenburg | 20 PBV units for the City initiative 360 State-Families | 20 | 0 | 0 | 20 |
| 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 |
| Mutual Housing Assoc. (Neighborhood Works/New Horizon) | 10 MHA PBV units | 10 | | | 10 |
| Casa Otonal | | 12 | 0 | 0 | 12 |
| Project Based Voucher RFP | | | | 100 | 100 |
| RAD conversion | | | | | |
| RAD 122 Wilmot Road | 34 PBV | 0 | 0 | 34 | 34 |
| RAD Eastview Phase I | 102 units – 48% of units are PBV; remaining 53 ACC units converted to RAD PBV | 0 | | 53 | 53 |
| RAD Ribicoff – 9% | 44 units of RAD converted ACC units – 80% PBV; 11 market rate units | 44 | 0 | 0 | 44 |
| RAD Ribicoff -4% | 51 units of RAD converted ACC units | 51 | 0 | 0 | 51 |
| RAD Fair Haven | 55 units of RAD converted ACC units and 2 PBVs | 25 | 0 | 32 | 57 |
| RAD Monterey Place- Edith B Johnson | 95 units of RAD converted ACC units | 0 | 0 | 95 | 95 |
| RAD Monterey Place- William Griffin | 4 units of RAD converted ACC units | 0 | 0 | 4 | 4 |
| RAD Monterey Place 1 | 42 units of RAD converted ACC units | 0 | 0 | 42 | 42 |

| | | | | | |
|------------------------------|-------------------------------------|------------|----------|-------------|-------------|
| RAD Monterey Place 2 | 7 units of RAD converted ACC units | 0 | 0 | 7 | 7 |
| RAD Monterey Place 3 | 45 units of RAD converted ACC units | 0 | 0 | 45 | 45 |
| RAD Monterey Place 4 | 42 units of RAD converted ACC units | 0 | 0 | 42 | 42 |
| RAD Monterey Place 5 | 17 units of RAD converted ACC units | 0 | 0 | 17 | 17 |
| RAD Monterey Place 2R | 28 units of RAD converted ACC units | 0 | 0 | 28 | 28 |
| RAD McQueeney Towers | 150 units of converted ACC units | 0 | | 149 | 149 |
| RAD Fairmont Heights | 98 units of converted ACC units | 0 | 0 | 97 | 97 |
| RAD Matthew Ruoppolo Manor | 105 units of converted ACC units | 0 | 0 | 104 | 104 |
| RAD Winslow Celentano | 65 units of converted ACC units | 0 | 0 | 64 | 64 |
| RAD Robert T. Wolfe | 93 units of converted ACC units | 0 | 0 | 92 | 92 |
| RAD Prescott Bush | 56 units of converted ACC units | 0 | 0 | 56 | 56 |
| RAD Waverly Townhouses | 52 units of converted ACC | 0 | 0 | 51 | 51 |
| RAD Valley Townhouses | 40 units of converted ACC | 0 | 0 | 40 | 40 |
| RAD CB Motley | 45 units of converted ACC | 0 | 0 | 45 | 45 |
| RAD Newhall Gardens | 26 units of converted ACC | 0 | 0 | 26 | 26 |
| RAD Katherine Harvey Terrace | 17 units of converted ACC | 0 | 0 | 17 | 17 |
| RAD Fulton Park | 12 units of converted ACC | 0 | 0 | 12 | 12 |
| RAD Chamberlain Court | 7 units of converted ACC | 0 | 0 | 7 | 7 |
| RAD Chamberlain Court | 1 units of converted ACC | 0 | 0 | 1 | 1 |
| PBV Subtotal | | 647 | 0 | 1260 | 1907 |

| Tenant Based Vouchers (not assigned to special use) | | 3128 | 0 | 0 | 3113 |
|--|---|-------------|----------|------------------|-------------|
| Efforts to End Homelessness | | | | | |
| 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 | | 50 | 10 | | 40 |
| Family Unification Supportive Housing | DCF Family | 20 | 0 | 0 | 20 |
| Homelessness/Imminent Danger of Homelessness | (Formerly Foreclosure PBV) | 15 | 0 | 25 ¹⁰ | 40 |
| Supportive Housing/Homelessness Prevention I | Supportive Housing/Homelessness Prevention | 51 | 0 | 0 | 51 |
| Working Young Adults/ Working Families Housing Choice Vouchers | | 100 | 100 | 0 | 0 |
| Project Longevity | 20 vouchers for city initiative targeting homeless former offenders | 20 | 0 | 0 | 20 |
| Re-entry Fresh Start | 10 vouchers for re-entry applicants through City Fresh Start | 0 | 0 | 10 | 10 |
| Expanding Housing Choice | | | | | |
| CARES | 10 Vouchers set aside for CARES participants | 10 | 0 | 0 | 10 |
| Section Eight Home Ownership Program (SEHOP) | 60 Vouchers set aside for LIPH & HCV Homeownership Program | 30 | 0 | 30 | 60 |
| West Rock Homeownership Phase 1 | 19 new homeownership units | 0 | 0 | 5 | 5 |
| William T. Rowe relocation vouchers | | 9 | 0 | 0 | 9 |

¹⁰ 10 for chronically homeless; 15 for homeless families

| | | | | | |
|---|---|--------------|------------|------------|--------------|
| Tenant Protection Vouchers for Church St. South | 270 vouchers for CSS dislocated residents | 270 | 0 | 0 | 270 |
| TENANT BASED VOUCHERS SUBTOTAL | | 3,748 | 110 | 55 | 3,693 |
| PBV + RAD +TBV MTW SUBTOTAL | | 3,660 | 0 | 457 | 5,600 |
| Non-MTW – VASH | | 85 | 0 | 0 | 85 |
| Non-MTW – SRO | | 80 | 0 | 0 | 80 |
| Total | | | | | 5,765 |

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 FY2017 MTW Plan.

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

Section IV: Approved MTW Activities

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

ECC/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. ECC/HANH has identified the need to use products that are of a higher level of quality and this requires that the organization 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

ECC/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.

ECC/HANH prepared a TDC and HCC schedule, which reflects construction, and development costs in New Haven. ECC/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, ECC/HANH received HUD approval for its Alternate TDCs and HCC limits. During Fiscal Year 2012, ECC/HANH submitted revised TDC and HCC limits and approved in FY 2014. During FY 2014, ECC/HANH continued to use the approved 2009 TDC and HCC limits while utilizing them for the Rockview Redevelopment. The current TDC schedule is attached in Appendix 1.

- **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 closed on Fair Haven during FY2016. ECC/HANH will close on Farnam Phase I and Farnam Phase II during FY 2017.

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

ECC/HANH intends to update the TDC. The Authority is requesting historical data from the CT Finance Authority and other private developers around hard cost to update the TDC analysis. This information will be presented as part of the TDC update.

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 provide housing that serves a wide range of incomes and to reduce the cost of the program, the Authority will use the flexibility granted to it under Attachment C, Section C(3)(a) of the MTW Agreement to establish eligibility criteria under its Administrative Plan to require that no less than 40 percent of the project based vouchers awarded in any year to be awarded to families with incomes at or below 30 percent of the area median income, adjusted for family size. HANH will award up to 15 percent of the PBV's allocated to 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 FY2017, 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. – ON GOING
- 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. -COMPLETED
- 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. -COMPLETED
- **Rationale:** Increasing the cap 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)

The results of ECC/HANH's initiative are presented in the following chart. Please note the Brookside I, Brookside II and Wilmont Crossing each included LIPH units as well which were all targeted for the <30% AMI population. Brookside I includes 50 LIPH units, Brookside II includes 50 LIPH units and Wilmont Crossing includes 34 LIPH units all targeted for the <30% AMI population.

The Fair Haven –Chatham and Fair Haven Farnam developments are the off-site components of the redevelopment of Farnam Courts. When the Farnam Court on-site parcels are included, these projects too fall within the 15% set-aside for higher income PBV families.

ECC/HANH's overall allocation of PBV units is 527 units or 11% of the MTW voucher allocation. During FY 2015, 108 new PBVs were leased and 57 were to families at or below 30% AMI representing 53% and consistent with the goals of the initiative to maintain at least 40% lease up to this income tier. To date during FY2016, 34 of the 41 PBVs leased were to families at or below 30% AMI representing 83%.

Initiative 1.4 and 1.10
Income Eligibility for Project Based Voucher Program
PBV in Mixed Finance Developments

| Development | Units at or below 30% of AMI | Percent | Units at 30-50% of AMI | Percent | Units at 50- 60% of AMI | Percent | Total Units |
|------------------------|---------------------------------------|---------|------------------------------|---------|----------------------------------|---------|----------------|
| Brookside I | 0 | 0% | 42 | 84% | 8 | 15% | 50 |
| Brookside II | 0 | 0% | 30 | 59% | 21 | 41% | 51 |
| Rockview | 20 | 43% | 20 | 43% | 7 | 15% | 47 |
| Wilmont Crossing | 0 | 0% | 11 | 85% | 2 | 15% | 13 |
| Ribicoff 9% | 11 | 25% | 28 | 64% | 5 | 11% | 44 |
| Ribicoff 4% | 25 | 49% | 19 | 37% | 7 | 14% | 51 |
| Fair Haven- EVT | 4 | 16% | 13 | 52% | 8 | 32% | 25 |
| Fair Haven- Chatham | 11 | 34% | 15 | 47% | 6 | 19% | 32 |
| Total | 71 | 23% | 178 | 57% | 64 | 20% | 313 |

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

The initiative continues with the inclusion of the Farnam Phase I (on site) expected to close and be under construction during FY 2017.

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, ECC/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 included 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. The total new number of vouchers allocated for Victims of Foreclosure is currently 40 and of this total all are TBVs.

- **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. All 40 vouchers are currently leased (as of 3/31/16)..

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 ECC/HANH's MTW Agreement with HUD, ECC/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, ECC/HANH began to implement MTW Rent Standards that allow ECC/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, ECC/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 ECC/HANH approve an MTW Rent Standard above 150% without prior HUD approval. ECC/HANH will reexamine its MTW Rent Standards monthly to ensure that ECC/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:** ECC/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)

At baseline, the average number of families leased in non impacted areas was 9 per year. Since the initiative began, 94 HCV participants have leased up in non-impacted areas for an average of almost 12 families per year (increase of 31%). This represents progress, although still only 6% of our HCV participants annually are choosing areas of low poverty concentration or accessing hard to find units. As proposed, despite this initiative, ECC/HANH's payment standard has remained below 120%. The chart below summarizes the findings.

Initiative 1.6- Deconcentration of Poverty (Promote Expanded Housing Opportunities)

| | Baseline years | | Implementation years | | | | | | | | | Average for implementation years | %change over baseline |
|--|----------------|------|----------------------------|------|------|------|------|------|------|------|------|----------------------------------|-----------------------|
| | 2007 | 2008 | Average for baseline years | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 | | |
| Number of units leased in deconcentrated neighborhoods | 11 | 7 | 9 | 10 | 10 | 8 | 10 | 18 | 14 | 13 | 11 | 11.75 | 31% |
| Overall Average Percentage of FMR | 110 | 116 | | 110 | 111 | 110 | 111 | 110 | 110 | 113 | 111 | | |

Internal Metrics

ECC/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 ECC/HANH's MTW Agreement with HUD, ECC/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.

ECC/HANH has designated use of housing choice voucher resources for the purpose of ending homelessness. ECC/HANH works in conjunction with City and Regional entities, Continuum of Care, shelters, transitional and permanent housing providers to prioritize and identify chronically homeless, homeless families and other homeless populations. ECC/HANH entered in a Memoranda of Understanding with organizations that provide housing for homeless with supportive services. The designation of vouchers used to target various homeless populations is provided below.

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

b) Update on Status (Impact Analysis) ECC/HANH has awarded 211 tenant based vouchers dedicated to preventing homelessness in the following populations: chronically homeless, homeless families, families involved with child protective systems and the re-entry population. Additionally, ECC/HANH project based 58 vouchers to serve similar populations.

| Use of Project Based Vouchers to End Homelessness | | | | | |
|---|-------------------------|------------------------|-----------------------------|---------------------------|--------------------------------|
| Housing Program & Type | Description | Units beginning FY2017 | Planned Units to be Removed | Planned Units to be Added | Planned Units at end of FY2017 |
| Efforts to End Homelessness | | | | | |
| 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 |
| Cedar Hill | Supportive Housing | 4 | 0 | 0 | 4 |

| | | | | | |
|--|---|-----|-----|----|-----|
| West Village | 52 Howe St. – Single Room Occupancy Units | 15 | 0 | 0 | 15 |
| Use of Tenant Based Vouchers to End Homelessness | | | | | |
| Efforts to End Homelessness | | | | | |
| 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 | | 50 | 10 | | 40 |
| Family Unification Supportive Housing | DCF Family | 20 | 0 | 0 | 20 |
| Homelessness/Imminent Danger of Homelessness | (Formerly Foreclosure PBV) | 15 | 0 | 10 | 25 |
| Supportive Housing/Homelessness Prevention I | Supportive Housing/Homelessness Prevention | 51 | 0 | 0 | 51 |
| Working Young Adults/ Working Families Housing Choice Vouchers | | 100 | 100 | 0 | 0 |
| Project Longevity | 20 vouchers for city initiative targeting homeless former offenders | 20 | 0 | 0 | 20 |
| Re-entry Fresh Start | 10 vouchers for re-entry applicants through City Fresh Start | 0 | 0 | 10 | 10 |
| Total | | | | | 211 |

Internal Metrics

ECC/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 1.8 – Farnam Court Transformation Plan (ECC/HANH's FY2011 MTW Plan)

Approved in FY2011 and implemented in FY2012.

A. Description

The Authority has conducted a community planning process regarding the redevelopment of this obsolete 240 unit housing development. This development's design lacks energy efficiency, positive urban design standards and has contributed to on-going crime issues in the area. It is surrounded by areas that are thriving or undergoing transformation and re-design of this property can better link it to its surroundings helping to create access and opportunity for residents. Farnam Court has been approved for conversion of the ACC units under the Rental Assistance Demonstration Program award.

As part of the transformation plan, ECC/HANH is proposing not only a redevelopment of the housing units at Farnam Court 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 Grand Ave./Mill River 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. Additionally, the redevelopment will introduce market rate units.

Farnam Court will replace 240 units of housing originally built in the 1940s and most recently improved in the 1980s. The redevelopment will occur in phases resulting in 228 replacement units and introducing market rate units as well. The redevelopment includes new roads, streets, infrastructure and utilities funded through a City of New Haven \$8 million capital investment. The project will reconnect the Farnam Court neighborhood with the Grand Ave corridor and the vital Downtown and Wooster Square neighborhood. It also links to the Mill River neighborhood, a source of job opportunities.

Farnam offsite – Fair Haven will consist of 57 units financed through 9% Low Income Housing Tax Credits. The 57 units will exist on two sites located in the Fair Haven neighborhood, an area undergoing significant re-investment. The Chatham site includes 32 assisted units (Rental Assistance Demonstration Program). The Eastview Terrace Phase II site includes 23 RAD assisted units and two Project Based Assisted units. This \$23 million project is under construction during FY2016 and will fully lease during the Fall 2016 (FY2017).

Farnam Court Phase I –on site will involve the demolition of 148 units. These will be replaced with 2 mid-rise 5 story buildings housing 94 units --86 assisted and 8 market rate units situated on 1.1 acres. Additionally these buildings will house 7,400 sq. feet of commercial and community/program space. The community space will support a vibrant comprehensive economic self sufficiency program. This project is being financed through LIHTC 4% Bonds, a \$4 million State of CT CHAMP award, HUD MTW flexible funds, City of New Haven capital dollars and private equity. Financial closing is anticipated in June 2016 with construction start in the summer of 2016 and completion Winter 2017/Spring 2018.

Farnam Court Phase II- on site will include the demolition of the remaining 96 units and construction of 111 units -87 RAD assisted and 24 market rate units and a 3,600 sq. feet community center and park..

Under ECC/HANH's MTW Agreement with HUD, ECC/HANH is authorized to develop its own Leased Housing Program through exceptions to the standard HCV program. ECC/HANH will apply local TDC design standards, PBV income tiering and MTW Rent Standards that allow ECC/HANH to approve exception rents. Under no circumstances may ECC/HANH approve an MTW Rent Standard above 150% without prior HUD approval. ECC/HANH will reexamine its MTW Rent Standards monthly to ensure that ECC/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) Update on Status (Impact Analysis)

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.

- Fair Haven – off site awarded 9% LIHTC in 2015
- Fair Haven - closing in 2015
- Fair Haven - construction completion November 2016
- Farnam Phase I – on site closing June 2016
- Farnam Phase I – resident relocation completion - November 2016
- Farnam Phase I – construction completion – Winter 2017
- Farnam Phase II – financing closing - September 2017
- Farnam Phase II – resident relocation start - April 2017
- Farnam Phase II – construction completion – December 2018

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

ECC/HANH has completed a Project Needs Assessment (“PNA”) of its entire portfolio. The PNA shows that over the next 20 years ECC/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). ECC/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.

ECC/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. ECC/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 ECC/HANH to borrow private funds for the purpose of rehabilitating aging developments in ECC/HANH’s portfolio. ECC/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. ECC/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 ECC/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, ECC/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. In ECC/HANH’s FY2012 MTW Annual Plan, ECC/HANH received 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.

ECC/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 ECC/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 ECC/HANH to borrow private funds for the purpose of rehabilitating aging developments in ECC/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 the following RAD conversions during FY 2015 Ribicoff 9% and Ribicoff 4%; and closed on Fair Haven and Farnam Phase 1-on site during FY 2016. ECC/HANH will close on Farnam Phase II during FY2017.

HUD development of the Rental Assistance Demonstration Program has made this initiative unnecessary for projects approved for RAD conversion. However, ECC/HANH continues to have 985 units that are not currently approved for RAD conversion for which this authorization remains vital.

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 MTW Housing Choice Voucher budget authority that Agency 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, ECC/HANH utilized 14% of its MTW HCV budget authority on project based vouchers.

- **Rationale:** Among other things, this authority will continue to allow ECC/HANH to pay debt service on private loans taken out to support redevelopment projects.
- **Expected impact:** This authorization will enable ECC/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 redevelopment efforts including Ribicoff Cottages and Extensions, Farnam Courts, Fair Haven 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.

This initiative was contemplated prior to the advent of the RAD program. The percentage of MTW project based did not include the full conversion of ACC sites to PBVs. The advent of RAD increases the proportion of the portfolio that will be project-based. ECC/HANH's current percentage of non-RAD project based MTW vouchers is 11% (527 vouchers).

With RAD portfolio award, ECC/HANH expects that percentage to increase to 29% of the portfolio during FY2017. The Housing Authority closed on in FY 2015 Ribicoff 9% and Ribicoff 4%; and closed on Fair Haven and Farnam Phase I on site during FY 2016. ECC/HANH will close on Farnam Phase II during FY2017. Additionally, ECC/HANH's RAD portfolio award approval allows for the project based conversion of 1,128 ACC units during FY2017.

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

ECC/HANH seeks to clarify that this initiative was designed to target sites undergoing mixed finance development. It was not intended to encompass RAD conversions. ECC/HANH continues to assess compliance with this initiative against the non-RAD MTW vouchers and associated project basing.

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

ECC/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. ECC/HANH has also been at the forefront of using its MTW authority creatively to complement and enhance these efforts.

In FY2013, ECC/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. ECC/HANH intended to pursue this initiative at certain specific sites in FY 2013, including Farnam Courts and Abraham Ribicoff Cottages and Extensions, but intended to use this same model at other sites to be identified in the future.

Essentially, ECC/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, ECC/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 ECC/HANH to pay debt service on private loans taken out to support redevelopment projects. To the extent necessary, under its MTW authority ECC/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, ECC/HANH moved forward with its redevelopment plans in order to close the two projects during FY2015.

During FY 2016 Ribicoff Cottages 9% and Ribicoff Cottages 4% were both placed in service and fully occupied. During FY16 Fair Haven closed and was under construction. Fair Haven-EVT was placed in service. Fair Haven-Chatham will be placed in service during FY2017. Farnam Phase I –on site will close and relocation and construction started.

- **Rationale:** This initiative will enable ECC/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 replacement “public housing units” using local project based vouchering (local housing assistance payment contracts) for low-income families.

To date, the applicable transactions include the following completed by or planned for FY2017:

| Development Name | # PH Units | # PBV | Total # of Assisted Units | # of Market Rate Units |
|--------------------------------|------------|------------------|---------------------------|------------------------|
| Eastview Terrace | 53 | 49 | 102 | 0 |
| Quinnipiac Terrace I | 58 | 23 | 81 | 0 |
| Quinnipiac Terrace 2 | 56 | 23 | 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 | 47 | 77 | 0 |
| William T. Rowe | 46 | 32 | 78 | 26 |
| Wilmont Crossing | 34 | 13 | 47 | 0 |
| Monterey Place 1 ¹¹ | 42 | | 42 | |
| Monterey Place 2 | 7 | | 7 | |
| Monterey Place 3 | 45 | | 45 | |
| Monterey 4 | 42 | | 42 | |
| Monterey 5 | 17 | | 17 | |
| Monterey Phase 2R | 28 | | 28 | |
| William Griffin | 4 | | 4 | |
| Edith Johnson Towers | 95 | | 95 | |
| Ribicoff Cottages | 100 | 95 | 95 ¹² | 11 |
| Farnam Courts redevelopment | 240 | | | |
| Farnam Courts-Fair Haven | | 57 ¹³ | 57 | 0 |
| Farnam Court Phase I onsite | | 86 | 86 | 8 |
| TOTAL | 1014 | 575 | 1,216 | 45 |

b) Update on Status (Impact Analysis)

The use of MTW Block funds has produced over 1,200 quality affordable housing units. The ability to reposition the aging LIPH stock utilizing MTW Block funds allows for cost effectiveness, the ability to leverage dollars, provides additional income streams from developer fees, and for the production of quality housing.

Since implementation of this initiative, 238 units have been developed or are under development with another 111 planned (Farnam Court Phase II- onsite).

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. The introduction of RAD conversion allows for additional tools for the conversion of ACC units. Sites not under RAD approval will continue to make maximum use of this flexibility.

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.

¹¹ All Monterey ACC units will be converted during FY2017 to RAD PBVs

¹² RAD-assisted

¹³ 55 RAD-assisted and 2 PBVs

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.

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

a) Description of Activity

ECC/HANH has aggressively redeveloped the West Rock community home to four low income public housing sites. To date, Brookside, Rockview, Ribicoff Cottages and the newly created Wilmont Crossing have all been completed transforming obsolete public housing and commercial sites into vibrant missed income communities that brought 300 units of affordable and market rate rental housing, homeownership, associated community space and commercial space into the West Rock community. ECC/HANH worked successfully with the City of New Haven and the Town of Hamden to open a long-closed road thereby creating an access way into the community from the Town of Hamden. Westville Manor, a 150 unit LIPH development remains the only community not yet redeveloped.

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. The Rockview Phase II development will be an off-site component of the Westville Manor redevelopment. This initiative is part of the Westville RAD submission for the creation of replacement public housing units. The Authority intends to demolish Westville Manor and will create these units on-site and off-site at Rockview Phase II Rental. Rockview Phase II Rental will rely on the MTW authorizations for alternative TDCs and commingling of funds. This initiative was approved in FY2014 and was subsequently put on hold in FY2015. ECC/HANH now returns its focus to this initiative during FY2017.

The Authority anticipates submitting a 9% Tax Credit Application in November 2016. As such, the anticipated closing will be in the Fall of 2017.

Rockview Phase II Rental will rely on the MTW authorizations for alternative TDCs and commingling of funds. 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, a faster lease-up and fewer turnovers.

b) Update on Status (Impact Analysis)

- RAD application submitted FY2016
- Submission of a 9% Tax Credit Application in November 2016.
- Anticipated closing will be in the Fall of 2017.

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 1.16 – Crawford Manor Transformation Plan (Amendment 1 to ECC/HANH's FY2014 MTW Plan)

Approved in FY2013 and implemented in FY2016.

A. Description

The Authority applied 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 ECC/HANH's MTW Agreement with HUD, ECC/HANH is authorized to develop its own Leased Housing Program through exceptions to the standard HCV program, during FY2008; ECC/HANH began to implement MTW Rent Standards that allow ECC/HANH to approve exception rents. Under no circumstances may ECC/HANH approve an MTW Rent Standard above 150% without prior HUD approval. ECC/HANH will reexamine its MTW Rent Standards monthly to ensure that ECC/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) Update on Status (Impact Analysis)

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.

- Choice Neighborhood Planning Grant –submission March 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 1.17 – Westville Manor Transformation Plan (Amendment 1 to ECC/HANH's FY2014 MTW Plan)

Approved in FY2014 and implemented in FY2016.

A. Description

It is the intent of the Authority to redevelop the Westville Manor development in the West Rock neighborhood pursuant to RAD or mixed-finance. With ECC/HANH investing in the redevelopment of Brookside Phase I and II, Rockview, 122 Wilmot Road and Ribicoff Cottages and Extension, the only remaining obsolete low income public housing development remaining in the West Rock community is Westville Manor. Westville Manor is a 150 unit family development with site, design and infrastructure issues that lend itself to a mixed finance redevelopment or RAD conversion and redevelopment. This transformation plan will include replacement units on the Westville Manor site as well as the Rockview Phase II parcel (Initiative 1.15) and the redevelopment of the West Rock Community Center located at 295 Wilmot Road.

Master planning for the redevelopment of this site into a mixed income and if feasible, a mixed-use community with rental and homeownership options. Master planning may also result in the acquisition of available adjacent parcels to incorporate in the Westville Manor redevelopment. The Authority or the Glendower Group will purchase the adjacent property located at 34 Level Street to afford for a comprehensive redevelopment.

b) Update on Status (Impact Analysis)

The impact of the completed project shall promote housing choice for low income families by eliminating a poor performing option and improving the housing choice options, 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 which also supports the development of the surrounding neighborhood with new businesses and renewed sense of community.

- Resident Information Meeting – July 2016
- Solicitation of Master Planner – July 2016
- Solicitation of Architect – FY 2017
- Award of Architect – FY 2017
- Solicitation of Construction Manager at Risk – FY 2017
- Award of CM@Risk – FY2017
- Closing on RAD –TBD
- Mixed finance closing - TBD
- Construction Start – TBD
- Construction Completion – TBD

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, Financial Literacy; Basic, Intermediate And Advanced computer training. Additionally, to support residents in acquiring and retaining a job, ECC provides Job Skills/Life Skills classes. We know that providing these classes, as well as other trainings, increase their employment options and help residents achieve a greater level of self-sufficiency.

During 2016 a total of 95 residents enrolled in classes at our learning lab. Thirty four residents attended GED classes which are no longer offered on-site as of 12/31/15. Of that number, 21 were returning/continuing residents. Fifty-five residents attended basic computers with 20 graduating from the course. Sixteen residents attended Job Skills and all participants graduated.

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

The MTW FSS program serves over 680 families. This includes 100 families enrolled in the HUD FSS grant funded slots; 50 Section Eight Homeownership Program (SEHOP) vouchers; up to 277 families enrolled in the CARES Program; and 260 identified work-able families enrolled in MTW funded slots.

ECC/ HANH would like to add 50 extra slots to the HUD FSS funded slots, bringing the total number of FSS HUD slots to 150, 10 vouchers to the SEHOP program and another 10 vouchers to be used in connection with the CARES program; bringing the total number of SEHOP vouchers to 70.

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

ECC/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 ECC/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: 1st year of participation = 100%, 2nd year of participation = 75%, 3rd year of participation = 50%, 4th year of participation = 25%, 5th year of participation = 0%. During the 5th 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 1st 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) ECC/HANH implemented a data collection method that better identified and tracked families and participants enrolled in the IEE initiative. Current data reflects that 39 families are newly enrolled in IEE and the average income of these households of \$32,760. 85% of families enrolled are employed full-time, part-time or self-employed. ECC/HANH's goal is to enroll all families who are part of the MTW FSS initiative.

Internal Metrics

There are no internal metrics for this initiative.

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, ECC/HANH implemented a new pilot program to promote HUD's mission to promote self-sufficiency throughout the agency. ECC/HANH developed a pilot self-sufficiency plan for the Brookside Phase II Rental development and Rock View 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 ECC/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 and Rock View, 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 and 77 at Rock View, all have been assessed and are required to enroll in the CARES program except those residents who are excluded.

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 ECC/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.

The CARES program description can be found in Appendix 3.

- **Rationale:** As a result of the implementation with the CARES program, ECC/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 \$32,500.00 in earned wages per year, all participants are employed full time. In Transition CARES Program, residents average \$ 12,550.00 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, 137 residents are enrolled in CARES. 82 Residents in Transition CARES and 55 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, 35 residents attended training programs related to their jobs. Of the 35, 18 residents have completed training and 17 residents are still enrolled.

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

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 (ECC/HANH) has recently launched a new youth initiative—ECC/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. ECC/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.

ECC/HANH Believes is comprised of supports that expand upon the good work ECC/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 ECC/HANH residents, ECC/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 ECC/HANH-wide programs, ECC/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 ECC/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, ECC/HANH offers 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 ECC/HANH Believes will be called "Teachers in Residence" and the initiative will provide ECC/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 ECC/HANH and each teacher, will be required to provide educational assistance to approximately 70 ECC/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 ECC/HANH staff, throughout the school year;
- Provide homework help and/or tutoring for students in their respective ECC/HANH developments;
- Facilitate site-based meetings for parent residents, in conjunction w/ECC/HANH staff, so that parents may better understand how to navigate the New Haven public schools; and
- Participate in the Tenant Resident Council.

ECC/HANH will host meet and greets for each teacher at the identified ECC/HANH sites in order to spark relationships between and among the Teachers in Residence and residents, facilitate communication between the teachers and ECC/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 ECC/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)

ECC/HANH has received HUD approval for two (2) MTW neighborhood services special use dwelling units, one at Waverly townhouses and the other at McConaughy Terrace. ECC/HANH is currently soliciting potential teachers for the program; job posting has been listed with the agency. Interviews for the position began during June of 2016. The goal is to have teachers in place before the beginning of the upcoming school year; late August 2016. To date, one teacher has been placed at Waverly Townhouses. ECC/HANH is still in the process of placing a second teacher at McConaughy Terrace.

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

We will be providing the HUD field office in Hartford a quarterly report on the status of the program. In addition, metrics will also be provided in the MTW annual report.

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

ECC/HANH's rentsimplification program description can be found in Appendix 5.

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

ECC/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 All adult members (excluding live-in attendants) of the household are elderly (age 62) 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 ECC/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, ECC/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 (more than 2 dependants). It also includes families with excessive medical, disability assistance, or childcare expenses. Combined, exceptional expenses must total no less than \$2000.00 in order for family to qualify for the additional monthly rent deduction.

- 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 - \$ 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. ECC/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 ECC/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. ECC/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

ECC/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.** ECC/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 ECC/HANH completed approximately 1,788 recertifications and 1,982 in 2014 compared to approximately 3,628 during FY2007 prior to launch of Rent Simplification. This reduction is anticipated to be maintained.
- **Minimum rent.** In FY2015 205 families were on minimum rent, this number was 9% lower than 225 in 2014 & 10.5% lower than 229 in 2013. 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%). Since October 1st of FY16 ninety four applications were received and fifty five applications for hardship have been approved showing an increase in percentage of applications approved (59%). ECC/HANH continues to monitor trends in hardship applications. It is anticipated that applications will trend downward with approvals steady or increasing suggesting that inappropriate applications are no longer received, appropriate applications processed and approved and ultimately more residents working and not needing minimum rent or exemption.

- **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. No other studies have been conducted since then.
- **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.

In 2015 ECC/HANH clarified the definitions to define elderly/disabled and work-able families. Elderly/disabled families are 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, ECC/HANH reorganized 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 are in the process of being 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 now have mail-in recertifications instead of in-person meetings that have previously been used as part of the recertification process. ECC/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 ECC/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.

3. Indicate if the PHA anticipates any non-significant changes or modifications to the activity during the Plan year. None

4. Indicate if the PHA anticipates any changes or modifications to the metrics, baselines or benchmarks during the Plan year. None

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 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;

ECC/HANH is in the process of completing a caseload optimization project in its Housing Choice Voucher program. This initiative was first implemented in January of 2015, and no update on impact is available at this time. ECC/HANH will implement a Data collection tool so that this information is captured in the next Fy2016 report and the Fy2017 plan.

3. Provide a timeline for implementation.

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

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

ECC/HANH has no activities listed under Not Yet Implemented

C. Activities On Hold

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

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 ECC/HANH has discovered some significant structural issues in the property. ECC/HANH is in the process of further studying Fulton Park's structural integrity. Once this evaluation is completed, ECC/HANH can continue with planning. This development has received approval for RAD conversion under the RAD Portfolio award.

D. Closed-Out Activities

This section includes all approved activities that have been closed out, including activities that ECC/HANH does not plan to implement and obsolete activities.

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 ECC/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.

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

No actions were taken towards reactivating this activity in FY 2016, ECC/HANH will no longer pursue this activity.

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.

ECC/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.

ECC/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. ECC/HANH is doing its due diligence to see if job training initiative (Café) is suitable for the remaining commercial space. The most viable lesson ECC/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.

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.

ECC/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.

ECC/HANH needed to do more analysis and feasibility studies before the proper implementation of trading or substituting commodities for equal or said amounts of ECC/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 ECC/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) ECC/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.

ECC/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/ECC/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 ECC/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, ECC/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, ECC/HANH completed a random sampling of no less than 20% of units for UPCS inspections. This allowed ECC/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, ECC/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.

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

By implementing this initiative, ECC/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, ECC/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 ECC/HANH will abate the landlord's rent. Quality Control inspections are performed in-house by ECC/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.

ECC/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 ECC/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, ECC/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 | \$1,500,000 |
| 70600 | HUD PHA Operating Grants | \$81,390,000 |
| 70610 | Capital Grants | \$5,508,014 |
| 70700 (70710+70720+70730+70740+70750) | Total Fee Revenue | \$1,700,000 |
| 71100+72000 | Interest Income | \$8,000 |
| 71600 | Gain or Loss on Sale of Capital Assets | \$0 |
| 71200+71300+71310+71400+71500 | Other Income | \$500,000 |
| 70000 | Total Revenue | \$90,606,014 |

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 | \$12,980,000 |
| 91300+91310+92000 | Management Fee Expense | \$1,700,000 |
| 91810 | Allocated Overhead | \$0 |
| 92500 (92100+92200+92300+92400) | Total Tenant Services | \$2,900,953 |
| 93000 (93100+93600+93200+93300+93400+93800) | Total Utilities | \$3,440,000 |
| 93500+93700 | Labor | \$0 |
| 94000 (94100+94200+94300+94500) | Total Ordinary Maintenance | \$5,880,000 |
| 95000 (95100+95200+95300+95500) | Total Protective Services | \$820,000 |
| 96100 (96110+96120+96130+96140) | Total Insurance Premiums | \$1,040,000 |
| 96000 (96200+96210+96300+96400+96500+96600+96800) | Total Other General Expenses | \$7,200,000 |
| 96700 (96710+96720+96730) | Total Interest Expense and Amortization Cost | \$300,000 |
| 97100+97200 | Total Extraordinary Maintenance | \$500,000 |
| 97300+97350 | Housing Assistance Payments + HAP Portability-In | \$55,330,000 |
| 97400 | Depreciation Expense | \$8,000,000 |
| 97500+97600+97700+97800 | All Other Expenses | \$0 |
| 90000 | Total Expenses | \$100,090,953 |

Note: \$10m difference:

The difference between the total expenses (90000) of \$100,069,322 and total revenue (70000) of \$90,596,162 is \$9,473,160. Depreciation Expense (97400) accounts for \$8,000,000 of the difference. Depreciation is an accounting adjustment that does not have a direct cash impact in the year that the depreciation is charged, therefore this \$8,000,000 does not need to be funded in FY2017. The balance of \$1,473,160 will be funded out of reserves, assuming additional grants or other funding is not obtained for FY2017.

Describe the Activities that Will Use Only MTW Single Fund Flexibility

Single fund flexibility is made possible by the MTW program. It enables ECC/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 as well as the Resident Services for Elderly/Disabled. See narrative on pg 81

V.2.Plan.Local Asset Management Plan

B. MTW Plan: Local Asset Management Plan

Is the PHA allocating costs within statute?

or

No

Is the PHA implementing a local asset management plan (LAMP)?

or

If the PHA is implementing a LAMP, it shall be described in an appendix every year beginning with the year it is proposed and approved. 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?

or

No Changes Were Made. Please refer to Appendix 2 for HANH/Elm City Communities' Local Asset Management Plan.

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

| | | | | | | | | | | |
|---|------------------------------|-----------------------|--------------------|------------------|-----------------------|------------------|--------------------------|-------------|------------------|-------------------------------|
| Tenant Services | | | | | | | | | | |
| Community and Economic Development | | | | | | | | | | |
| | FY 2017 Project Total | Capital Grants | MTW | ROSS | Developer Fees | Other | Tax Credit Equity | DECD | Bank Loan | Est Total Project Cost |
| <i>Community and Economic Development</i> | | | | | | | | | | |
| Tenant Services Salaries | \$1,314,453 | | \$965,453 | \$162,000 | | \$187,000 | | | | |
| SEHOP Capital Improvement | \$48,000 | | \$48,000 | | | | | | | |
| Parent Organizer | \$153,000 | | | | | \$153,000 | | | | |
| CARES | \$250,000 | | \$250,000 | | | | | | | |
| McQueeney Supportive Services | \$245,000 | | \$245,000 | | | | | | | |
| Crawford Manor Supportive Services | \$270,000 | | \$270,000 | | | | | | | |
| Ruoppolo and Fairmont | \$140,000 | | \$140,000 | | | | | | | |
| Robert T. Wolfe | \$175,000 | | \$175,000 | | | | | | | |
| William R. Rowe | \$15,000 | | \$15,000 | | | | | | | |
| Winslow-Celentano | \$14,000 | | \$14,000 | | | | | | | |
| Westville Manor | \$125,000 | | \$125,000 | | | | | | | |
| McConaughy Terrace | \$40,000 | | \$40,000 | | | | | | | |
| Valley and Waverly Townhouses | \$10,000 | | \$10,000 | | | | | | | |
| Katherine Harvey Terrace | \$3,500 | | \$3,500 | | | | | | | |
| Newhall Gardens | \$6,000 | | \$6,000 | | | | | | | |
| Prescott Bush | \$12,000 | | \$12,000 | | | | | | | |
| Constance Baker Motley | \$9,000 | | \$9,000 | | | | | | | |
| Farnam Courts | \$26,000 | | \$26,000 | | | | | | | |
| Essex Townhouses | \$7,000 | | \$7,000 | | | | | | | |
| Scattered Sites | \$40,000 | | \$40,000 | | | | | | | |
| Miscellaneous | \$500,000 | | \$500,000 | | | | | | | |
| Total CED | \$3,402,953 | \$0 | \$2,900,953 | \$162,000 | \$0 | \$340,000 | \$0 | \$0 | \$0 | |

| | FY2017 Project Total | Capital Grants | MTW | ROSS | Developer Fees | Other | Tax Credit Equity | DECD | Bank Loan | Other | Est Total Project Cost |
|---|----------------------|----------------|-----------|------|----------------|-----------|-------------------|------|-----------|-------|------------------------|
| Capital Projects | | | | | | | | | | | |
| Agencywide UFAS Compliance | \$180,000 | \$180,000 | | | | | | | | | \$180,000 |
| Agencywide Vacancy Reduction | \$200,000 | \$200,000 | | | | | | | | | \$200,000 |
| Agencywide Environmental remediation | \$200,000 | \$150,000 | \$50,000 | | | | | | | | \$200,000 |
| Agency wide Needs Assessments | \$25,000 | \$25,000 | | | | | | | | | \$25,000 |
| Crawford Manor boiler/heating system upgrade in phases | \$50,000 | \$50,000 | | | | | | | | | \$945,000 |
| Crawford Manor HVAC in-unit Heating | \$787,250 | \$563,862 | \$223,388 | | | | | | | | \$787,250 |
| Crawford Manor Restroom Upgrades – Grab bars | \$206,250 | \$206,250 | | | | | | | | | \$1,635,000 |
| Winslow-Celentano boiler/heating system upgrade in phases | \$50,000 | \$50,000 | | | | | | | | | \$585,000 |
| Winslow-Celentano Compactors/bailor | \$175,000 | \$175,000 | | | | | | | | | \$175,000 |
| Winslow-Celentano Building Lighting | \$60,000 | \$60,000 | | | | | | | | | \$60,000 |
| Ruoppolo Generator Replacement | \$25,000 | \$25,000 | | | | | | | | | \$145,000 |
| Westville Manor HVAC In-Unit Heating | \$257,388 | \$200,000 | \$57,388 | | | | | | | | \$257,388 |
| Wolfe Cracked Sanitary Sewer in community Room | \$100,000 | \$100,000 | | | | | | | | | \$100,000 |
| Wolfe ADA Compliant Main Entrance | \$20,000 | \$12,000 | \$8,000 | | | | | | | | \$20,000 |
| McQueeney Kitchens and Baths | \$100,000 | \$100,000 | | | | | | | | | \$1,000,000 |
| McConaughy Sewer Replacement | \$500,000 | \$500,000 | | | | | | | | | \$2,000,000 |
| McConaughy HVAC In Unit heating | \$456,000 | \$228,000 | \$228,000 | | | | | | | | \$456,000 |
| IQC A&E | \$250,000 | \$250,000 | | | | | | | | | \$250,000 |
| IQC Environmental | \$250,000 | \$250,000 | | | | | | | | | \$250,000 |
| Energy Performance Contract | \$500,000 | \$0 | | | | \$500,000 | | | | | \$5,278,227 |
| Bond Debt Repayment | \$906,138 | \$906,138 | | | | | | | | | \$5,718,018 |
| Total Capital Projects | \$5,298,026 | \$4,231,250 | \$566,776 | \$0 | \$0 | \$500,000 | \$0 | \$0 | \$0 | \$0 | \$20,266,883 |

Development Costs Glendower Group

| | FY 2017 Project Total | Capital Grants | MTW | ROSS | Developer Fees | Other | Tax Credit Equity | DECD | Bank Loan | Est Total Project Cost |
|-----------------------------------|--------------------------|-------------------|---------------------|------------|-------------------|------------------|----------------------|--------------------|---------------------|---------------------------|
| <i>Development</i> | | | | | | | | | | |
| Monterey RAD | \$100,000 | | \$100,000 | | | | | | | \$100,000 |
| Eastview Terrace I RAD | \$100,000 | | \$100,000 | | | | | | | \$100,000 |
| Wimot Road RAD | \$100,000 | | \$100,000 | | | | | | | \$100,000 |
| Fulton Park -RAD | \$100,000 | | | | | | | | \$1,411,240 | \$1,411,240 |
| Farnam Courts Phase I- RAD | \$31,611,552 | | \$7,164,000 | | | \$12,000,029 | \$11,660,130 | \$5,000,000 | \$7,787,422 | \$31,611,552 |
| Fair Haven (Farnum off-site) RAD | \$1,000,000 | | \$100,000 | | | \$916,300 | \$10,974,034 | \$1,664,912 | \$5,890,190 | \$19,545,436 |
| Valley Townhouses RAD | \$100,000 | | \$1,367,000 | | | | | | \$2,222,659 | \$3,589,659 |
| Waverly Townhouses RAD | \$100,000 | | | | | | | | \$4,941,504 | \$4,941,504 |
| Constance Baker Motley RAD | \$100,000 | | | | | | | | \$1,667,640 | \$1,667,640 |
| Chamberlain Courts RAD | \$100,000 | | \$107,460 | | | | | | | \$107,460 |
| Fulton Park RAD | \$100,000 | | | | | | | | \$1,411,240 | \$1,411,240 |
| Katherine Harvey Terrace RAD | \$100,000 | | \$1,027,420 | | | | | | | \$1,027,420 |
| Newhall Gardens RAD | \$100,000 | | \$1,509,910 | | | | | | | \$1,509,910 |
| Prescott Bush RAD | \$100,000 | | | | | | | | \$1,038,560 | \$1,038,560 |
| Robert T. Wolfe RAD | \$100,000 | | \$2,182,993 | | | | | | \$2,325,000 | \$4,507,993 |
| Winslow-Celentano RAD | \$100,000 | | \$3,123,163 | | | | | | \$800,000 | \$3,923,163 |
| Matthew Ruoppolo Manor RAD | \$100,000 | | \$3,466,151 | | | | \$1,727,000 | | \$4,100,000 | \$9,293,151 |
| Fairmont Heights RAD | \$100,000 | | | | | | | | \$2,866,896 | \$2,866,896 |
| McQueeney Towers RAD | \$100,000 | | \$142,200 | | | | \$5,591,000 | | \$8,057,320 | \$13,790,520 |
| Westville Manor - RAD | \$100,000 | | \$200,000 | | | | | | | TBD |
| Rockview Phase II | \$100,000 | | | | | | | | | TBD |
| Rockview Community Center | \$100,000 | | \$100,000 | | | | | | | \$100,000 |
| Brookside 1 Rental OFFP Bond | \$906,138 | \$906,138 | | | | | | | | \$906,138 |
| GAP Financing | \$1,500,000 | | \$1,500,000 | | | | | | | \$1,500,000 |
| Commercial space | | | | | | | | | | |
| Total Development Projects | \$37,017,690 | \$906,138 | \$22,290,297 | \$0 | \$0 | \$916,300 | \$29,952,164 | \$6,664,912 | \$44,519,671 | \$105,249,482 |

Initiatives Requiring MTW Funding Flexibility Only

Project Modernization

Description

During FY2017, ECC/HANH is continuing to address hazardous material remediation and return of long term vacancies to occupancy, as well as, making modifications to office and common space areas for increased efficiency and improved client service.

ECC/HANH is continuing with agency wide UFAS compliance, agency wide vacancy reduction efforts and performing environmental remediation work where needed. ECC/HANH intends to complete boiler replacement at Crawford Manor and at Winslow-Celentano; perform emergency generator replacement at Ruoppolo; complete agency wide needs assessments; continue McQueeney kitchen, bathroom and unit upgrades; initiate sewer replacement at McConaughy and continue HVAC in-unit heating replacements at McConaughy. At Crawford, ECC/HANH will perform HVAC in-unit heating system upgrades and install bathroom grab bars. At Winslow-Celentano, ECC/HANH plans to replace the compactor/bailer and install building lighting. At Westville, ECC/HANH will perform HVAC in-unit heating replacements. At Wolfe, ECC/HANH intends to remediate cracked sewer line in the community room and make accessibility improvements to the main entrance. ECC/HANH will continue with architectural, engineering and environmental consulting services; energy performance contract; and Brookside 1 Rental CFFP Bond repayment.

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

Impact Analysis

Initiatives including boiler replacements to reduce energy consumption, address health and safety, and improve resident comfort.

Vacancy Reduction

Implemented in FY2008.

Description of Activity

ECC/HANH will continue to show improvement from the baseline FY2008 vacancy rate of 10%. Efforts continued in FY2016.

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 manage all administrative functions supporting vacancy reduction.

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

Approved in ECC/HANH received approval of HUD to dispose of the Brookside property in FY2010. ECC/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.

ECC/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 ECC/HANH's MTW Plan. ECC/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 ECC/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 ECC/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 ECC/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 |
|-----------|---------------|
|-----------|---------------|

| Site | Completed Construction | Lease up | TDC HCC Limits | PBV and Income |
|-------------------------------|-------------------------|----------------|----------------|----------------|
| 122 Willmot Rd (WestRock) | 10/31/2013 | 12/31/2013 | x | x |
| Brookside Phase I (WestRock) | 8/10/2012 | 7/23/2013 | x | x |
| Brookside Phase II (WestRock) | 11/1/2012 | 2/1/2013 | x | x |
| William T. Rowe (Land swap) | 8/5/2011 | 10/31/2011 | x | x |
| Rockview Phase I (WestRock) | 12/31/2013 | 2/28/2011 | x | x |
| Quinnipiac Terrace III | 5/31/2011 | 7/31/2011 | x | x |
| Eastview Terrace | 11/5/2008 | 6/30/2009 | x | x |
| Farnam | Financial Closing | Not Applicable | x | x |
| Ribicoff Cottage 9% | 12/1/2015 | 12/30/2015 | x | x |
| Ribicoff Cottages 9% | To be Completed 07/2016 | Not Applicable | x | x |
| Westville Manor | Under Design | Not Applicable | x | x |

Resident Owned Business Development

Implemented in FY2011.

Description

ECC/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 ECC/HANH serves residents that start their own businesses by providing technical assistance services. ECC/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.

ECC/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 ECC/HANH Resident Owned Business Concerns may apply for the revolving loans; and 2) the business' Principal must commit to enrolling into ECC/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 an ECC/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:** ECC/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 and one resident operates 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. No ROB's has transitioned off subsidized housing.

In addition to offering ongoing support to the existing five ROB's, the program is presently recruiting new ROBs and highly encouraging non-construction entities to participate in the program. The program has also made information about the program more accessible. Residents referred to the program may receive a very detailed outline of the program via written material and will be screened immediately by ROB program facilitator.

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.

SEHOP Capital Improvement Program

ECC/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 45 homeowners. 1 waiting to close and 3 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 ECC/HANH serves individuals who have reentered society after completing a prison sentence. ECC/HANH offers mentoring, training and housing for individuals that qualify for this program. ECC/HANH reentry program candidates are referred by the city of New Haven. ECC/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.

ECC/HANH's reentry program activities include the following elements:

When the Reentry Program was initiated in June 2010, ECC/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, ECC/HANH is able to directly provide many resources, or connect residents to existing services. In particular, ECC/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. ECC/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 now at 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 fiscal year 2016, the Re-Entry program leased 3 additional household; 1 resident was evicted for lease violations and now has a total of 15 households subsidized under the program. We met with each household to confirm continued program compliance. 8 households of the total 15 are receiving disability income from the Social Security Administration; 3 households have wages derived from part-time employment; 2 households are the recipients of contributions from family members as the only means of income; 2 households count child support as part of their income; and 1 household receive Temporary Assistance for Needy Families (TANF).

There is only 1 household that is pursuing higher education and is enrolled as a full-time student. Twelve residents participating in the re-entry program have "graduated" and no longer require case management services. These slots will be filled during FY2017.

| CURRENT STATUS OF RE-ENTRY RESIDENTS | |
|---|----|
| Number of Current Re-Entry Residents | 15 |
| Number of residents attending higher education | 1 |
| Number of disabled residents | 11 |
| Number of residents with employment income | 3 |
| Number of residents receiving contributions from family/friends | 2 |
| Number of residents participating in FSS classes | 0 |
| Number of residents referred to FSS | 2 |
| Number of residents with exemptions from attending FSS classes | 1 |
| Number of residents pending hearings for non-compliance | 1 |
| Number of residents, who re-offend | 0 |
| Number of residents in Re-Entry for 1 year or more and may consider themselves as "graduated" | 12 |

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 ECC/HANH has interviewed 113 applicants for the Reentry Program, 27 families have been assisted thru this initiative and there are 41 families on the wait list. Since the beginning of the program 3 individuals have graduated from the program and 6 individuals have been terminated from the program.

Resident Services for Elderly/Disabled

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

Description

ECC/HANH offers a full array of self sufficiency initiatives that require flexibility in the use of ECC/HANH's dollars to fund staff and contractual costs associated with mental health and substance abuse services provided on site in ECC/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 ECC/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. ECC/HANH offers mentoring, training and housing, which includes supportive housing services, for individuals that qualify for this program.

ECC/HANH's Elderly Disable program activities include the following elements: ECC/HANH has established a preference for a maximum of 110 units of Low Income Public Housing units for individuals who qualify for this program. ECC/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

Supportive Services for Elderly and Disabled

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 2015 the average number of residents enrolled at the four sites was: Crawford Manor 25, McQueeney Towers 29, Ruoppolo Manor 24, and Wolfe 22. In 2016 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. An average of 164 residents per month have been using our services as not enrolled "walk-ins" this year.

In 2015 an average of 227 outreach efforts were made per month. In 2016 the efforts were increased to 430 per month. These efforts would include movie nights, trips to events or local attractions, and holiday events. The programs also offer groups. In 2015 the average number of groups was 151 per month for the programs. In 2016 the average was 172. 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. The program staff have also been providing transportation to an average of 179 residents per month to appointments and for other needs.

In 2016 3 residents who enrolled in the program were able to return to 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 2016 three elderly residents 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.

Internal Metrics

In addition, ECC/HANH tracks resident compliance with the individual action plans.

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 ECC/HANH’s MTW Annual Plan for FY2017 June 21, 2016

Board Resolution

To: Board of Commissioners

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

Date: June 21, 2016

RE: Approval of MTW Annual Plan for FY 2017

ACTION: Recommend that the Board of Commissioners adopt Resolution Number 06-56/16-R

TIMING: Immediately.

DISCUSSION:

As a MTW agency, HANH is required, to provide an Annual MTW Plan and an Annual MTW Report. The MTW Annual Plan for FY 2017 was made available for public review on May 2, 2016 and a public hearing was held on May 31, 2016. ECC/HANH received and considered public comments from New Haven Legal Assistance. No other comments were received.

HANH submits for Board approval the MTW Annual Plan for Fiscal Year 2017. 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 2017 and all related or required certifications and HUD forms, of which the attached document is a part, as well as all necessary documentation and submissions of the Plan.

FISCAL IMPACT: None.

STAFF: Leasley Negron, Performance Auditor

Housing Authority of the City of New Haven

Resolution Number: 06-56/16-R

APPROVING HANH'S MTW ANNUAL PLAN FOR FY 2017

WHEREAS, HANH is required, to provide an Annual MTW Plan and an Annual MTW Report; and

WHEREAS, . The MTW Annual Plan for FY 2017 was made available for public review on May 2, 2016 and a public hearing was held on May 31, 2016.; and

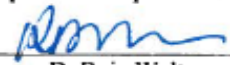
WHEREAS, ECC/HANH received and considered public comments from New Haven Legal Assistance. No other comments were received; and

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 2017 and all related or required certifications and HUD forms, of which this document is a part, as well as 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 21, 2016.


Karen DuBois-Walton
Secretary/Executive Director

6/21/16
Date

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

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

Certificate of Compliance

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

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

Attachment B

Certifications of Compliance

Annual Moving to Work Plan
Certifications of Compliance

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

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

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the Annual Moving to Work Plan for the PHA fiscal year beginning 10/01/2016, 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.

Attachment B

1

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.

Elm City Communities, Housing Authority of New Haven
PHA Name


CT004
PHA Number/HA Code

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


Name of Authorized Official


Title


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

ECC/HANH is subject to no outstanding compliance issues related to prior Voluntary Compliance Agreements.

ECC/HANH has submitted a corrective action plan to HUD with regard to the collection of Tenant Accounts Receivables. This was submitted on May 2, 2016.

A. Results of Agency Directed Evaluations of Demonstration

ECC/HANH has contracted with an outside evaluator to assess ECC/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 92.2%, ECC/HANH has met the requirement that 75% of families assisted be below 50% of AMI at admission.

| Fiscal Year | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 |
|--|-------------|-------------|-------------|-------------|-------------|-------------|-------------|
| 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% |

| Fiscal Year | 2014 | 2015 | 2016 | 2017 |
|--|-------------|-------------|-------------|-------------|
| Total number of newly admitted families assisted | 352 | 414 | 437 | TBD |
| Number of families with incomes below 50% of area median | 332 | 390 | 403 | TBD |
| Percentage of families with incomes below 50% of area median | 94.32% | 94.2% | 92.22% | TBD |

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

| | |
|---|-------|
| Baseline number of families to be served (total number of families) ¹⁴ | 4,827 |
| Total number of families served this fiscal year (HCV:3,656; LIPH: 2,162) | 5,818 |
| Numerical Difference | +991 |

¹⁴ Based upon agreed upon baseline calculation discussions with HUD (March 2012)

| | |
|-----------------------|---------|
| Percentage Difference | + 20.5% |
|-----------------------|---------|

ECC/HANH has served considerably more families since achieving MTW status primarily through its modernization and redevelopment efforts made possible by MTW flexibility. During FY17 ECC/HANH plans to serve 18% more families than at baseline.

Baseline for the Mix of Family Sizes to Be Served

| | 1 person | 2 people | 3 people | 4 people | 5 people | 6+ people | Total |
|--|-----------------|-----------------|-----------------|-----------------|-----------------|------------------|--------------|
| Baseline percentages of family sizes to be maintained | 32.01% | 24.05% | 19.97% | 12.95% | 6.07% | 4.95% | 100% |
| Number of families served by family size this fiscal year | 2,032 | 1,190 | 937 | 551 | 270 | 155 | 5,135 |
| Percentage of families served by family sizes this fiscal year | 39.67% | 23.38% | 18.15% | 10.85% | 4.83% | 3.12% | 100% |
| Percentage Difference | +7.67% | -0.68% | -1.82% | -2.10% | -1.24% | -1.83% | |

| | Agreement Year BASELINE Sep-01 | FY2002 | FY2003 | FY2004 | FY2005 | FY2006 | FY2007 | FY2008 | FY2009 | FY2010 |
|---|---|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|--------------|
| 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 |
| NUMERATOR - Families Served Total | 4,827 | 4,975 | 4,889 | 4,913 | 5,094 | 4,865 | 4,637 | 5,389 | 4,940 | 5,092 |
| Baseline Number of Families (Public Housing) | 1,970 | 1,970 | 1,852 | 1,852 | 1,575 | 1,432 | 1,490 | 1,365 | 1,303 | 1,061 |
| 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 |
| Baseline Number of Families (Vouchers) | 2,857 | 2,857 | 2,934 | 2,934 | 2,934 | 2,992 | 3,026 | 3,026 | 3,026 | 3,026 |
| 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 |
| DENOMINATOR - Baseline Total | 4,827 | 4,786 | 4,786 | 4,509 | 4,424 | 4,516 | 4,391 | 4,329 | 4,087 | 4,093 |
| % TOTAL | 100% | 104% | 102% | 109% | 115% | 108% | 106% | 124% | 121% | 124% |

| | Agreement Year BASELINE Sep-01 | FY2011 | FY2012 | FY2013 | FY2014 | FY2015 | FY2016 |
|---|---|---------------|---------------|---------------|---------------|---------------|---------------|
| Families Served through MTW Public Housing | 1,970 | 2,294 | 2,161 | 2,576 | 2,139 | 2,181 | 2,162 |
| Families Served through MTW Vouchers | 2,857 | 3,089 | 2,975 | 2,860 | 3,328 | 3,466 | 3,656 |
| Other Families Served through MTW | 0 | 0 | | | | | |
| NUMERATOR - Families Served Total | 4,827 | 5,383 | 5,136 | 5,436 | 5,467 | 5,647 | 5,818 |
| Baseline Number of Families (Public Housing) | 1,970 | 1,061 | 1,060 | 1,060 | 1,060 | 1,060 | 1,060 |
| Incremental Increase to Baseline | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Incremental Decrease to Baseline | 0 | -1 | 0 | 0 | 0 | 0 | 0 |
| Baseline Number of Families (Vouchers) | 2,857 | 3,032 | 3,041 | 3,041 | 3,041 | 3,041 | 3,041 |
| Incremental Increase to Baseline | 0 | 9 | 0 | 0 | 0 | 0 | 0 |
| Incremental Decrease to Baseline | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| DENOMINATOR - Baseline Total | 4,827 | 4,101 | 4,101 | 4,101 | 4,101 | 4,101 | 4,101 |
| % TOTAL | 100% | 131% | 125% | 133% | 133% | 138% | 142% |

| Data Source Families Served | | |
|---|-------------|---------------|
| <i>Source</i> | <i>Year</i> | <i>Amount</i> |
| September 2001 - Vouchers - Pulled from page 184 of ECC/HANH's FY2002 Annual MTW Report. | FY2001 | 2,857 |
| September 2001 - Public Housing - Pulled from last page of ECC/HANH's FY2002 Annual MTW Report. | FY2001 | 1,970 |
| FY2002 - Vouchers - Pulled from ECC/HANH FY2009 Annual MTW Report (page 22). | FY2002 | 2,889 |
| FY2002 - Public Housing - Pulled from ECC/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 ECC/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 ECC/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 ECC/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 ECC/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 ECC/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 ECC/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 ECC/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 ECC/HANH FY2010 Annual MTW Report (page 11). | FY2010 | 2,017 |

| | | |
|--|--------|-------|
| FY2011 – Vouchers - Pulled from ECC/HANH MTW Number of Low Income Families Served Report as of 9/30/2011 | FY2011 | 2,904 |
| FY2011 – Public Housing - Pulled from ECC/HANH MTW Number of Low Income Families Served Report as of 9/30/2011 | FY2011 | 2,120 |
| FY2012 – Vouchers - Pulled from ECC/HANH MTW Number of Low Income Families Served Report as of 9/30/2012 | FY2012 | 2,987 |
| FY2012 – Public Housing - Pulled from ECC/HANH MTW Number of Low Income Families Served Report as of 9/30/2012 | FY2012 | 2,208 |
| FY2013 – Vouchers - Pulled from ECC/HANH MTW Number of Low Income Families Served Report 9/30/2013 | FY2013 | 3,127 |
| FY2013 – Public Housing - Pulled from ECC/HANH MTW Number of Low Income Families Served Report 9/30/2013 | FY2013 | 2,262 |
| | | |

| Incremental Increases/Decreases to Baseline | | | |
|---|----------------|-----------------------|----------------------|
| <i>Reason for Change</i> | <i>Program</i> | <i>Year of Change</i> | <i>Change Amount</i> |
| Voucher Baseline - ECC/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 ECC/HANH signed their MTW Agreement. Best number available. | HCV | FY2001 | 2,857 |
| Public Housing Baseline - ECC/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 ECC/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 Started Date: 9.28.01

ECC/HANH Fiscal Year: 10/01-9/30

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: Housing Authority of the City of New Haven | <table border="0" style="width: 100%;"> <tr> <td style="width: 30%;">Grant Type and Number</td> <td></td> </tr> <tr> <td>Capital Fund Program Grant No: CT26P00450114</td> <td></td> </tr> <tr> <td>Replacement Housing Factor Grant No: </td> <td></td> </tr> <tr> <td>Date of CFFP: </td> <td></td> </tr> </table> | Grant Type and Number | | Capital Fund Program Grant No: CT26P00450114 | | Replacement Housing Factor Grant No: | | Date of CFFP: | |
| 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 | | | | | | | | | |

Type of Grant

☐ Original Annual Statement
 ☐ Reserve for Disasters/Emergencies

☒ Revised Annual Statement (revision no 1)

☐ Final Performance and Evaluation Report

☐ Performance and Evaluation Report for Period Ending:

| Line | Summary by Development Account | Total Estimated Cost | | Total Actual Cost ¹ | |
|------|--|----------------------|------------------------|--------------------------------|----------|
| | | Original | Revised ² 1 | Obligated | Expended |
| 1 | Total non-CFP Funds | | | | |
| 2 | 1406 Operations (may not exceed 20% of line 21) ³ | | | | |
| 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 | \$3,116,308.00 | | |
| 16 | 1495.1 Relocation Costs | | | | |
| 17 | 1499 Development Activities ⁴ | | | | |

¹ To be completed for the Performance and Evaluation Report.
² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.
⁴ 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

| 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 | |
| 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 ¹ | |
| | | Original | Revised ² | 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 | \$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 | | | | |
| Signature of Executive Director Karen DuBois-Walton, Ph.D. | | Date | Signature of Public Housing Director | | Date |

¹ To be completed for the Performance and Evaluation Report

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

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

⁴ RHF 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: CT26P00450114 CFFP (Yes/No): <input type="checkbox"/> Replacement Housing Factor Grant No: <input type="checkbox"/> | | | 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 ¹ #1 | Funds Obligated ² | Funds Expended ² | |
| Agencywide | Administration | 1492 | | 311,630.00 | 311,630.00 | | | |
| Agencywide | GPNA/PNA | 1492 | | 408,000.00 | 143,480.00 | | | |
| Agencywide | IQC A&E/IQC environmental | 1492 | | 146,678.00 | 275,139.81 | | | |
| Agencywide | Vacancy turnover, including abatement | 1492 | Approx 7 units | 350,000.000 | 315,930.39 | | | |
| CT004000005 Waverly | Roofs/siding | 1492 | 52 units | 250,000.00 | 0 | | | |
| CT004000005 Waverly | Interior repairs | 1492 | 12 units | 125,000.00 | 0 | | | |
| CT004000004 McConaughy | A&E sewers | 1492 | 201 units | 200,000.00 | 0 | | | |
| CT004000004 McConaughy | Furnaces & hot water heaters | 1492 | 60 units | 600,000.00 | 0 | | | |
| CT004000011 McQueeney | Kitchens, baths, interiors upgrade | 1492 | 14 units | 375,000.00 | 731,255.68 | | | |
| CT004000015 Faimont | Elevators | 1492 | 98 units | 350,000.00 | 0 | | | |
| CT004000009 Motley | HVAC riser upgrades | 1492 | 15 units | 0 | 534,559.12 | | | |
| CT004000014 Farnam | Exterior fire stairs | 1492 | 38 units | 0 | 31,913.00 | | | |
| CT004000008 Bush | Sanitary sewer line repair | 1492 | 20 units | 0 | 192,400.00 | | | |
| CT004000012 Winslow-Celentano | Boilers & heating system upgrades (in phases) | 1492 | 65 units | 0 | 580,000.00 | | | |

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

² 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 ¹ |
| | Original Obligation End Date | Actual Obligation End Date | Original Expenditure End Date | Actual Expenditure End Date | |
| Agencywide | 05-12-2016 | | 05-12-2018 | | |
| Agencywide | 05-12-2016 | | 05-12-2018 | | |
| Agencywide | 05-12-2016 | | 05-12-2018 | | |
| Agencywide | 05-12-2016 | | 05-12-2018 | | |
| CT004000005 Waverly | 05-12-2016 | | 05-12-2018 | | |
| CT004000005 Waverly | 05-12-2016 | | 05-12-2018 | | |
| CT004000004 McConaughy | 05-12-2016 | | 05-12-2018 | | |
| CT004000004 McConaughy | 05-12-2016 | | 05-12-2018 | | |
| CT004000011 McQueeney | 05-12-2016 | | 05-12-2018 | | |
| CT004000015 Fairmont | 05-12-2016 | | 05-12-2018 | | |
| CT004000009 Motley | 05-12-2016 | | 05-12-2018 | | |
| CT004000014 Famam | 05-12-2016 | | 05-12-2018 | | |
| CT004000008 Bush | 05-12-2016 | | 05-12-2018 | | |
| CT004000012 Winslow- Celentano | 05-12-2016 | | 05-12-2018 | | |

¹ 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 06/30/2017



Part I: Summary

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: 2015

Type of Grant

☐ Original Annual Statement ☐ Reserve for Disasters/Emergencies
☐ Performance and Evaluation Report for Period Ending:

☒ Revised Annual Statement (revision no 2)
☐ Final Performance and Evaluation Report

| Line | Summary by Development Account | Total Estimated Cost | | Total Actual Cost ¹ | |
|------|--|----------------------|----------------------|--------------------------------|----------|
| | | Original (Rev #1) | Revised ² | Obligated | Expended |
| 1 | Total non-CFFP Funds | | | | |
| 2 | 1406 Operations (may not exceed 20% of line 21) ³ | | | | |
| 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 | \$2,967,921.50 | \$2,967,921.50 | | |
| 16 | 1495.1 Relocation Costs | | | | |
| 17 | 1499 Development Activities ⁴ | | | | |

¹ To be completed for the Performance and Evaluation Report

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

³ PHAs with under 250 units in management may use 100% of CFFP Grants for operations.

⁴ 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

Part I: Summary

| | | |
|--|---|---|
| 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: 2015 |
|--|---|---|

Type of Grant
☐ Original Annual Statement
 ☐ Reserve for Disasters/Emergencies
 ☒ Revised Annual Statement (revision no: 2)
 ☐ Final Performance and Evaluation Report

☐ Performance and Evaluation Report for Period Ending:

| Line | Summary by Development Account | Total Estimated Cost | | Total Actual Cost ¹ | |
|------|--|----------------------|------------------------|--------------------------------|----------|
| | | Original (Rev #1) | Revised 2 ² | 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 | \$635,821.50 | \$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 | Signature of Public Housing Director | Date |
|--|-------------|---|-------------|

¹ To be completed for the Performance and Evaluation Report
² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.
⁴ RHF 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: CT26P00450115 CFFP (Yes/No): <input type="checkbox"/> Replacement Housing Factor Grant No: <input type="checkbox"/> | 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 Rev #1 | Rev #2 ¹ | Funds Obligated ² | Funds Expended ² | |
| Agencywide | Administration | 1492 | | 360,374.00 | 360,374.00 | | | |
| Agencywide | IQC A&E/IQC environmental | 1492 | | 640,036.50 | 200,733.50 | | | |
| Agencywide | Vacancy turnover, including abatement | 1492 | Approx 6 units | 200,000.00 | 150,000.00 | | | |
| CT004000011 McQueeney | Elevator upgrade | 1492 | 150 units | 450,000.00 | 0 | | | |
| CT004000011 McQueeney | Kitchens, baths, interiors upgrade | 1492 | Approx 20 units | 750,000.00 | 0 | | | |
| CT004000004 McConaughy | Interior unit upgrades | 1492 | Approx 20 units | 567,511.00 | 487,809.00 | | | |
| CT004000076 Brookside Phase 1 Rental | Bond debt obligation | 9001 | | 635,821.50 | 635,821.50 | | | |
| Crawford CT004000010 | Boiler replacement & heating system upgrades (in phases) | 1492 | 109 units | 0 | 944,000.00 | | | |
| CT004000004 McConaughy | Sewer line replacement (part) | 1492 | Approx 50 units of 201 | 0 | 500,000.00 | | | |
| CT004000015 Ruoppolo | Generator replacement | 1492 | 105 units | 0 | 144,800.00 | | | |
| CT004000005 Waverly | Accessibility improvements 76 Day St. | 1492 | 1 unit | 0 | 180,205.00 | | | |
| | | | | | | | | |

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

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 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 ¹ |
|---|---|-------------------------------|---|--------------------------------|---|
| | Original Obligation End Date | Actual Obligation End Date | Original Expenditure End Date | Actual Expenditure End Date | |
| <u>Agencywide</u> | 04-12-2017 | | 04-12-2019 | | |
| <u>Agencywide</u> | 04-12-2017 | | 04-12-2019 | | |
| <u>Agencywide</u> | 04-12-2017 | | 04-12-2019 | | |
| <u>CT004000011 McQueeney</u> | 04-12-2017 | | 04-12-2019 | | |
| <u>CT004000011 McQueeney</u> | 04-12-2017 | | 04-12-2019 | | |
| <u>CT004000004 McConaughy</u> | 04-12-2017 | | 04-12-2019 | | |
| <u>CT004000076 Brookside Phase 1 Rental</u> | 04-12-2017 | | 04-12-2019 | | |
| <u>CT004000010 Crawford</u> | 04-12-2017 | | 04-12-2019 | | |
| <u>CT004000004 McConaughy</u> | 04-12-2017 | | 04-12-2019 | | |
| <u>CT004000015 Ruoppolo</u> | 04-12-2017 | | 04-12-2019 | | |
| <u>CT004000005 Waverly</u> | 04-12-2017 | | 04-12-2019 | | |
| | | | | | |

¹ 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 06/30/2017

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: 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: [REDACTED] | FFY of Grant: 2015 FFY of Grant Approval: 2015 |
|--|---|---|

Type of Grant

☒ Original Annual Statement ☐ Reserve for Disasters/Emergencies
☐ Performance and Evaluation Report for Period Ending: [REDACTED]

☐ Revised Annual Statement (revision no: [REDACTED])
☐ Final Performance and Evaluation Report

| Line | Summary by Development Account | Total Estimated Cost | | Total Actual Cost ¹ | |
|------|--|----------------------|----------------------|--------------------------------|----------|
| | | Original | Revised ² | Obligated | Expended |
| 1 | Total non-CFP Funds | | | | |
| 2 | 1406 Operations (may not exceed 20% of line 21) ³ | | | | |
| 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 ⁴ | | | | |

¹ To be completed for the Performance and Evaluation Report.

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

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

⁴ 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

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: CT26R00450115 Date of CFFP: | FFY of Grant: 2015 FFY of Grant Approval: 2105 |
|--|---|---|

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 ¹ | |
|------|--|----------------------|----------------------|--------------------------------|----------|
| | | Original | Revised ² | 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 | | | | |

| | | | |
|---|------|--------------------------------------|------|
| Signature of Executive Director Karen DuBois-Walton, Ph.D. | Date | Signature of Public Housing Director | Date |
|---|------|--------------------------------------|------|

¹ To be completed for the Performance and Evaluation Report

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

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

⁴ RHF funds shall be included here.

[illegible]

² To be completed for the Performance and Evaluation Report.

PHA Name: Housing Authority of the City of New Haven

FederalFFY of Grant: 2015

[illegible]

¹ 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 06/30/2017

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: 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 ¹ | |
|------|--|----------------------|----------------------|--------------------------------|----------|
| | | Original | Revised ² | Obligated | Expended |
| 1 | Total non-CFFP Funds | | | | |
| 2 | 1406 Operations (may not exceed 20% of line 21) ³ | | | | |
| 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 ⁴ | | | | |

¹ To be completed for the Performance and Evaluation Report.

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

³ PHAs with under 250 units in management may use 100% of CFFP Grants for operations.

⁴ 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

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: CT26R00450215 Date of CFFP: | FFY of Grant: 2015 FFY of Grant Approval: 2105 |
|--|---|---|

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 ¹ | |
|------|--|----------------------|----------------------|--------------------------------|----------|
| | | Original | Revised ² | 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 | \$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 | | | | |

| | | | |
|--|-------------|---|-------------|
| Signature of Executive Director Karen DuBois-Walton, Ph.D. | Date | Signature of Public Housing Director | Date |
|--|-------------|---|-------------|

¹ To be completed for the Performance and Evaluation Report

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

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

⁴ RHF funds shall be included here.

PHA Name: Housing Authority of the City of New Haven

Grant Type and Number

Capital Fund Program Grant No:

CFFP (Yes/No): ☐

Replacement Housing Factor Grant No: CT26R00450215

FederalFFY of Grant: 2015

[illegible]

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

² To be completed for the Performance and Evaluation Report.

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

PHA Name: Housing Authority of the City of New Haven

Reasons for Revised Target Dates ¹[illegible]

¹ 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 06/30/2017

Part I: Summary

| | | |
|--|--|---|
| PHA Name: Housing Authority of the City of New Haven | Grant Type and Number Capital Fund Program Grant No: CT26P00450116 Replacement Housing Factor Grant No: Date of CFFP: | FFY of Grant: 2016 FFY of Grant Approval: 2016 |
|--|--|---|

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 ¹ | |
|------|--|----------------------|--------------------------|--------------------------------|----------|
| | | Original | Revised ² * 1 | Obligated | Expended |
| 1 | Total non-CFP Funds | | | | |
| 2 | 1406 Operations (may not exceed 20% of line 21) ³ | | | | |
| 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 | \$3,035,362.50 | \$3,035,362.50 | | |
| 16 | 1495.1 Relocation Costs | | | | |
| 17 | 1499 Development Activities ⁴ | | | | |

¹ To be completed for the Performance and Evaluation Report

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

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

⁴ 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

Part I: Summary

| | | |
|---|---|---|
| PHA Name: Housing Authority of the City of New Haven | Grant Type and Number Capital Fund Program Grant No: CT26P00450116 Replacement Housing Factor Grant No: Date of CFFP: | FFY of Grant: 2016 FFY of Grant Approval: 2016 |
|---|---|---|

Type of Grant

☐ Original Annual Statement
 ☐ Reserve for Disasters/Emergencies
 ☒ Revised Annual Statement (revision no: 1)
 ☐ Final Performance and Evaluation Report

☐ Performance and Evaluation Report for Period Ending:

| Line | Summary by Development Account | Total Estimated Cost | | Total Actual Cost ¹ | |
|------|--|----------------------|----------------------|--------------------------------|----------|
| | | Original | Revised ² | 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 | \$670,908.50 | \$670,908.50 | | |
| 19 | 1502 Contingency (may not exceed 8% of line 20) | | | | |
| 20 | Amount of Annual Grant: (sum of lines 2 - 19) | \$3,706,271.00 | \$3,706,271.00 | | |
| 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 | Signature of Public Housing Director | Date |
|--|-----------------|---|-----------------|

¹ To be completed for the Performance and Evaluation Report.

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

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

⁴ RHF funds shall be included here.

| | | |
|---|--|-----------------------------------|
| PHAName: Housing Authority of the City of New Haven | Grant Type and Number Capital Fund Program Grant No: CT26P00450116 CFFP (Yes/No): <input type="checkbox"/> Replacement Housing Factor Grant No: <input type="checkbox"/> | Federal FFY of Grant: 2016 |
|---|--|-----------------------------------|

² To be completed for the 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 III: Implementation Schedule for Capital Fund Financing Program | | | | | |
|--|---|-------------------------------|---|--------------------------------|---|
| PHA Name: Housing Authority of the City of New Haven | | | | | Federal FFY of Grant: 2016 |
| Development Number Name/PHA-Wide Activities | All Fund Obligated (Quarter Ending Date) | | All Funds Expended (Quarter Ending Date) | | Reasons for Revised Target Dates ¹ |
| | Original Obligation End Date | Actual Obligation End Date | Original Expenditure End Date | Actual Expenditure End Date | |
| Agencywide | 04-12-2018 | | 04-12-2020 | | |
| Agencywide | 04-12-2018 | | 04-12-2020 | | |
| Agencywide | 04-12-2018 | | 04-12-2020 | | |
| CT004000010 Crawford | 04-12-2018 | | 04-12-2020 | | |
| CT004000004 McConaughy | 04-12-2018 | | 04-12-2020 | | |
| CT004000076 Brookside Phase 1 Rental | 04-12-2018 | | 04-12-2020 | | |
| CT004000011 McQueeney | 04-12-2018 | | 04-12-2020 | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

¹ 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 06/30/2017

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: CT26R00450216 Date of CFFP: <input type="text"/> | FFY of Grant: 2016 FFY of Grant Approval: 2016 |
|---|--|---|

| | |
|---|--|
| Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="text"/> | <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no: <input type="text"/>) <input type="checkbox"/> Final Performance and Evaluation Report |
|---|--|

| Line | Summary by Development Account | Total Estimated Cost | | Total Actual Cost ¹ | |
|------|--|----------------------|----------------------|--------------------------------|----------|
| | | Original | Revised ² | Obligated | Expended |
| 1 | Total non-CFP Funds | | | | |
| 2 | 1406 Operations (may not exceed 20% of line 21) ³ | | | | |
| 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 ⁴ | | | | |

¹ To be completed for the Performance and Evaluation Report.

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

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

⁴ 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

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: CT26R00450216 Date of CFFP: | FFY of Grant: 2016 FFY of Grant Approval: 2016 |
|--|---|---|

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 ¹ | |
|------|--|----------------------|----------------------|--------------------------------|----------|
| | | Original | Revised ² | 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 | \$235,229.00 | | | |
| 19 | 1502 Contingency (may not exceed 8% of line 20) | | | | |
| 20 | Amount of Annual Grant: (sum of lines 2 - 19) | \$235,229.00 | | | |
| 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 _____ | Signature of Public Housing Director _____ | Date _____ |
|--|-------------------|---|-------------------|

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

| | | |
|--|---|-----------------------------------|
| PHA Name: Housing Authority of the City of New Haven | Grant Type and Number Capital Fund Program Grant No: CFFP (Yes/No): <input type="checkbox"/> Replacement Housing Factor Grant No: CT26R00450216 | Federal FFY of Grant: 2016 |
|--|---|-----------------------------------|

[illegible]

² To be completed for the Performance and Evaluation Report.

PHAName: Housing Authority of the City of New Haven

Reasons for Revised Target Dates ¹[illegible]

¹ 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.

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 08/30/2011



| Part I: Summary | | | | | | |
|---------------------------|--|---------------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| PHA Name/Number New Haven | | | Locality New Haven, CT | | Original 5-Year Plan | Revision No: |
| CT004 | | | | | | |
| A. | Development Number and Name | Work Statement for Year 1 FFY 2016 | Work Statement for Year 2 FFY 2017 | Work Statement for Year 3 FFY 2018 | Work Statement for Year 4 FFY 2019 | Work Statement for Year 5 FFY 2020 |
| B. | Physical Improvements Subtotal | Annual Statement \$1,847,854 | | \$1,640,136 | \$1,512,605 | \$1,287,605 |
| C. | Management Improvements | | | | | |
| D. | PHA-Wide Non-dwelling Structures and Equipment | | | | | |
| E. | Administration | \$219,229 | | \$196,126 | \$181,956 | \$181,956 |
| F. | Other (Fees & Costs) | \$125,208 | | \$125,000 | \$125,000 | \$350,000 |
| G. | Operations | | | | | |
| H. | Demolition | | | | | |
| I. | Development | | | | | |
| J. | Capital Fund Financing – Debt Service | | | | | |
| K. | Total CFP Funds | \$2,192,291 | | \$1,961,262 | \$1,819,561 | \$1,819,561 |
| L. | Total Non-CFP Funds | | | | | |
| M. | Grand Total | \$2,192,291 | | \$1,961,262 | \$1,819,561 | \$1,819,561 |



Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary (Continuation)

| PHA Name/Number New Haven/CT004 | | Locality New Haven, CT | | Original 5-Year Plan | | Revision No: |
|---------------------------------|---|------------------------|---------------------------|---------------------------|---------------------------|---------------------------|
| | Development Number and Name | Work Statement for | Work Statement for Year 2 | Work Statement for Year 3 | Work Statement for Year 4 | Work Statement for Year 5 |
| | | FFY 2017 | FFY 2017 | FFY 2018 | FFY 2019 | FFY 2020 |
| | | Year 1 | | | | |
| | | FFY 2016 | | | | |
| | | Annual Statement | | | | |
| 1 | Administration | | \$219,229 | \$196,126 | \$181,956 | \$181,956 |
| 2 | Agencywide A&E/environmental | | \$125,208 | \$125,000 | \$125,000 | \$350,000 |
| 3 | Agencywide | | \$200,854 | \$115,136 | \$250,000 | \$200,000 |
| 4 | CT004000004 McConaughy | | \$1,247,000 | \$375,000 | \$887,605 | \$225,000 |
| 5 | CT004000011 McQueeney | | | \$1,150,000 | \$375,000 | \$375,000 |
| 6 | CT004000012 Winslow-Celentano | | \$400,000 | | | |
| 7 | CT004000021/CT004000022/CT004000023 Scattered Sites Multi/West/East | | | | | \$487,605 |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | Total | | \$2,192,291 | \$1,961,262 | \$1,819,561 | \$1,819,561 |

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2001

| Work Statement for Year 1 FFY 2016 | Work Statement for Year FFY 2017 | | | Work Statement for Year FFY 2018 | | |
|------------------------------------|--|-----------------|----------------|---|-----------------|----------------|
| | Development Number/Name General Description of Major Work Categories | Quantity | Estimated Cost | Development Number/Name General Description of Major Work Categories | Quantity | Estimated Cost |
| See | Administration | | \$219,229 | Administration | | \$196,126 |
| Annual | Agencywide IQC A&E/environmental | | \$125,208 | Agencywide IQC A&E/environmental | | \$125,000 |
| Statement | Agencywide vacancy turnover | Approx 10 units | \$200,854 | Agencywide vacancy turnover | Approx 8 units | \$115,136 |
| | CT004000012 Winslow-Celentano boilers & heating system upgrades (continuation) | 65 units | \$400,000 | CT004000011 McQueeney windows | 150 units | \$1,150,000 |
| | CT004000004 McConaughy interior upgrades | Approx 13 units | \$384,500 | CT004000004 McConaughy sewers | Approx 40 units | \$375,000 |
| | CT004000004 McConaughy sewers | Approx 92 units | \$862,500 | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | \$1,961,262 |
| Subtotal of Estimated Cost | | | \$2,192,291 | Subtotal of Estimated Cost | | |

Part II: Supporting Pages – Physical Needs Work Statement(s)

| Work Statement for Year 1 FFY 2016 | Work Statement for Year | | | Work Statement for Year: | | |
|---|---|-----------------|-------------------|--|-----------------|----------------|
| | FFY 2019 | | | FFY 2020 | | |
| | Development Number/Name General Description of Major Work Categories | Quantity | Estimated Cost | Development Number/Name General Description of Major Work Categories | Quantity | Estimated Cost |
| See | Administration | | \$181,956 | Administration | | \$181,956 |
| Annual | Agencywide IQC A&E/environmental | | \$125,000 | Agencywide IQC A&E/environmental | | \$350,000 |
| Statement | Agencywide vacancy turnover | Approx 12 units | \$250,000 | CT004000011 McQueeney kitchens, baths, | Approx 10 units | \$375,000 |
| | CT004000011 McQueeney kitchens, baths, | Approx 10 units | \$375,000 | interiors | | |
| | interiors | | | CT004000004 McConaughy interior upgrades | Approx 8 units | \$225,000 |
| | CT004000004 McConaughy interior upgrades | Approx 30 units | \$887,605 | Agencywide vacancy turnover | Approx 10 units | \$200,000 |
| | | | | CT004000021/CT004000022/CT004000023 | Approx 15 units | \$487,605 |
| | | | | Scattered sites multi/West/East interior & | | |
| | | | | exterior upgrades | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | \$1,819,561 |
| | Subtotal of Estimated Cost | | \$1,819,561 | Subtotal of Estimated Cost | | |

[illegible]

| Work Statement for Year 1 FFY 2016 | Work Statement for Year | | Work Statement for Year: | |
|------------------------------------|---|----------------|---|----------------|
| | FFY 2019 | | FFY 2020 | |
| | Development Number/Name General Description of Major Work Categories | Estimated Cost | Development Number/Name General Description of Major Work Categories | Estimated Cost |
| See | None | \$0 | None | \$0 |
| Annual | | | | |
| Statement | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| Subtotal of Estimated Cost | | \$0 | Subtotal of Estimated Cost \$0 | |

Documentation of Public Hearing and Public comment Period

Housing Authority of New Haven
Public Hearing: MTW FY 2017
Tuesday, May 31, 2016 @ 4:00 P.M.
360 Orange Street, New Haven, CT 06511

Those present included:

Leasley Negrón, ECC
Catherine Hawthorne, ECC
Frank Emery, ECC
Richard Garcia, ECC
Nakitta Brown, ECC
Alan Lake, ECC
Johanna Davis, ECC
Valarie McEachern, ECC
Ainsworth Castell, ECC
Andre Dawkins, ECC
Maza Rey, ECC

The public hearing was called to order at 4:03 p.m. by Leasley Negrón.

Ms. Negrón read the legal notice aloud which stated the reason the public hearing was being called.

NOTICE OF PUBLIC HEARING FOR THE HOUSING AUTHORITY OF THE CITY OF NEW HAVEN MOVING TO WORK 2017 ANNUAL PLAN

Section VB 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 31, 2016 at 4:00 PM, in the 3rd floor Board of Commissioners Conference Room at 360 Orange Street, New Haven, CT 06511** to receive comments and recommendations. A copy of the Plan will be available for review starting **May 2, 2016** on the Authority's website at www.elmcitycommunities.com or can be picked up at the front desk in the main lobby area at 360 Orange Street. You are invited to provide written comments addressed to HANH MTW 2015 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 4:07 p.m., the meeting was opened to take public comments.

Public Comments:

There were no attendees from the public.

Alan Lake: Can I ask this question? We know that MTW is changing over the next couple of years. What's the current projection as to how this will affect programming here in New Haven?

Leasley Negrón: In terms of the initiatives that are in the plan?

Lake: Yes – are there going to be any changes from where we were last year with MTW and where we are today since the programming has been changing year to year?

Negrón: Not this year – this year's plan is set.

Lake: Yes, this year's plan is set but we're coming up on some changes as I understand things.

Negrón: I'm not sure that I understand – I understand that the question but I'm not sure what the –

Lake: Okay, you don't know what changes we're looking at in the future.

Negrón: Yes - or the changes that you're referring to, I should say.

Lake: Okay, so I know that there will be changes in 2018, right?

Negrón: HUD actually approved the current contract to extend to 2028. So while we were looking at some changes, as I understand it, most if not all will be the same until 2028.

Lake: Okay, so no big things in 2018 any longer.

Negrón: Not that I'm aware or that HUD has decided on.

Lake: Thank you.

NEW HAVEN LEGAL ASSISTANCE ASSOCIATION, INC.

426 STATE STREET
NEW HAVEN, CONNECTICUT 06510
TELEPHONE: (203) 948-4811
FAX: (203) 497-8357

May 27, 2016

Ms. Karen Dubois-Walton
Housing Authority of the City of New Haven
P.O. Box 1912
360 Orange Street
New Haven, CT 06509

RE: Comments on Moving to Work Plan in Support of Expanding HANH's Community Reentry Pilot Program

Dear Ms. Dubois-Walton,

I am writing on behalf of New Haven Legal Assistance Association (NHLAA), Yale Law School Legal Assistance Reentry Clinic, and Project Fresh Start in support of HANH's Community Reentry Pilot Program, and to ask that it be increased to 50 public housing units, and add 50 Section 8 vouchers if an additional allocation for this purpose is available from HUD.

As you well know, leaders at all levels of government have acknowledged the importance of creating what our Governor calls a "second chance society," and creating the structures and supports so that people returning from incarceration can successfully re-start their lives and avoid recidivism. Stable housing and employment are two of the most important stepping stones to such success. For this reason, we have asked HANH to consider revising its admissions policy to limit the types of offenses that make persons with criminal records ineligible for public housing and Section 8. NHLAA and the Reentry Clinic have submitted comments regarding needed changes in the ACOP and Section 8 Administrative Plan, and participated in a subsequent meeting with you to discuss these changes. While recognizing the need to continue to work on revising the admissions policies, we applaud HANH's creation of a community reentry pilot program and we urge HANH to expand this program.

The program in its current form allots 16 units of public housing to the reentry population. Those units do not "turn over" until someone successfully "graduates" from the program or is terminated from it. It is our understanding that the program has been effectively frozen for the past 6 months or more, and is not accepting new applications. Although we do not know the exact size of the waiting list, we believe it is well over 125 people, based on the number of applications forwarded by Project Fresh Start to HANH before the project was frozen.

Project Fresh Start, the City of New Haven's program to assist and support the reentry population, reports that it gets inquiries from approximately 15 people per week needing stable, affordable housing and wanting to apply for HANH's pilot program. Because of the tremendous

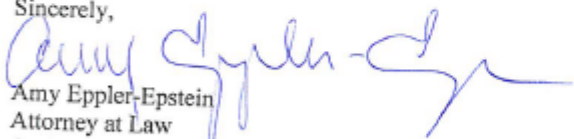
need, and the tremendous importance of stable housing in helping this population succeed, we urge you to expand the existing program from 16 units of public housing to 50.

The Obama Administration supports these goals, and is looking for additional ways to support re-entry initiatives. To the extent that any possibility exists of HUD offering additional or new Section 8 vouchers devoted to reentry, we urge HANH to apply for such funds for an additional 50 reentry vouchers.

Both NHLAA and Project Fresh Start welcome the opportunity to work with HANH to modify its application policies as they pertain to persons with criminal records and/or the eligibility criteria for the community reentry pilot program and welcome the chance to be a part of such conversations.

Thank you for your consideration.

Sincerely,



Amy Eppler-Epstein
Attorney at Law

On behalf of NHLAA and the Yale Law School Legal Assistance Reentry Clinic



Clifton Graves
Chance Jackson
Project Fresh Start

From: Jason Martinez [<mailto:jmartinez@uwgnh.org>]

Sent: Monday, June 06, 2016 11:50 AM

To: Karen DuBois-Walton

Subject: Additional HANH units for October

Good Morning Karen,

It was great to sit down and speak with you once again last month.

You mentioned that come October you may be able to get additional units for individual and family clients to support the Zero: 2016 Statewide campaign.

After discussing with CAN Staff and agency representatives we think the following would be extremely helpful:

*10 units for individual head of household clients

*15 units for Family head of household clients

Having these units from Elm City Communities would go a long way in helping us reach our goal to end Chronic Homelessness in CT by December.

Please let me know if there is anything else you need from me at this time.

Thank you again for your continued support, and I look forward to presenting to your staff on June 23rd.

Best,

Jason

--

Jason Martinez

Coordinated Access Network Manager

United Way of Greater New Haven

370 James Street, Suite 403

New Haven, CT 06513

office (203) 691-4220

cell (203) 953-2800

fax (203) 773-0332

www.uwgnh.org

Appendix 1

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

HUD HCC 2013

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

HUD HCC FACTORS

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

ECC/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 |

| ECC/HANH/ELM CITY COMMUNITIES TDC 2013 | | | | | | | | |
|--|--|---------------|---------------|---------------|---------------|---------------|---------------|---------------|
| | | 0 | 1 | 2 | 3 | 4 | 5 | 6 |
| Detached | | \$ 228,356.69 | \$ 291,789.97 | \$ 342,408.21 | \$ 405,464.41 | \$ 476,082.62 | \$ 521,291.12 | \$ 563,900.08 |
| Row House | | \$ 185,556.06 | \$ 243,917.71 | \$ 288,527.99 | \$ 351,621.68 | \$ 418,022.08 | \$ 460,885.17 | \$ 501,067.76 |
| Walk Up | | \$ 170,120.98 | \$ 230,789.37 | \$ 293,672.84 | \$ 384,451.85 | \$ 477,581.46 | \$ 537,876.94 | \$ 597,377.37 |
| Elevator | | \$ 178,470.14 | \$ 249,858.09 | \$ 321,246.04 | \$ 428,328.23 | \$ 535,410.42 | \$ 606,798.37 | \$ 678,186.32 |
| PERCENT CHANGE ECC/HANH/ELM CITY COMMUNITIES TDC 2008-2013 | | | | | | | | |
| | | 0 | 1 | 2 | 3 | 4 | 5 | 6 |
| Detached | | 15.00% | 13.00% | 10.73% | 9.54% | 9.11% | 9.20% | 8.94% |
| Row House | | 1.50% | 2.94% | 2.73% | 5.14% | 6.20% | 6.94% | 7.49% |
| Walk Up | | 16.75% | 16.65% | 17.70% | 18.47% | 20.73% | 21.86% | 23.14% |
| Elevator | | 10.45% | 10.45% | 10.45% | 10.45% | 10.44% | 10.45% | 10.45% |
| PERCENT CHANGE COMPARISON HUD TO ECC/HANH/ELM CITY COMMUNITIES TDC | | | | | | | | |
| | | 0 | 1 | 2 | 3 | 4 | 5 | 6 |
| Detached | | 0.76% | 0.74% | 0.73% | 0.64% | 0.72% | 0.72% | 0.71% |
| Row House | | 0.66% | 0.67% | 0.67% | 0.73% | 0.69% | 0.70% | 0.70% |
| Walk Up | | 0.76% | 0.76% | 0.77% | 0.79% | 0.79% | 0.80% | 0.80% |
| Elevator | | -0.20% | -0.20% | -0.20% | -0.20% | -0.20% | -0.20% | -0.20% |

Appendix 2

Local Asset Based Management:

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

- ECC/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.
- ECC/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. ECC/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, ECC/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, ECC/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

1. Goals and Objectives of the Program

The Housing Authority of the City of New Haven (ECC/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. ECC/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 ECC/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

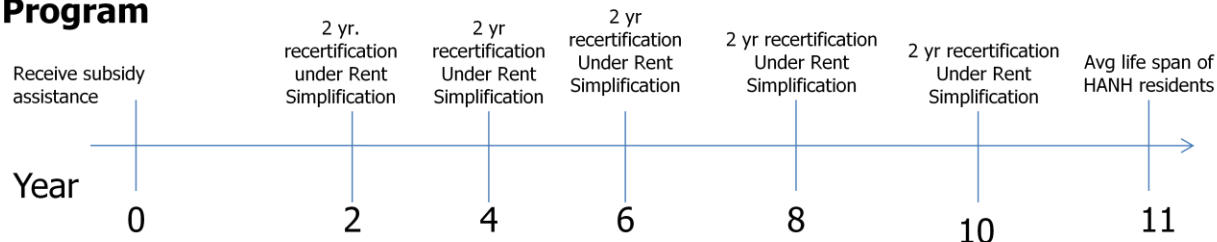
Brookside and Rockview families will be given the options, at lease up, to stay in a public housing program or reside in a Project Based Voucher (PBV) unit or to accept a Tenant Based CARES Program Voucher (CPV) as part of the CARES Program. Residents that opt to stay in public housing or a PBV unit 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. ECC/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 ECC/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.

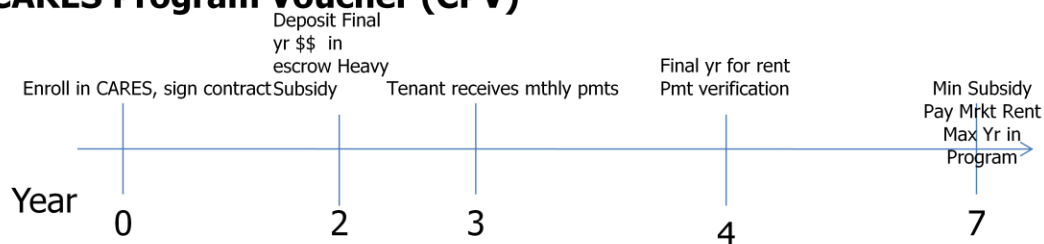
The first step to self-sufficiency is encouraging families to seek affordable housing and manage their household expenses on a fixed income which will empower them to make their own choices. At the time of enrollment into the program, each family will sign a CARES Addendum and go through an assessment 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 ECC/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. ECC/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 ECC/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. ECC/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 ECC/HANH/ELM CITY COMMUNITIES's optional income disallowance, participants can elect to opt out of ECC/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.

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

Exhibit A - Housing Choice Voucher - HAP 7 Year Schedule

| Family Size | | 1 | 2 | 3 | 4 | 5 | 6 |
|---|-------------------------|---------------|-------------|-------------|-------------|-------------|-------------|
| Median Household HAP to Owner (9/10) | | 795 | 895 | 1000 | 1090 | 1147 | 1214 |
| Median Utility Allowance | | 122 | 292 | 357 | 362 | 425 | 430 |
| Median Monthly Cash Payment Assistance | | 917 | 1187 | 1357 | 1452 | 1572 | 1644 |
| Years in Program | Cost of Living Increase | Subsidy Value | | | | | |
| 1 | Supportive Component | | | | | | |
| | Monthly | | | | | | |
| | Lease up Year | 917.00 | 1,187.00 | 1,357.00 | 1,452.00 | 1,572.00 | 1,644.00 |

| | | | | | | | |
|--|---|-----------|------------|------------|------------|------------|------------|
| Annually | | 11,004.00 | 14,244.00 | 16,284.00 | 17,424.00 | 18,864.00 | 19,728.00 |
| 2 Supportive Component Monthly | 3% | 944.51 | 1,222.61 | 1,397.71 | 1,495.56 | 1,619.16 | 1,693.32 |
| Annually | | 11,334.12 | 14,671.32 | 16,772.52 | 17,946.72 | 19,429.92 | 20,319.84 |
| 3 Tenant Based Component Monthly | 3% | 972.85 | 1,259.29 | 1,439.64 | 1,540.43 | 1,667.73 | 1,744.12 |
| Annually | | 11,674.14 | 15,111.46 | 17,275.70 | 18,485.12 | 20,012.82 | 20,929.44 |
| 4 Tenant Based Component Monthly | 3% | 1,002.03 | 1,297.07 | 1,482.83 | 1,586.64 | 1,717.77 | 1,796.44 |
| Annually | | 12,024.37 | 15,564.80 | 17,793.97 | 19,039.68 | 20,613.20 | 21,557.32 |
| 5 Tenant Based Component Monthly | 3% | 1,032.09 | 1,335.98 | 1,527.32 | 1,634.24 | 1,769.30 | 1,850.34 |
| Annually | | 12,385.10 | 16,031.75 | 18,327.79 | 19,610.87 | 21,231.60 | 22,204.04 |
| 6 Tenant Based Component Monthly | 3% | 1,063.05 | 1,376.06 | 1,573.13 | 1,683.27 | 1,822.38 | 1,905.85 |
| Annually | | 12,756.65 | 16,512.70 | 18,877.62 | 20,199.19 | 21,868.55 | 22,870.16 |
| 7 Tenant Based Component Monthly | 3% (Amount deposited into Escrow) | 1,094.95 | 1,417.34 | 1,620.33 | 1,733.76 | 1,877.05 | 1,963.02 |
| Annually | | 13,139.35 | 17,008.08 | 19,443.95 | 20,805.17 | 22,524.60 | 23,556.26 |
| Total Cash Assistance | | 84,317.73 | 109,144.11 | 124,775.53 | 133,510.74 | 144,544.69 | 151,165.05 |

Program Steps

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 ECC/HANH/ELM CITY COMMUNITIES and the landlord. A monthly cash payment will be sent directly to the resident per the CARES addendum between ECC/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 ECC/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 of \$6,000.00 or more:

In the CARES program, hardship review may be conducted if a household's total unreimbursed medical, disability, and dependent expenses of \$6,000.00 or more 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 ECC/HANH/ELM CITY COMMUNITIES grievance process. In cases where an appeal is sought, no action shall be taken by the ECC/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 of \$6,000 or more 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 ECC/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. ECC/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; ECC/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 ECC/HANH/ELM CITY COMMUNITIES's optional income disallowance, participants can elect to opt out of ECC/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 ECC/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 ECC/HANH/ELM CITY COMMUNITIES regarding the CARES Program has the right to appeal to ECC/HANH/ELM CITY COMMUNITIES under the Authority's Grievance Process.

Moves

As outlined in the FY2015 MTW Plan (Initiative 2.3), ECC/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 ECC/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 ECC/HANH-appointed committee.

Appendix 4

| PBV | 2014 | 2014 MTW Expenditure | 2014 Voucher cost | 2015 | 2015 MTW Expenditure | 2015 Voucher cost | 2016 | 2016 MTW Expenditure | 2016 Voucher cost |
|-------------------------|------|----------------------|-------------------|------|----------------------|-------------------|------|----------------------|-------------------|
| Currently under HAP | | | \$42,940,800.00 | | | \$47,129,504.00 | tbd | tbd | tbd |
| ECC/HANH overhead | | | \$7,178,000.00 | | | \$7,258,340.00 | n/a | tbd | tbd |
| Predevelopment Loans | | | | | \$600,000 | | n/a | tbd | tbd |
| Shartenberg | | | | | | | 20 | \$0.00 | tbd |
| CUJO | | | | | | | 32 | \$0.00 | tbd |
| Brookside Phase I | | | | | | | 50 | \$0.00 | tbd |
| Brookside Phase II | | | | | | | 51 | \$0.00 | tbd |
| Brookside Homeownership | | | | | | | 0 | \$0.00 | \$0.00 |
| Rowe | | | | | | | 32 | \$0.00 | tbd |
| Quinnipiac Terrace | | | | | | | 62 | \$0.00 | tbd |
| Mutual Housing | | | | | | | 30 | \$0.00 | tbd |
| 122 Wilmot Road | | | | | | | 13 | \$0.00 | tbd |
| Rockview Phase I | 47 | | \$444,150.00 | | | | 47 | \$0.00 | tbd |
| Rockview Phase II | | | | | | | 0 | \$0.00 | \$0.00 |
| Downtown | 50 | | \$315,000.00 | | | | 0 | \$0.00 | \$0.00 |
| Dwight | | | | | | | 0 | \$0.00 | \$0.00 |
| Farnam | | | | 84 | \$7,164,000.00 | \$0.00 | 0 | tbd | \$0.00 |
| Ribicoff-RAD | | | | 100 | \$3,500,000.00 | \$672,000.00 | 95 | \$0.00 | \$0.00 |

| PBV | 2014 | 2014 MTW Expenditure | 2014 Voucher cost | 2015 | 2015 MTW Expenditure | 2015 Voucher cost | 2016 | 2016 MTW Expenditure | 2016 Voucher cost |
|---------------------|------|----------------------|-------------------|------|----------------------|-------------------|------|----------------------|-------------------|
| Eastview Phase I | | \$2,800,000.00 | | 47 | | \$592,200.00 | 0 | \$0.00 | tbd |
| Cedar Hill | | | | | | | 4 | \$0.00 | tbd |
| Frank Nasti | | | | | | | 11 | \$0.00 | tbd |
| Essex RAD | | \$2,296,594.00 | | | | | 0 | \$0.00 | \$0.00 |
| Crawford RAD | | \$723,704.00 | | | | | 0 | \$0.00 | \$0.00 |
| Westville Manor RAD | | | | | | | 0 | tbd | \$0.00 |
| Scattered Sites RAD | | | | | | | 0 | \$0.00 | \$0.00 |
| Fair Haven RAD | | | | | | | 57 | tbd | \$0.00 |
| Park Ridge | | | | | | | 60 | \$0.00 | tbd |

| | | | | | | | | | |
|---|----|-----------------|-----------------|------|-----------------|-----------------|-----|--------|-----|
| West Village | | | | | | | 15 | \$0.00 | tbd |
| Fellowship Place | | | | | | | 23 | \$0.00 | tbd |
| Also Cornerstone | | | | | | | 16 | \$0.00 | tbd |
| Total PBV | 97 | \$14,484,298.00 | \$50,877,950.00 | 1009 | \$10,664,000.00 | \$56,661,244.00 | 618 | \$0.00 | 0 |
| ECC/HANH would otherwise be able to issue for HCV based upon the use of MTW funds for redevelopment | | | | | | | tbd | tbd | tbd |
| Percentage of Total Budget Authority | | | | | | | tbd | tbd | tbd |
| Adjusted HCV Baseline | | | | | | | tbd | tbd | tbd |
| Percentage of Allocation | | | | | | | tbd | tbd | tbd |

Appendix 5

HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

MOVING TO WORK SUFFICIENCY PROGRAM

RENT SIMPLIFICATION PROCEDURES FOR THE PUBLIC HOUSING PROGRAM

Public Housing Program Rent Simplification

ECC/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 ECC/HANH/ELM CITY COMMUNITIES's burden of administering these housing programs.

Everyone Should Contribute

ECC/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 ECC/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 ECC/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

ECC/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 for 48 months of income disallowance. The optional income disregard provided under this paragraph is limited to lifetime eligibility of 48 months/

For families who do not receive the Federal EID, it may choose to enroll directly into the optional FSS Earned Income Disregard so long as any member of the household is enrolled in FSS Program. Incremental earnings from wages or salaries are excluded in the first 12 months; 75 percent in the second 12 months; 50% in the third 12 months; and 25% in the fourth 12 months. A family is limited to 48 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.

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 ECC/HANH/ELM CITY COMMUNITIES's FSS Program.

Additionally, any incremental earning by any family member while enrolled in the FFS Program will be excluded from the determination of Annual Income, 100% during the 1st year, 75% in 2nd year, 50% in 3rd year, 25% in 4th year and 0% during the 5th year of FSS participation. In addition to regularly scheduled recertifications, the family member will have their rent re-determined at the conclusion of the FSS Program or termination from the Program.

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 ECC/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.

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.

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 up to and including \$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 years for elderly and disabled households. ECC/HANH/ELM CITY COMMUNITIES spends on average three hours per annual reexamination. ECC/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), ECC/HANH updated 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).

ECC/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 ECC/HANH the ability to better track earnings and employment for work-able families; and the better population division will give ECC/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, ECC/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 more than two (2) dependants). 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 ECC/HANH/ELM CITY COMMUNITIES to move away from verifying every last dollar. Tenants are not required to provide documentation of every dollar of expense; rather, tenants need only provide documentation sufficient to meet the appropriate tier.

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

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

| Tiered Amount of Expenses | Monthly Rent Reduction |
|----------------------------------|--|
| \$ 2,000 - \$ 3,999 | \$ 75 (equivalent to \$3,000 deduction) |
| \$ 4,000 - \$ 5,999 | \$ 125 (equivalent to \$5,000 deduction) |
| \$ 6,000 + | Hardship Review |

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 \$200.00 per month or more, or that causes the family to move from one income tier to another. 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
- Change in family composition that causes the family to move from one income tier to another with a higher rent schedule.
- Addition of a live-in aid
- Income increase following an interim rent reduction
- 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 (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 tier (exclude seasonal workers; see below)
- Increase in Exceptional Expenses of at least \$2,000.00

Interim rents normally 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 certification date, except when the increase occurs after an interim decrease has been processed.

Households receiving a requested interim rent reduction must report any subsequent income increase to ECC/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.

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. Under this circumstance, the family is not required to report a subsequent increase in income until the next scheduled certification.

Verification of Annual Income from Wages and Salaries and Assets

To reduce the administrative burden associated with the verification of income ECC/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 of up to and including \$5,000.00, self certification from family is all that shall be required as verification of income.
- For earnings from and salaries of more than \$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 \$50,000.00 or less 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 ECC/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.

ECC/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 ECC/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 ECC/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 ECC/HANH/ELM CITY COMMUNITIES who is in good standing.

The Application for Exemption from Minimum Rent shall originate from the family or from a ECC/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 ECC/HANH/ELM CITY COMMUNITIES employee submits an application on behalf of a resident, ECC/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 ECC/HANH/ELM CITY COMMUNITIES has received an Application for Exemption from Minimum Rent,
- (b) that ECC/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 ECC/HANH/ELM CITY COMMUNITIES for any back rent that is due and owing to ECC/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.

ECC/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. ECC/HANH/ELM CITY COMMUNITIES will provide each resident one opportunity to reschedule the meeting. If the resident fails to attend the scheduled meetings, ECC/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 ECC/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 ECC/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 ECC/HANH/ELM CITY COMMUNITIES for any back rent that is due and owing to ECC/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 ECC/HANH/ELM CITY COMMUNITIES for the minimum rent that was suspended and is now owing to ECC/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 ECC/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 ECC/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 ECC/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 ECC/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), ECC/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. ECC/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 Rent Tier Schedule

| Rent Tier | | | | | | |
|---------------------|----------|-------|--|----------|----------|---------|
| Income Range | | | | | | |
| \$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.

ECC/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 ECC/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 ECC/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 ECC/HANH/ELM CITY COMMUNITIES employee or the resident family.

ECC/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

ECC/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.

ECC/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.

ECC/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 ECC/HANH/ELM CITY COMMUNITIES who is in good standing.

The Application for Exemption from Minimum Rent shall originate from the family or from a ECC/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 ECC/HANH/ELM CITY COMMUNITIES employee submits an application on behalf of a resident, ECC/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 ECC/HANH/ELM CITY COMMUNITIES has received an Application for Exemption from Minimum Rent,
- (b) that ECC/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 ECC/HANH/ELM CITY COMMUNITIES for any back rent that is due and owing to ECC/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.

ECC/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. ECC/HANH/ELM CITY COMMUNITIES will provide each resident one opportunity to reschedule the meeting. If

the resident fails to attend the scheduled meetings, ECC/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 ECC/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 ECC/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 ECC/HANH/ELM CITY COMMUNITIES for any back rent that is due and owing to ECC/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 ECC/HANH/ELM CITY COMMUNITIES for the minimum rent that was suspended and is now owing to ECC/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 ECC/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 ECC/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 ECC/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 ECC/HANH/ELM CITY COMMUNITIES until the grievance process is completed.

7. Termination of Long-Term Exemptions

ECC/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 ECC/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), ECC/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 ECC/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 ECC/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 State or local employment training programs (including training programs not affiliated with a local government) and training of a family member as resident management staff. | Exclude 100 percent of any incremental earnings from wages or salaries earned by any family member during the first year of FSS program participation, 75% in 2 nd year, 50% in 3 rd year, 25% in 4 th year and 0% in 5 th year, as long as the household is enrolled in the FSS Program. This will not exceed 5 years. A family's eligibility to receive this optional income disallowance is limited to a total of 48 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 federal program, whether or not the member is enrolled in the FSS program |
| Business Income for Resident Owned Businesses | 24 CFR Part 5.609(b)(2) | The net income from the operation of a business or profession is included in determining annual income. | Exclude 100 Percent of any net income derived from the operation of a businesses; provided the business qualifies as a resident owned business under 24 CFR Part 963.5. During the first year of enrollment in FSS program 100 percent; 75 percent in the second year; 50 percent in the third year; 25 percent in the fourth year; 0 percent exclusion thereafter. |
| Earned Income Disallowance | 24 CFR Part 960.255 | Incremental income earned by a family member, provided the increase in income is the result (1) of employment of a family member was previously unemployed for one or more years prior to employment; (2) increased earnings by a family member during participation in any economic self-sufficiency or other job training program; or (3) result of new employment or increased earnings of a family member during or within six months after receiving assistance, benefits or services under | ECC/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 |

| Topic | Regulatory Provision | Current Policy | Alternative MTW Policy for Public Housing Program |
|--|----------------------|--|---|
| | | any state program for temporary assistance for needy families | 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. ECC/HANH/ELM CITY COMMUNITIES had none | Families with verifiable deductions in excess of \$2,000 will be allowed to request that these additional expenses be used in determining TTP. These verifiable deductions must exceed \$2,000 and shall be the sum of (1) Mandatory Deductions determined in accordance with Section 5.611 (2), plus non-reimbursed utility expenses (except telephone and cable) |
| Total Tenant Payment | 24 CFR 5.628 | (a) Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar: (1) 30 percent of the family's monthly adjusted income; (2) 10 percent of the family's monthly income; (3) If the family is receiving payments for welfare assistance from a public agency and a part of those payments, adjusted in accordance with the family's actual housing costs, is specifically designated by such agency to meet the family's housing costs, the portion of those payments which is so designated; or (4) The minimum rent, as determined in accordance with Sec. 5.630. | The Total Tenant Payment (TTP) will be based upon (1) income-tiered TTP structure or the minimum TTP \$50 for a family with income of up to \$2,500 annually. |

| Topic | Regulatory Provision | Current Policy | Alternative MTW Policy for Public Housing Program |
|--|-------------------------|--|--|
| 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. | <p>A family may be exempt from minimum rent as follows;</p> <ul style="list-style-type: none"> (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. <p>Family whose shelter expenses, plus un-reimbursed medical, childcare and disability expenses exceed 40 percent of annual income or whose medical, childcare or disability expenses of \$6,000 or more annually may seek a deduction in rent for exceptional expenses.</p> |
| 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 ECC/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. ECC/HANH/ELM CITY COMMUNITIES will pay all utilities except for electricity at Westville Manor, Fairmont Heights, McConaughy Terrace and all Scattered Site properties. |
| Annual Reexamination of Income and Family Composition | 24 CFR 960 Part 257 | Reexamination of income must occur every year, except every two years for elderly or disabled households. | Reexamination of income will occur every three years for Elderly and Disabled families and every two years for all other families. Annual update of changes in family composition for persons 18 years of age and older that are added or subtracted from the family. ECC/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 20 hours per week or enrolled in classes under the FSS program. |
| Interim Reexamination | 24 CFR 960 Part 257 | A family may request an interim reexamination of family income because of any changes since the last examination. The owner must make the interim reexamination within a reasonable time after the family request. Currently, family must report any change in income that amounts to \$200 or more a month. | A family can request only three interim re-examinations each 12 months with the exceptions of those conditions where they are required to report certain changes in family composition or certain changes in family income. A family, except for elderly or disabled or a family enrolled in FSS may make one request for an interim for a hardship exemption each 12 months. |
| Verification of Wages, Salaries and Assets below \$5,000 and Assets below \$50,000 | 24 CFR 5.659 | The owner must obtain and document in the family's file third party verification of the following factors, or must document in the file why third party verification was not available : (1) Reported family annual income; (2) The value of assets; (3) Expenses related to deductions from annual income; and (4) Other factors that affect the determination | 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. ECC/HANH/ELM CITY COMMUNITIES will continue to conduct EIV or UIV. |

| Topic | Regulatory Provision | Current Policy | Alternative MTW Policy for Public Housing Program |
|---|----------------------|---|--|
| | | of adjusted income. | 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**

Housing Choice Voucher Program Rent Simplification

ECC/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.

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 ECC/HANH/ELM CITY COMMUNITIES's burden of administering these housing programs.

Everyone Should Contribute

ECC/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 be increased from \$25.00 per month to \$50.00 per month for the HCV Program.

Fiscal Equity for ECC/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 ECC/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

ECC/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 Earned Income exclusion under Sec. 5.617 for Self-Sufficiency incentives for persons with disabilities who experience increases in annual income is eliminated. Instead, family members over the age of 18 who enroll in ECC/HANH's Family Self Sufficiency (FSS) Program will have all **Incremental earnings** and benefits resulting to the 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.

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 earnings and benefits from any qualified Federal, State or Local employment training program training of a family member (including programs not affiliated with the local government) excluded from the determination of Annual Income so long as the family member is enrolled in HANH/ELM CITY COMMUNITIES's FSS Program.

Additionally, any incremental earning by any family member while enrolled in the FFS Program will be excluded from the determination of Annual Income, 100% during the 1st year, 75% in 2nd year, 50% in 3rd year, 25% in 4th year and 0% during the 5th year of FSS participation. In addition to regularly scheduled recertifications, the family member will have their rent re-determined at the conclusion of the FSS Program or termination from the Program.

Families 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% in the second 12 months; 50% in the third 12 months; and 25% in the fourth 12 months. A family is limited to 48 months of eligibility for this optional IEE.

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 ECC/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.

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.

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 up to and including \$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 years for elderly and disabled households. ECC/HANH/ELM CITY COMMUNITIES spends on average three hours per annual reexamination. 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.

Effective FY2015 (October 2014), ECC/HANH updated 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).

ECC/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 ECC/HANH the ability to better track earnings and employment for work-able families; and the better population division will give ECC/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, ECC/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 (more than two children). It also includes families with high medical expenses, disability assistance expenses, or childcare expenses. Combined, exceptional expenses must total no less than \$2000.00 in order for family to qualify for the additional monthly rent deduction.

The amount of expense is set in \$2,000.00 tiers. This allows ECC/HANH/ELM CITY COMMUNITIES to move away from verifying every last dollar. Tenants are not required to provide documentation of every dollar of expense; rather, tenants need only provide documentation sufficient to meet the appropriate tier.

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

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

| Tiered Amount of Expenses | Monthly Rent Reduction |
|----------------------------------|--|
| \$ 2,000 - \$ 3,999 | \$ 75 (equivalent to \$3,000 deduction) |
| \$ 4,000 - \$ 5,999 | \$ 125 (equivalent to \$5,000 deduction) |
| \$ 6,000 + | Hardship Review |

Changes in Family Composition

Residents are still required to get permission from the Housing Choice Voucher staff 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 \$200.00 per month or more, or that causes the family to move from one income tier to another. 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
- Change in family composition that causes the family to move from one income tier to another with a higher rent schedule.
- Addition of a live-in aid
- Income increase following an interim rent reduction
- 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 (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 normally 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 certification date, except when the increase occurs after an interim decrease has been processed.

Households receiving a requested interim rent reduction must report any subsequent income increase to ECC/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.

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. Under this circumstance, the family is not required to report a subsequent increase in income until the next scheduled certification.

Verification of Annual Income from Wages and Salaries and Assets

To reduce the administrative burden associated with the verification of income ECC/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 up to and including \$5,000.00, self

certification from family is all that shall be required as verification of income.

- For earnings from and salaries of more than \$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 \$50,000.00 or less 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 ECC/HANH/ELM CITY COMMUNITIES 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 (0) Income Households

A family claiming zero (\$0) rent 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:

6. When a family has lost eligibility or is awaiting eligibility determination from a Federal, State or local assistance program;
7. When the family would be evicted because it is unable to pay the minimum rent;
8. When the income of the family has decreased because of changed circumstances, including loss of employment;
9. When a death in the family has occurred; or
10. Other circumstances determined by ECC/HANH 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 exemption from the minimum rent requirement and the HAP will be adjusted accordingly.

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 participant is elderly, disabled or is enrolled in ECC/HANH'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 ECC/HANH identifies a participant'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.

Hardship Review

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) participant of ECC/HANH who is in good standing.

The Application for Exemption from Minimum Rent shall originate from the family or a ECC/HANH employee if the family experiences any one of the Criteria for Minimum Rent Exemption.

When a participant submits an application or a ECC/HANH employee submits an application on behalf of a participant. ECC/HANH 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 and adjust the HAP payment accordingly.

The participant's assistance cannot be terminated for nonpayment of minimum rent while participant'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 participant families who have applied for Hardship Exemption from Minimum Rent stating:

- (f) that ECC/HANH has received an Application for Exemption from Minimum Rent,
- (g) that ECC/HANH will suspend the minimum rent requirement for 90 days effective as of the first of the next month and the effective dates of the 90 day suspension,
- (h) that there can be no termination of assistance for non-payment of rent during the suspension period;
- (i) the date for a meeting with the participant to discuss the hardship exemption request, giving the participant family at least ten days advance notice of such meeting and informing the participant that he or she may have one opportunity to reschedule the meeting; and
- (j) that, with the exception of elderly and disabled families, the participant 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.

- 4. 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 participant's rent will be reinstated to the minimum rent retroactively to the initial date of suspension. The participant will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH for any back rent that is due and owing to ECC/HANH.

5. 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.

ECC/HANH may deny a participant a long term exemption from the minimum rent requirement, if the participant fails to attend the scheduled meetings with the Hardship Review Committee. ECC/HANH will provide each participant one opportunity to reschedule the meeting. If the participant fails to attend the scheduled meetings, ECC/HANH may deny the long-term exemption from the minimum rent requirement. The letter scheduling the meeting, shall inform participants 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 requirements 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 ECC/HANH'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 of Exemption from Minimum Rent.

6. If the hardship is determined to be nonexistent, the participant will be responsible for paying rent to ECC/HANH 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. Participant will have an opportunity to enter into a reasonable repayment agreement with ECC/HANH for any back rent that is due and owing to ECC/HANH.

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:

7. If the hardship exemption is determined to be short term:
 - (e) , that a short-term hardship exemption was granted;
 - (f) the effective dates of the exemption;
 - (g) the basis for the decision to grant a short-term exemption, including that a long-term exemption was denied and the reason that such long-term exemption was denied; and
 - (h) that the participant has a right to enter into a reasonable repayment agreement with ECC/HANH for the minimum rent that was suspended and is now owing to ECC/HANH.
8. If the hardship exemption is determined to be long term:
 - (e) that a long-term hardship exemption was granted;
 - (f) whether the long-term exemption is permanent or subject to periodic review and, if subject to periodic review, when such review will take place; and
 - (g) that all non-elderly, non-disabled participants are required to comply with FSS requirements as a condition of the receipt of a long term exemption; and
 - (h) that the participant must notify ECC/HANH within 10 days if the hardship ceases to exist because the participant has obtained a source of income sufficient to pay (at least) the minimum rent.

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

- (d) that a hardship exemption was denied;
- (e) the reason for such determination; and
- (f) the terms and condition on which the participant family must pay back the minimum rent that was suspended and is now owing to ECC/HANH.

All letters concerning Hardship Review Committee determinations shall state that any participant who disagrees with the decision may request an informal hearing in accordance with ECC/HANH's hearing procedures, a copy of which will be included with the written decision. In cases where a hearing is sought, no action shall be taken by ECC/HANH 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), ECC/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. ECC/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 – Housing Choice

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.

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

ECC/HANH's performance; therefore, ECC/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. Additional, ECC/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 ECC/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). ECC/HANH will no longer inspect every unit every year, but will instead inspect units according to the families' biennial or triennial recertification schedule.

- Section 985.507(m) **Rent to Owner: Reasonable Rent**

- 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

ECC/HANH will no longer inspect each unit every year, but will instead inspect units according to the families' biennial or triennial recertification schedule, unless:

- The participant or landlord requests a special inspection due to violations noticed by either party.

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.

ECC/HANH will notify all families of their right to request a hardship exemption from the minimum rent requirement and in accordance with the provisions set forth herein. Participants 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 participants at lease-up and at each recertification appointment and mailed to participants at each interim recertification. The policy and procedures for requesting such hardship exemption will also be included in participant rent change notifications, Application for Exemption from Minimum Rent 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 ECC/HANH 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 exemption from the minimum rent requirement and the HAP will be adjusted accordingly.

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 participant is elderly, disabled or is enrolled in ECC/HANH'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 ECC/HANH identifies a participant'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.

Initiation of Hardship Exemption Review

An application for Exemption from Minimum Rent may originate from either a ECC/HANH employee or the participant family.

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

A participant 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.

Notification of the Right to a Hardship Exemption

ECC/HANH 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 participants at lease up and at each recertification appointment or mailed to participants for interim recertifications.

ECC/HANH 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: participant rent change notifications, the Application for Exemption from Minimum Rent and all form documents related to the hardship exemption process.

ECC/HANH will also notify all families in all of the above documents that all families that are exempt from the minimum rent requirements 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.

Exceptional Expenses

1. **Applicability-** Deductions permitted under 24 CFR Part 5.611(a) shall be permitted only to the extent the sum of anticipated deductions permitted under said Part 5.611(a) for the year are expected to equal or exceed \$2,000. Families with Exceptional Expenses that equal or exceed \$2,000 may request a rent deduction. The amounts of expenses are set in \$2,000 tiers. This allows ECC/HANH to move away from having to verify every dollar of every deduction. Participants will no longer be required to provide documentation for every dollar of expenses, but, instead, participants need only provide documentation sufficient to the expenses of the appropriate tier.

The amount of the rent deduction is established at the mid-range of each tier. Families with Exceptional Expenses will receive a reduction in the rental payment as set forth on the following table:

Families must have more than two qualifying dependents in order to qualify for additional Dependent Deductions

The Elderly/Disabled deductions shall not be used in determining Exceptional Expenses.

Dependent deduction shall only be allowed for families with more than two dependents since the standard amount of this deduction has been included in the determination of the percentage used to calculate tenant rent.

| Tiered Amount of Exceptional Expenses | Monthly Rent Reduction |
|--|--|
| \$ 2,000 - \$ 3,999 | \$ 75 (equivalent to \$3,000 deduction) |
| \$ 4,000 - \$ 5,999 | \$ 125 (equivalent to \$5,000 deduction) |
| \$ 6,000 + | Hardship Review |

Elderly persons and persons with disabilities always have the right to request a Reasonable Accommodation(s).

Rents are determined in accordance with the methods and income measures set forth in ECC/HANH's Public Housing Rent Simplification Policies.

ATTACHMENT C-1

EXCEPTION TO HCV REGULATIONS

| 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 is \$50,000 or less. 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 State or local employment training 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 during the first year of FSS program participation, 75% in 2 nd year, 50% in 3 rd year, 25% in 4 th year and 0% in 5 th year, 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 federal program, whether or not the 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. | 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 resident owned business under 24 CFR Part 963.5. <ul style="list-style-type: none"> • 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; <ul style="list-style-type: none"> 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. |

| Topic | Exceptions to HCV Program Regulations | Current Policy | Alternative MTW Policy for Housing Choice Voucher Program |
|--|---------------------------------------|---|--|
| 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. |
| 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 | <p>Determining total tenant payment (TTP). Total tenant payment is the highest of the following amounts, rounded to the nearest dollar:</p> <p>(a) 30 percent of the family's monthly adjusted income;</p> <p>(b) 10 percent of the family's monthly income;</p> <p>(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</p> <p>(d) The minimum rent, as determined in accordance with Sec. 5.630.</p> | 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 |

| Topic | Exceptions to HCV Program Regulations | Current Policy | Alternative MTW Policy for Housing Choice Voucher Program |
|---|---------------------------------------|---|--|
| 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 un-reimbursed medical, childcare and disability expenses exceed 40 % of annual income or whose medical, childcare or disability expenses of \$6,000 or more 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 ECC/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. ECC/HANH will do UIV and submit a 50058 annually. |
| Interim Reexamination | 24 CFR 982.516 | A family may request an interim reexamination of family income for any changes since the last annual reexamination. ECC/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. | 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. A family, except for elderly or disabled, may only make one request for an interim for a hardship exemption each 12 months, unless one (1) household member is enrolled in the FSS program.. |
| Verification of Wages, Salaries and Assets below \$5,000 and Assets below | 24 CFR 5.659 | ECC/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 | 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. |

| Topic | Exceptions to HCV Program Regulations | Current Policy | Alternative MTW Policy for Housing Choice Voucher Program |
|---|---------------------------------------|--|--|
| \$50,000 | | <p>available:</p> <p>(1) Reported family annual income;</p> <p>(2) The value of assets;</p> <p>(3) Expenses related to deductions from annual income; and</p> <p>(4) Other factors that affect the determination of adjusted income.</p> | ECC/HANH will continue to conduct EIV or UIV. |
| 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> <p>(1) 30 percent of the family's monthly adjusted income;</p> <p>(2) 10 percent of the family's monthly income;</p> <p>(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</p> | <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 during the fifth year shall not exceed \$100 a month above the monthly TTP in the year immediately preceding the implementation of Rent Simplification Policy.</p> <ul style="list-style-type: none"> • 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. |
| Annual Inspections | 24 CFR Part 982.405(a) | <p>ECC/HANH must inspect each unit annually during Section 8 assisted occupancy.</p> <p>24 CFR 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.)</p> | <p>ECC/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;</p> <p>(1) failed an inspection, or</p> <p>(2) the unit had a failed inspection in the three</p> |

| Topic | Exceptions to HCV Program Regulations | Current Policy | Alternative MTW Policy for Housing Choice Voucher Program |
|---------------------------|---------------------------------------|--|--|
| | | | <p>years prior to the implementation of the Rent Simplification Policy.</p> <p>A unit must have three consecutive years without a failed inspection to qualify for the bi-annual inspection.</p> <p>Units for which landlords are requesting increases in HAP payment will also be inspected prior to ECC/HANH granting any such increase.</p> |
| Waiver of SEMAP Indicator | 24 CFR Part 985.3(c). | | <p>Determination of Adjusted Income. Beginning October 1, 2007, Total Tenant Payment will be based Annual Income by income tiers. Additional, ECC/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.</p> |
| Waiver of SEMAP Indicator | 24 CFR Part 985.3(m) | | <p>Annual HQS Inspections. This indicator shows whether the PHA inspects each unit under contract at least annually. (24 CFR 982.405(a). ECC/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.</p> |
| Waiver of SEMAP Indicator | 24 CFR Part 985.3 (n) | | <p>Lease-Up. This indicator shows whether or not ECC/HANH enters HAP contracts for the number of units reserved under ACC for at least one year. ECC/HANH currently has a waiver of this provision and request that it be extended until September 30, 2008</p> |
| Portability procedures | 24 CFR Part 983.355 (c) (1) | ECC/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 (HCV) Program
Rent Simplification Rent Tier Schedule**

| Utility Allowance | | | | | | |
|--------------------------|----------|-------|--|----------|----------|---------|
| Income Range | | | | | | |
| \$0 | \$2,499 | \$50 | | \$34,500 | \$35,499 | \$819 |
| \$2,500 | \$3,499 | \$59 | | \$35,500 | \$36,499 | \$843 |
| \$3,500 | \$4,499 | \$83 | | \$36,500 | \$37,499 | \$867 |
| \$4,500 | \$5,499 | \$107 | | \$37,500 | \$38,499 | \$891 |
| \$5,500 | \$6,499 | \$131 | | \$38,500 | \$39,499 | \$914 |
| \$6,500 | \$7,499 | \$154 | | \$39,500 | \$40,499 | \$938 |
| \$7,500 | \$8,499 | \$178 | | \$40,500 | \$41,499 | \$962 |
| \$8,500 | \$9,499 | \$202 | | \$41,500 | \$42,499 | \$986 |
| \$9,500 | \$10,499 | \$226 | | \$42,500 | \$43,499 | \$1,009 |
| \$10,500 | \$11,499 | \$249 | | \$43,500 | \$44,499 | \$1,033 |
| \$11,500 | \$12,499 | \$273 | | \$44,500 | \$45,499 | \$1,057 |
| \$12,500 | \$13,499 | \$297 | | \$45,500 | \$46,499 | \$1,081 |
| \$13,500 | \$14,499 | \$321 | | \$46,500 | \$47,499 | \$1,104 |
| \$14,500 | \$15,499 | \$344 | | \$47,500 | \$48,499 | \$1,128 |
| \$15,500 | \$16,499 | \$368 | | \$48,500 | \$49,449 | \$1,152 |
| \$16,500 | \$17,499 | \$392 | | \$49,500 | Above | \$1,176 |
| \$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 | | | | |
| | | | | | | |

Appendix 6

HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

ECC/HANH BELIEVES: YOUTH INITIATIVE!

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 (ECC/HANH) was established in 1938 by the City of New Haven in response to the United States Housing Act of 1937. Elm Haven, ECC/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 ECC/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, ECC/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, ECC/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, ECC/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 ECC/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 ECC/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 ECC/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 ECC/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 ECC/HANH residents, ECC/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 Promise¹⁵ admittance and other programs that support post-secondary opportunities. In addition to the array of ECC/HANH-wide programs, ECC/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).

¹⁵ 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 surveyed¹⁶ 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 surveyed¹⁷ in grades 5 through 12 are success-ready, meaning students have hope¹⁸, are engaged¹⁹, and their well-being²⁰ 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)²¹ feel high school graduates are prepared for college, and less than 20% (2 in 10)²² 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,²³ written communications tops the list of applied skills found lacking in high school and college graduates alike.²⁴

Poverty rate in New Haven is too high (population ≥ 25 years) ²⁵

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 1990²⁶

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 ECC/HANH family is \$14,091

¹⁶ 2013 Gallup poll of more than 600,000 students in grades 5 through 12 from school districts across the country

¹⁷ Ibid.

¹⁸ Student *hope* is defined by how students view their future. It's their belief that they can, and will, succeed at school and beyond.

¹⁹ Student *engagement* is defined by the non-cognitive engagement—paying attention in class, how students feel, overall behavior, etc.

²⁰ Student *well-being* is defined by how students evaluate their lives and the extent to which they report positive daily experiences.

²¹ 2013 Phi delta Kappa/Gallup poll

²² 2013 Phi delta Kappa/Gallup poll

²³ <http://arts.gov/sites/default/files/ToRead.pdf>

²⁴ <http://arts.gov/sites/default/files/ToRead.pdf>

²⁵ http://factfinder2.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS_12_5YR_S1701.

²⁶ <http://datacenter.kidscount.org/data#CT>

Framework: New Haven Housing Authority and New Haven public schools

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

| | | | |
|--|--|---|--|
| 2015-16) | | | |
| New Haven Public Schools | <ul style="list-style-type: none"> • Coordinate with school to identify child-level needs • Increased enrollment in schools of choice | <ul style="list-style-type: none"> • Youth Stat • TBD | <ul style="list-style-type: none"> • TBD |
| Adult Education (In partnership w/ existing work and Project MORE in discussion for SY 2015-16) | <ul style="list-style-type: none"> • Coordinate with school to identify student-level needs • Coordinate with school to identify family-level needs | <ul style="list-style-type: none"> • Attendance assistance • Whole-family evaluations • Mental health support for students and families • Parent engagement • Parent supports • Family supports | <ul style="list-style-type: none"> • School attendance increase • Number of students age 17-30 receiving GED • Number of formerly incarcerated students age 17-30 completing GED |
| ECC/HANH Believes Programs | Leverage Opportunities that Addresses Challenges and Concerns as Part of ECC/HANH Believes | ECC/HANH interventions and Strategies | Indicators |
| Academic Supports and Afterschool Programming to Reduce Achievement Gap | <ul style="list-style-type: none"> • Partner or administer out-of-school enrichment programs to support achievement in identified academic areas of need • Use housing authority developments to support high quality out of school enrichment programs • Raise awareness among parents about out-of-school academic programs | <ul style="list-style-type: none"> • Dinner Pilot during standardized testing window *AGR • After school program w/ ConnCAT: for 40 kids in Grades 5-8 *AGR • After school program w/ Solar Youth: for 86 kids in Grades k-12 *AGR • After school program w/ BGCNH: for 125 kids in Grades k-8 *AGR • After school program w/ Leap for Kids: for 20 kids in Grades k-12 *AGR • Nonprofit Evaluations *AGR | <ul style="list-style-type: none"> • Increase in student participation in community programs and improved quality of community programs • Percent of 12th graders receiving a high school diploma • Increase in 12th grade cohort • Academic increase on state standardized tests • Decrease in Ds and Fs |

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

| | | | |
|---|--|---|--|
| Parent and Family Engagement in Children's Education | <ul style="list-style-type: none"> • 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. • Demonstrate cultural competency and offer translation services to parents and families with limited English-speaking abilities • Educate parents on the importance of school and classroom stability | <ul style="list-style-type: none"> • Parent Support Network *PFE • Summer BBQs *PFE • Sports League *PFE • Parent workshops and trainings *PFE, AGR • Parent Ambassadors *PFE • Facts for Families *PFE • Text 4 Education * PFE, AGR | <ul style="list-style-type: none"> • Attendance of parents in school sponsored events and conferences • Stable numbers of Parent Ambassadors • Increase numbers of parents who attend workshops and/or trainings • Increase numbers of parents who have leadership opportunities around the city • Increase numbers of parents who have leadership opportunities within their child's school and influence on decision making at their school or district |
|---|--|---|--|

| | | | |
|--|---|---|---|
| <p>Student Attendance, Truancy, and Discipline</p> <p>*ECC/HANH Believes Flagship Program*</p> <p><u>POINT:</u> Sheila Allen-Bell</p> | <ul style="list-style-type: none"> • Leverage role as Housing Authority to improve student attendance • Leverage role as Housing Authority to improve student truancy • Leverage role as Housing Authority to reduce student discipline | <ul style="list-style-type: none"> • Direct case management work w/ NHPS students through Youth Stat *AGR, PFE • Direct case management work w/ identified ECC/HANH students attending NHPS *AGR, PFE • Homework help *AGR • Whole-family evaluations *AGR, PFE • Mental health support for students and families *AGR, PFE | <ul style="list-style-type: none"> • School attendance increase • School discipline decrease • Decrease in chronic absence, defined as missing 10% or more of the school year • Percent of K-5 students missing fewer than 10 days • Percent of 9th graders triggering early warning indicators (e.g., six or more absences and one or more course failures; one or more suspensions or expulsions) |
| <p>New Haven Promise Informational Sessions and other Programs to Support Postsecondary Opportunities</p> | <ul style="list-style-type: none"> • Offer support during academic transitions: middle to high; high to postsecondary; postsecondary to employment and self-sufficiency • Leverage role as Housing Authority to create postsecondary avenues • Leverage role as Housing Authority to provide adult relationships through youth employment • Leverage role as Housing Authority to celebrate youth • Provide supports for completion of a | <ul style="list-style-type: none"> • NHP informational sessions for parents *PSO, AGR, PFE • NHP informational sessions for students *PSO, AGR • NHP applications for 8th graders *PSO, AGR, PFE • PSAT and SAT supports *PSO, AGR • ECC/HANH apprenticeship program *PSO, AGR • Afterschool job shadow program *PSO, AGR • Student Training and Employment Program (STEP) *PSO, AGR • Graduation gift *PSO, AGR, PFE • Youth Leadership Council (YLC) and STEP alumni group *PSO, AGR | <ul style="list-style-type: none"> • Percent of eligible students that complete the New Haven Promise application • Percent of graduating college bound students that complete the FAFSA • Developmental assets data (savings) • Increase in percent of seniors that take the PSAT and SAT • Percent of students receiving New Haven Promise awards • Percent of graduates that |

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

System issues that need to be addressed

- | |
|---|
| <ul style="list-style-type: none">• MOUS, Data Sharing Agreements, Consent Forms, and FERPA |
| <ul style="list-style-type: none">• Culture of high expectations and excellence at ECC/HANH• Moving to Work status |
| <ul style="list-style-type: none">• Start-up funds• Financial sustainability |
| <ul style="list-style-type: none">• Culture change among academic, community and stakeholder partners• Sustainable social capital between schools and families |

Appendix 7

Significant Amendments to 2017 MTW Plan as Required Under the Rental Assistance Demonstration Program for 60 Day Milestone

Significant Amendments to 2017 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.

ECC/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. ECC/HANH received approval for the remaining developments on January 29, 2014 for aggregate total of 1330 RAD units. The authority requested a swap of assets under its portfolio award. As such, the RAD award will be as follows upon approval: Ribbicoff Cottages, Farnam Courts, EVT, Wilmot, McQueeney, Fairmont, Ruoppolo Manor, Celentano, Wolfe, , Bush, Waverly, Valley, CB Motley, Newhall, Katherine Harvey, Fulton & Chamberlain. It is anticipated that ECC/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 also anticipates submission of application for RAD conversion for Crawford Manor, and Westville Manor ECC/HANH has submitted for the requested swap in assets, RAD applications.

ECC/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, ECC/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 | 2 | 3 | 4 | 5 | Total Bedroom |
| Ribicoff Cottages & Exts | Elderly/ Disabled | 16 | 84 | | | | | 100 |
| Farnam Courts | Family | | 7 | 134 | 71 | 2 3 | | 235 |
| Eastview Terrace | Family | | 19 | 31 | 3 | | | 53 |
| Wilmot Crossing | Elderly/ Disabled | | 32 | 2 | | | | 34 |
| McQueeney | Elderly/ Disabled | 127 | 22 | | | | | 149 |
| Fairmont Heights | Elderly/ Disabled | 43 | 54 | 0 | | | | 97 |
| Matthew Ruoppolo Manor | Elderly/ Disabled | 71 | 32 | 1 | | | | 104 |
| Winslow Celentano | Elderly/ Disabled | 32 | 32 | | | | | 64 |
| C.B. Motley | Elderly | 8 | 37 | | | | | 45 |
| Katherine Harvey | Elderly | | 17 | | | | | 17 |
| Chamberlain/Fulton | Family | | | | 19 | 1 | | 20 |
| Newhall Gardens | Elderly | | 26 | | | | | 26 |
| Prescott Bush | Elderly | 22 | 27 | 7 | | | | 56 |
| Robert T. Wolfe | Elderly/ Disabled | 77 | 13 | 2 | | | | 92 |
| Valley | Family | | | 8 | 16 | 1 3 | 3 | 40 |
| Waverly | Family | | | 21 | 20 | 1 0 | | 51 |
| | | 396 | 402 | 206 | 129 | 4 7 | 3 | 1183 |

A Description of Units to be Converted

| Development Name | Type | 0 | 1 | 2 | 3 | 4 | 5 | Total Bedroom |
|--------------------------|-------------------|-----|-----|-----|-----|--------|---|---------------|
| Ribicoff Cottages & Exts | Elderly/ Disabled | 16 | 84 | | | | | 100 |
| Farnam Courts | Family | | 7 | 134 | 71 | 2 3 | | 235 |
| Eastview Terrace | Family | | 19 | 31 | 3 | | | 53 |
| Wilmot Crossing | Elderly/ Disabled | | 32 | 2 | | | | 34 |
| McQueeney | Elderly/ Disabled | 127 | 22 | | | | | 149 |
| Fairmont Heights | Elderly/ Disabled | 43 | 54 | 0 | | | | 97 |
| Matthew Ruoppolo Manor | Elderly/ Disabled | 71 | 32 | 1 | | | | 104 |
| Winslow Celentano | Elderly/ Disabled | 32 | 32 | | | | | 64 |
| C.B. Motley | Elderly | 8 | 37 | | | | | 45 |
| Katherine Harvey | Elderly | | 17 | | | | | 17 |
| Chamberlain/Fulton | Family | | | | 19 | 1 | | 20 |
| Newhall Gardens | Elderly | | 26 | | | | | 26 |
| Prescott Bush | Elderly | 22 | 27 | 7 | | | | 56 |
| Robert T. Wolfe | Elderly/ Disabled | 77 | 13 | 2 | | | | 92 |
| Valley | Family | | | 8 | 16 | 1 3 | 3 | 40 |
| Waverly | Family | | | 21 | 20 | 1 0 | | 51 |
| | | 396 | 402 | 206 | 129 | 4 7 | 3 | 1183 |

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 | 2 | 3 | 4 | 5 | Total Bedroom |
| Ribicoff Cottages & Exts | 1413 | Elderly/Disabled | 16 | 84 | | | | | 100 |
| Farnam Courts Phase 1 onsite | 1421 | Family | | 7 | 134 | 71 | 23 | | 235 |
| Eastview Terrace | 1426.03 | Family | | 19 | 31 | 3 | | | 53 |
| Wilmot Crossing | 1413 | Elderly/Disabled | | 32 | 2 | | | | 34 |
| McQueeney | 1420 | Elderly/Disabled | 127 | 22 | | | | | 149 |
| Fairmont Heights | 1427 | Elderly/Disabled | 43 | 54 | 0 | | | | 97 |
| Matthew Ruoppolo Manor | 1424 | Elderly/Disabled | 71 | 32 | 1 | | | | 104 |
| Winslow Celentano | 1422 | Elderly/Disabled | 32 | 32 | | | | | 64 |
| C.B. Motley | 1415 | Elderly | 8 | 37 | | | | | 45 |
| Katherine Harvey | 1403 | Elderly | | 17 | | | | | 17 |
| Chamberlain/Fulton | 1427 | Family | | | | 19 | 1 | | 20 |
| Newhall Gardens | 1415 | Elderly | | 26 | | | | | 26 |
| Prescott Bush | 1416 | Elderly | 22 | 27 | 7 | | | | 56 |
| Robert T. Wolfe | 1402 | Elderly/Disabled | 77 | 13 | 2 | | | | 92 |
| Valley | 1412 | Family | | | 8 | 16 | 13 | 3 | 40 |
| Waverly | 1408 | Family | | | 21 | 20 | 10 | | 51 |
| | | | 396 | 402 | 206 | 129 | 47 | 3 | 1183 |

3. Changes in Policies that Govern Eligibility, Admission, Selection and the Occupancy of Units After Conversions

a. Ribicoff Cottages and Extensions

ECC/HANH/Elm City Communities is changing the waiting list policy to coincide with the Memorandum of Agreement between the ECC/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 ECC/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 ECC/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. ECC/HANH/Elm City Communities is changing the waiting list policy to coincide with the Memorandum of Agreement between the ECC/HANH/Elm City Communities and the TRC's for Farnam Courts. Under the MOA existing Residents will be provided a signed, written agreement from ECC/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 ECC/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 ECC/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 ECC/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 ECC/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 2016.

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 2016.

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, ECC/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

ECC/HANH will post the revisions to the MTW Annual Plan as required by ECC/HANH's Amended and Restated Moving to Work Agreement. ECC/HANH will include all comments received and addressed prior to finalizing these Significant Amendments.

7. MTW Fungibility

ECC/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. ECC/HANH's baseline number of units for which it must

maintain service is 4,827 units. Currently, ECC/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, ECC/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 ECC/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 ECC/HANH not fall below 5% of the baseline units. Based upon the conversion schedule, ECC/HANH estimates that it will fall below the 5% threshold in 2017, and, therefore, ECC/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.

Monterey Place Conversion

ECC/HANH and the Project Owner/Sponsor, Beacon Corcoran Jennison ("BCJ"), applied for and received RAD awards for Monterey Place Phase 1B, Phase 1C (as known as Monterey 4) and Phase 2R to convert the public housing apartments to Project-based Voucher Section 8 in February 2015.

Newly constructed in the late 1990's Monterey Phase 1B, 1C and 2R is a 339-unit multi-phase privately owned HOPE VI development, of which 280 (83%) of the apartments receive public housing operating subsidy. Monterey Place is comprised of three rental phases known as

- 1B (237 units, 210 public housing),
- 1C (61 units, 42 public housing), and
- 2R (42 units, 28 public housing) – collectively referred to as "Monterey".

Located in New Haven, CT, Monterey was one of the early HOPE VI developments. It was developed through a joint-venture of two well-establish affordable housing developers and property management companies, Beacon Communities LLC and Corcoran Jennison Companies. All of the land is owned in fee simple by The Housing Authority of the City New Haven CT ("ECC/HANH") and ground leased to the ownership entities.

As part of this conversion, please note that it will not include any of the following:

- change in ownership
- new financing
- change to the bedroom mix
- relocation
- rehabilitation
- transfer of Assistance

ECC/HANH and BCJ have received CHAPs dated February 2015 for Monterey Phases 1B, 1C and 2R. Phase 1B is comprised of 6 AMPS that will be combined into one HAP contract and Monterey Phases 1C and 2R each have 1 AMP which is detailed below.

| AMP NAME | BLOCK | AMP NUMBER | PH UNITS | TC UNITS | MK UNITS |
|----------------------------------|---------------------------|---------------------|-----------|-----------|----------|
| PHASE 1B | | | | | |
| Monterey 1 | Blocks E & F | CT 004000026 | 42 | 14 | 5 |
| Monterey 2 | Block H | CT 004000027 | 7 | 1 | 1 |
| Monterey 3 | 69 Webster | CT 004000028 | 45 | 0 | 0 |
| Monterey 5 | Block G | CT 004000030 | 17 | 4 | 1 |
| Edith Johnson | 114 Bristol | CT 004000024 | 95 | 0 | 0 |
| William Griffin | 123 Bristol | CT 004000025 | 4 | 0 | 0 |
| PHASE 1C (aka Monterey 4) | | | | | |
| Monterey 4 | Blocks B & C | CT 004000029 | 42 | 16 | 3 |
| PHASE 2R | Blocks I & A-1 | CT 004000031 | 28 | 14 | |

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. *Note that Monterey Place will convert to PBV.*

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 FY 2015, ECC/HANH received notice in February 2015 of RAD awards for Monterey Place Phase 1B, 1C (aka Monterey 4) and Phase 2R. Below, pursuant to Attachment 1D: Requirements for RAD-Specific Significant Amendment submissions are the details concerning Monterey Place. As noted above, this is a conversion of the public housing operating subsidy to PBV Section 8. As part of this conversion there is none of the following ... no change in ownership, no new financing, no change to the bedroom mix, no relocation, no rehabilitation (as noted above the units were newly constructed so only regular maintenance and capital needs are planned), and no transfer of Assistance. The only change is the form of subsidy associated with the public housing units.

A description of units to be Converted:

| Development Name | Census Tract | Type | 0 | 1 | 2 | 3 | 4 | 5 | Total Bedroom |
|-------------------------|---------------------|----------------|-----------|-----------|-----------|-----------|----------|----------|----------------------|
| Monterey 1B | | Family/elderly | 85 | 83 | 26 | 14 | 2 | | 210 |
| Monterey 1C | | Family | | 7 | 20 | 12 | 3 | | 42 |
| Monterey 2R | | Family | | 8 | 15 | 3 | 2 | | 28 |
| TOTAL | | | 85 | 98 | 61 | 29 | 7 | | 280 |

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

As part of the conversion of the public housing subsidy to RAD PBV at Monterey Place, there aren't any changes to the number of units, bedroom mix or housing type.

3. Changes in Policies that Govern Eligibility, Admission, Selection and the Occupancy of units after Conversions

As part of the RAD conversion, the property will receive RAD Project Based Vouchers for all residents currently receiving public housing operating subsidy. For new admissions to the now RAD units, ECC/HANH will qualify applicants in accordance to the PBV program requirements as detailed in is Administrative Plan. Concurrently, applicants will be qualifies for Low Income Housing Tax Credit (LIHTC) program requirements in accordance with the property's Tenant Selection Plan. This Tenant Selection Plan has been in place prior to the RAD conversion and does not represent a change in the admission's policy. Residents will continue to have the same rights as they currently have as a public housing resident.

4. Transfer of Assistance at time of Conversion

There will not be a Transfer of Assistance at Monterey Place.

5. Indication of Compliance with Voluntary Compliance Agreement

July 9, 2007, ECC/HANH entered a Voluntary Compliance Agreement (VCA) regarding complying with federal and state accessible standards. All requirements have been met.

6. All Other Required Information

ECC/HANH will post the revisions to the MTW Annual Plan as required by HANH's Amended and Restated Moving to Work Agreement. ECC/HANH will include all comments received and addressed prior to finalizing the Significant Amendments.

7. MTW Fungibility

ECC/HANH will use its MTW Fungibility to provide assistance for the 280 units at Monterey Place that are converting from public housing operating subsidy to PBV Section 8. We estimate that the average assistance per unit will be \$8,319 for a total monthly assistance of \$194,112. With an average estimated voucher payment of \$693 per month/per family providing assistance to the 280 RAD units would be the equivalent of 280 vouchers.

8. In accordance with 24 CFR Part 903 –

As part of the Public Notice informing the public of these Significant Amendments, ECC/HANH will include language specifying the reduction of Capital Fund Budget grants as a result of converting the ACC units to RAD.

- b. Current Capital Fund Grant associated with: Monterey Place. As the 2016 CFP budget was just released, the estimated Capital Fund Grant associated with Monterey Place is \$241,808. 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: Monterey CFP for 2015 is estimated at \$241,808.
- c. The RAD conversion will impact an existing CFFP to facilitate the RAD conversion because the Bond Indenture for the Brookside Phase 1 CFFP Bonds requires that the amount of units of the ECC/HANH not fall below 5% of the baseline units. Based upon the conversion schedule, ECC/HANH estimates that it will fall below the 5% threshold in 2016, and, therefore, ECC/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.