



Making a Difference...

2015 MOVING TO WORK ANNUAL REPORT DRAFT

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1. Introduction

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

This MTW Annual Report states HANH's MTW goals and objectives and our current status toward achieving these goals and objectives for FY 2015 (October 1, 2014 to September 30, 2015).

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

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

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

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

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

According to the MTW Agreement, HANH/ELM CITY COMMUNITIES's MTW program does *not* include HUD grant funds committed to specific grant purposes, namely: HANH/ELM CITY COMMUNITIES's HOPE VI grants for Monterey Place, HANH/ELM CITY COMMUNITIES's HOPE VI grants for Quinnipiac Terrace/Riverview, any future HOPE VI Revitalization grants and other competitive grant funds awarded for specific purposes. These grant funded programs committed to specific purposes require HANH/ELM CITY COMMUNITIES to provide periodic reports to HUD. Although these grant funded programs are not included in HANH/ELM CITY COMMUNITIES's MTW program, HANH/ELM CITY COMMUNITIES has included information, where relevant, regarding these grant funded programs in this MTW Annual Report for FY 2015.

HANH/ELM CITY COMMUNITIES's original MTW Agreement with HUD became effective retroactively to October 1, 2000. The initial seven-year term of HANH/ELM CITY COMMUNITIES's MTW status expired on September 30, 2008. HUD proposed a new, revised MTW Agreement that would provide MTW status for 10 years. HANH/ELM CITY COMMUNITIES executed the Amended and Restated Moving to Work Agreement on May 2, 2008. The Amended and Restated MTW Agreement governs HANH/ELM CITY COMMUNITIES's MTW status through 2018. HANH/ELM CITY COMMUNITIES made the agreement available for public review and comment for a 30 day period and conducted a public hearing at the end of the review period. The public hearing was conducted on February 25, 2008. The HANH/ELM CITY COMMUNITIES Board

of Commissioners approved the Amended and Restated MTW Agreement through Resolution No. 02-22/08-R on February 26, 2008.

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

HANH/ELM CITY COMMUNITIES's MTW program is the product of an extensive planning process, conducted from 1998-2000, to establish long-term plans for improving our agency's operations and for transforming our public housing stock. During 2006-2007, HANH/ELM CITY COMMUNITIES engaged in a planning process in order to update and reinvigorate our agency's plans. As a result of this planning process, HANH/ELM CITY COMMUNITIES developed a Three-Year Strategic Plan for FYs 2007-2009. During 2009-2010, HANH/ELM CITY COMMUNITIES again engaged in a planning process to re-evaluate and provide continuity to the original Three-Year Strategic plan. During FY2015 HANH/ECC engaged in a strategic planning process. This resulted in a new 3 year Strategic Plan. The MTW planning process provides the agency with a mechanism for updating its long-term strategy on an annual basis by enabling HANH/ELM CITY COMMUNITIES to take stock of the progress of its on-going activities and by addressing new concerns by establishing new goals and objectives for FY 2015. Currently HANH/ ELM CITY COMMUNITIES is reviewing its strategic plan and outcomes. The 2015 Annual MTW Plan sets forth a long-term vision for the agency for the next 10 years.

HANH/ELM CITY COMMUNITIES's 2015 MTW Annual Report was made available for public review on October 17, 2015 and a public hearing was held on November 20, 2015. On December 15, 2015, the Board of Commissioners passed Resolution #12-/15-R approving the 2015 MTW Annual Report. The following schedule indicates notice, hearing and approval by the Board of Commissioners.

Report

Public Notice – October 17, 2015

Public Hearing – November 20, 2015

Board of Commissioner Approval – December 15, 2015

A. Short Term Strategic Plan

MTW Goal	Description of Short Term Strategic Plan
1. Reduce cost and achieve greater cost effectiveness in Federal expenditure.	<ul style="list-style-type: none"> • Expansion of rent simplification model-COMPLETED • Investments in technology to add additional functionality – e.g. on-line applications for housing; on-line ability to check waitlist status; electronic payments to vendors and landlords-IN PROGRESS • Provision of services to areas PHAs –ON-GOING • Energy efficiency investments through ESCO- IN PROGRESS • Complete RAD conversion opportunities within the portfolio –IN PROGRESS
2. Give incentives to families with children whose heads of household are either working, seeking work or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self sufficient	<ul style="list-style-type: none"> • Full implementation of MTW CARES initiative to move families toward self sufficiency with evaluation of model and documentation of impact findings –ON-GOING • Support for resident entrepreneurial endeavors–ON-GOING • Offering cost effective training programs and increase in number of residents participating in such. –ON-GOING • Create linkages with local school system to support children's academic progress and attainment. –ON-GOING
3. Increase housing choices for low income families	<ul style="list-style-type: none"> • Complete revitalization of West Rock community through Rockview and Ribicoff Cottages redevelopment- IN PROGRESS • Market homeownership opportunities in West Rock–ON-GOING • Partner with non-PHA entities to increase the supply of affordable housing–ON-GOING • Complete planning and redevelopment of Farnam Court/Fair Haven and Westville Manor. - IN PROGRESS • Continued modernization and capital investment in current portfolio–ON-GOING • Continue progress toward meeting goal of 10% UFAS compliant units agency wide. - IN PROGRESS

B. Long-Term MTW Planning

MTW Goal	Description of Long Term (10 Years) Strategic Plan
<p>1. Reduce cost and achieve greater cost effectiveness in Federal expenditure.</p>	<ul style="list-style-type: none"> • Streamline administrative functions in LIPH and HCV program operations through transition to paperless systems and electronic files. • Continued process of streamlined administration of HCV program through introduction of HQS self certification program for model landlords. • Exploration of regional provision of housing authority services on a fee for service basis. • Disposition and/or conversion of remaining non-performing assets. • Continued investment in technological advances to reduce administrative burden and create model wired and wireless communities. • Continued investment in energy efficiency initiatives to improve the efficiency of HANH/ELM CITY COMMUNITIES's operations.
<p>2. Give incentives to families with children whose heads of household are either working, seeking work or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self sufficient</p>	<ul style="list-style-type: none"> • Develop transitional models of assistance that move families toward self sufficiency and away from subsidized housing in progressive steps. • Expansion of resident owned business initiatives leading to an increase in the number of HANH/ELM CITY COMMUNITIES contracts executed with such business enterprises and support for these businesses successfully competing for non-HANH/ELM CITY COMMUNITIES work. • Expansion of cost effective training programs and increase in number of residents participating in such. • Expansion of supportive services programming to provide needed supports to families as they move toward self-sufficiency. In the long term, on-site supportive services is critical to our effective management of Elderly/Disabled developments—perhaps equally important to security improvements—as more than 90% of our Elderly/Disabled waiting lists are persons with disabilities and, based on recent admissions, the majority have significant behavioral health disabilities. • Create linkages with local school system to support children's academic progress and attainment.
<p>3. Increase housing choices for low income families</p>	<ul style="list-style-type: none"> • Complete final revitalization effort of HANH/ELM CITY COMMUNITIES's LIPH housing stock through revitalization/redevelopment or disposition of remaining poor performing assets • HANH/ELM CITY COMMUNITIES will seek to address the housing crisis experienced by the otherwise eligible re-entry population by assisting with housing choices for individuals who are being serviced through a comprehensive service approach to re-entry. • Development of home ownership options (West Rock and Quinpiac Terrace redevelopments) • Promotion of housing opportunities for income eligible local workforce through LIPH and HCV programs. • Promote development opportunities in non-HANH/ELM CITY COMMUNITIES developments through use of housing choice vouchers to create mixed income, mixed finance viable housing opportunities for participants.

Overview of Objectives and Progress of Goals

Listed below HANH/ELM CITY COMMUNITIES's overview of the progress of initiatives for FY2015. Non-numbered initiatives require funding flexibility only.

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

Maximize the Impact of Federal Subsidy in Redevelopment Effort

- **MTW ONGOING INITIATIVES**
 - 1.4 Income Eligibility for HCV PBV units in Mixed Finance Developments - *FY2012*
 - 1.10 Income Skewing for PBVs in Mixed Finance Developments - *FY2012*
- **CLOSED OUT**
 - 1.13 Creation of a commercial business venture at 122 Wilmot Road – *FY2008*
- **NON-MTW ONGOING ACTIVITIES**
 - Use of Frozen/Fixed Utility Consumption
 - Regional provision of affordable housing services

Dispose of Non-Performing Assets

- **MTW ONGOING INITIATIVES**
 - Dispose of Sheffield Manor
- **COMPLETED**
 - Dispose of 620 Grand Ave (warehouse) sold February 17, 2012

Reduce Administrative Burden on Residents/Participants/ Landlords and Staff

- **MTW ONGOING INITIATIVES**
 - 3.1 Rent Simplification -*FY2008*
 - 3.5 HCV Rent Simplification/Cost Stabilization Measures – *FY2015*
- **CLOSED OUT**
 - 3.2 UPCS Inspections- *FY2008*
 - 3.3 Revised HQS Inspection Protocol – *FY2011*
 - 3.4 Mandatory Direct Deposit -*FY2009*

Ensure Best Use of Limited Federal Resources

- **MTW ONGOING INITIATIVES**
 - Local Asset Management Program
 - Waive 60 Day Notice Requirement on New Utility Allowance Schedule in Newly Developed Mixed Finance Developments
 - Full Fungibility of Funds for Development Purposes
- **NON-MTW ONGOING ACTIVITIES**
 - Research and Evaluation
 - Energy Performance Contract

2. Increase Family Self Sufficiency

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

- **MTW ONGOING INITIATIVE**
 - HANH Believes

Assist Work Eligible Adults Build Employment Skills

- **MTW ON-GOING INITIATIVES**

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

Support the Maintenance of Self Sufficiency

- **MTW ONGOING INITIATIVES**

- Resident Owned Business/Business Development Support Initiative
- SEHOP Capital Improvement Program

Support the Most Vulnerable Residents' Ability to Maintain Housing

- **MTW ONGOING INITIATIVES**

Resident Services for Elderly/Disabled Families

Community Re-entry Program

3. Increase Housing Choice

Preserve and Create Affordable Housing through Redevelopment Efforts

- **MTW Completed FY 2015 and prior**

- Dispose of former Rockview Development for development of NEW Rockview
- Dispose of Valentina Macri for creation of new supportive housing units for formerly homeless
- Dispose of Ribicoff Cottages and Extension for redevelopment of Ribicoff

*Major redevelopment efforts:

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

- 1.1 Development of Mixed Use Development at 122 Wilmot Road- *FY2009*

Preserve and Create Affordable Housing through Redevelopment Efforts

- **MTW ONGOING INITIATIVES**

- 1.2 Local Total Development Cost (TDC) limits initiative - *FY2009*
- 1.11 Increase the percentage of Housing Choice Voucher budget authority for the Agency that is permitted to project-base from 20% up to 25%
- 1.12 Development of Replacement Public Housing Units with MTW Black Grant Funds-*FY2013*
- 1.8 Farnam Courts Transformation Plan *FY2011*
- 1.9 Increase the Allowed Percentage of Project Based Voucher ("PBV") Units from 75 Percent to 100 Percent in a Mixed Financed Development - *FY2012*
- 1.15 Development of Mixed Finance Development for Rockview Phase II Rental

*Dispose of Valley Townhouses for redevelopment of Valley Townhouses

*Dispose of South Genesee Park at McConaughy Terrace

*Dispose of Farnam Court for redevelopment of Farnam

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

Preserve and Create Affordable Housing through Redevelopment Efforts

CLOSED OUT INITIATIVES

- 1.14 Redevelopment of 99 Edgewood Avenue k/n/a Dwight Gardens

Preserve and Create Affordable Housing through Redevelopment Efforts

NON-MTW ONGOING ACTIVITIES

Capital Fund Financing Program

Create Homeownership Opportunities

MTW ONGOING INITIATIVES

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

Create Homeownership Opportunities

NON-MTW ONGOING ACTIVITIES

Section Eight Home Ownership Program (SEHOP) - Capital Improvement Program

Preserve Affordable Housing through Modernization Efforts and Vacancy Reduction Activities

MTW ONGOING INITIATIVES

Elevator upgrades at Crawford Manor; vacancy reduction agency wide; UFAS compliance agency wide; lead abatement at Farnam Courts; roof replacement at Waverly; Continuation of CB Motley HVAC Riser Improvements

Preserve Affordable Housing through Modernization Efforts

NON-MTW ONGOING ACTIVITIES

Rental Assistance Demonstration (RAD) projects: Westville Manor; Essex Townhouses; Crawford Manor; Farnam Court; Ribicoff Cottages and Extensions.

- Ribicoff Cottages and Extensions closed as RAD deals and are under construction.

Demolition of 5 units among the scattered site properties

Demolition of 21 units at Westville Manor

- Demolition of twenty-one (21) Units at Westville Manor. In furtherance of the revitalization of the West Rock Community, the Authority will demolish twenty-one (21) units to make for a viable healthy community at Westville Manor under the mixed finance regulations and section 18 of the Act. Westville Manor is planned for redevelopment, new construction, as a RAD deal with replacement housing units being constructed at the Rockview Phase II site.

Prevent Homelessness

MTW ONGOING INITIATIVES

1.5 HCV Preference and Set-Aside for Victims of Foreclosures - FY2009

1.7 Tenant-Based Vouchers for Supportive Housing for the Homeless FY2011

Prevent Homelessness

NON-MTW ONGOING ACTIVITIES

Homeless family Voucher Set-aside

Project Based Voucher for Supportive Housing

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

Assist Low Income Families to Access Housing in Areas of Opportunity

MTW ONGOING INITIATIVES

1.6 Deconcentration of Poverty (Promote Expanded Housing Opportunities for HCV Program) -FY2008

MTW Initiatives Not Yet Implemented

2.4 Teacher in Residence

II. General Housing Authority Operating Information

Annual MTW Report

II.4.Report.HousingStock

A. MTW Report: Housing Stock Information

New Housing Choice Vouchers that were Project-Based During the Fiscal Year			
Property Name	Anticipated Number of New Vouchers to be Project-Based *	Actual Number of New Vouchers that were Project-Based	Description of Project
Eastview Terrace	53	0	RAD conversion of 53 LIPI units in a prior mixed-finance deal
122 Wilmot Road	34	0	RAD conversion of 34 LIPI units in a prior mixed-finance deal
Ribicoff Cottages 9%	26	44	RAD development

Anticipated Total Number of New Vouchers to be Project-Based *	Actual Total Number of New Vouchers that were Project-Based	Anticipated Total Number of Project-Based Vouchers Committed at the End of the Fiscal Year *	Anticipated Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year *
113	44	630	630
		Actual Total Number of Project-Based Vouchers Committed at the End of the Fiscal Year	Actual Total Number of Project-Based Vouchers Leased Up or Issued to a Potential Tenant at the End of the Fiscal Year
		517	473

* From the Plan

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

17 units at Val Macri came online fy 2015

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

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

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

General Description of Actual Capital Fund Expenditures During the Plan Year

During fiscal year 2015, Elm City Communities (ECC) made significant strides in its ongoing effort to reduce vacancies and improve occupancy Agency wide. ECC continued to supplement its own staffing efforts with abatement and renovation contractors to bring vacant units back on line and expended over \$1,000,000 in CFP funds and \$73,000 in MTW funds. In fiscal year 2015, ECC continued kitchen, bathroom and interior upgrades in units and building upgrades at the McQueeney development and expended approximately \$37,000 in CFP funds and \$357,000 in MTW funds. Contract work will continue into fiscal year 2016. Using CFP funds, ECC completed a front sidewalk improvement project with tree and bench replacement at McQueeney and expended the final \$36,312 during fiscal year 2015. Also using CFP, ECC expended funds on the following activities: HVAC riser upgrades at C.B. Motley--\$170,000; Farnam lead paint abatement--\$99,500; completion of Crawford Manor elevator upgrade--\$442,601; Agency wide physical needs assessments--\$243,100; implementation of Agency wide work order software--\$28,480; architectural/engineering and environmental consulting services--approximately \$450,000; CFFP bond debt payment--\$1,332,088 RHF funds.

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

Housing Program *

Total Units

Overview of the Program

N/A

0

Overview of the program

Total Other Housing Owned and/or
Managed

0

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

If Other, please describe:

Description of "other" Housing Program

II.5.Report.Leasing

B. MTW Report: Leasing Information

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

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

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

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

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

N/A

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

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

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

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

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

Fiscal Year:	2011	2012	2013	2014	2015	2016	2017	2018
Total Number of Local, Non-Traditional MTW Households Assisted	0	0	0	0	0	X	X	X
Number of Local, Non-Traditional MTW Households with Incomes Below 50% of Area Median Income	0	0	0	0	0	X	X	X
Percentage of Local, Non-Traditional MTW Households with Incomes Below 50% of Area Median Income	0	0	0	0	0	X	X	X

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

Baseline for the Mix of Family Sizes Served

Family Size:	Occupied Number of Public Housing units by Household Size when PHA Entered MTW	Utilized Number of Section 8 Vouchers by Household Size when PHA Entered MTW	Non-MTW Adjustments to the Distribution of Household Sizes *	Baseline Number of Household Sizes to be Maintained	Baseline Percentages of Family Sizes to be Maintained
1 Person	852	693	0	1545	32.01%
2 Person	435	726	0	1161	24.05%
3 Person	327	637	0	964	19.97%
4 Person	180	445	0	625	12.95%
5 Person	89	204	0	293	6.07%
6+ Person	87	152	0	239	4.95%
Totals	1970	2857	0	4827	100.00%

Explanation for Baseline Adjustments to the Distribution of Household Sizes Utilized

No baseline adjustments

Mix of Family Sizes Served

	1 Person	2 Person	3 Person	4 Person	5 Person	6+ Person	Totals
Baseline Percentages of Household Sizes to be Maintained **	32%	24%	20%	13%	6%	5%	100%
Number of Households Served by Family Size this Fiscal Year ***	2186	1292	1033	609	292	179	5591
Percentages of Households Served by Household Size this Fiscal Year ****	39%	23%	18%	11%	5%	3%	100%
Percentage Change	7%	-1%	-2%	-2%	-1%	-2%	0

Justification and Explanation for Family Size Variations of Over 5% from the Baseline Percentages

1 Person households have increased due to lease up activities in elderly/disabled and elderly bldgs.

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

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

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

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

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

Housing Program

LIPH

Description of Leasing Issues and Solutions

We are not re-occupying units at Farnam (CT004000014) as units are vacated in prep for redevelopment. These vacant units currently count toward our vacancy rate until removed from inventory.

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

Activity Name/#	Number of Households Transitioned *	Agency Definition of Self Sufficiency
CARES	2	Number of households who receive zero subsidy at the end of year six
Prison Community Reentry	0	Live independently and be lease compliant
Resident Services for Elderly/Disabled	2	Graduation from the program
Households Duplicated Across Activities/Definitions	0	* The number provided here should match the outcome reported where metric SS #8 is used.
ANNUAL TOTAL NUMBER OF HOUSEHOLDS TRANSITIONED TO SELF SUFFICIENCY	4	

II.6.Report.Leasing

C. MTW Report: Wait List Information

Wait List Information at Fiscal Year End

Housing Program(s) *	Wait List Type **	Number of Households on Wait List	Wait List Open, Partially Open or Closed ***	Was the Wait List Opened During the Fiscal Year
Federal MTW Public Housing Units	Site Based	7355	Partially Open	Yes
MTW Vouchers	Tenant Based Vouchers	2078	Closed	Yes

More can be added if needed.

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

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

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

Waitlist for the Elderly/Disabled & Families that qualify for a 4 or 5 bdrm unit are currently open. All other waitlists are closed.

MTW Vouchers Waitlist for income bands (1 members \$29,000 - \$44,750, 2 members \$33,150 - \$51,150, 3 members \$37,300 - \$57,550, 4 members \$41,400 - \$63,900, 5 members \$44,750 - \$69,050, 6 members \$48,050 - \$74,150, 7 members \$51,350 - \$79,250, 8 members \$54,650 - \$84,350), vouchers sizes 1-4 opened in January to February 2015

If Local, Non-Traditional Program, please describe:

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

If Other Wait List Type, please describe:

Name and Description of "other" wait list type

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

Narrative of Changes

	Approved Capital Fund Expenditures	Actual Capital Fund Expenditures	CFP	MTW
Description	During FY 2015	During FY 2015	TOTAL	TOTAL
Agency wide UFAS Compliance	\$100,000.00	\$0.00	\$0.00	\$0.00
Agency wide Vacancy Reduction	\$350,000.00	\$971,535.48	\$971,535.48	\$0.00
Waverly Townhouses Roofs & Siding	\$50,000.00	\$0.00	\$0.00	\$0.00
Waverly Townhouses Interiors (including floors)	\$250,000.00	\$0.00	\$0.00	\$0.00
McQueeney Kitchens, Baths, Interiors; Bldg Interior	\$750,000.00	\$393,834.54	\$36,713.00	\$357,121.54
Crawford RAD A&E	\$250,000.00	\$0.00	\$0.00	\$0.00
Essex RAD A&E	\$25,000.00	\$0.00	\$0.00	\$0.00
AMP Environmental Remediation	\$100,000.00	\$107,090.45	\$33,858.31	\$73,232.14
LEAP Roof Replacement	\$275,600.00	\$0.00	\$0.00	\$0.00
Motley Riser Upgrade Phase 2	\$50,000.00	\$169,963.80	\$169,963.80	\$0.00
McConaughy Sewer A&E	\$200,000.00	\$0.00	\$0.00	\$0.00
McConaughy Interiors	\$500,000.00	\$0.00	\$0.00	\$0.00
Scattered Sites Multi-Units Capital Repairs	\$500,000.00	\$0.00	\$0.00	\$0.00
Fairmont Elevators	\$350,000.00	\$0.00	\$0.00	\$0.00
IQC A/E	\$250,000.00	\$217,331.00	\$217,331.00	\$0.00
IQC Environmental	\$150,000.00	\$232,340.35	\$232,340.35	\$0.00
IQC Energy Performance Contract	\$5,278,227.00	\$0.00	\$0.00	\$0.00
Brookside Phase 1 Bond Debt	\$1,332,087.50	\$1,332,087.50	\$1,332,087.50	\$0.00
Carryover from Prior Years:				
GPNA/RAD PNA	\$0.00	\$243,100.00	\$243,100.00	\$0.00
McQueeney Sidewalks-Site Improvements	\$0.00	\$36,312.00	\$36,312.00	\$0.00
Ruoppolo Balcony Terrace Wall Repairs (Façade)	\$0.00	\$48,083.00	\$48,083.00	\$0.00
Farnam Lead Paint Abatement	\$0.00	\$99,500.00	\$99,500.00	\$0.00
Crawford Elevator Upgrade	\$0.00	\$442,600.59	\$442,600.59	\$0.00
Work Order Hand Held Software	\$0.00	\$28,480.00	\$28,480.00	\$0.00
Total	\$10,760,914.50	\$4,322,258.71	\$3,891,905.03	\$430,353.68

Who we serve

HANH serves 5,591 families through its low income public housing and housing choice voucher programs. The vast majority of these families fall in the Extremely Low Income category with 83% of LIPH and 76% of HCV families in this income category. 32% percent of LIPH families and 34% of HCV families earn wages. Less than 5% of all families report no income. 86% of households in LIPH range from 1 person to 3 person families and 77% of households in HCV range from 1 person to 3 person families. The following table summarizes the population demographics.

HANH Population Demographics					
	LIPH	Percentage	HCV	Percentage	Total
Total households	2,181	39%	3,410	61%	5,591
Total individuals	4,421	34%	8,502	66%	12,923
Average income	\$13,207.00		\$15,898		
Average TTP	\$302.00		\$365		
No income	72	3%	166	5%	
Extremely low income	1805	83%	2,534	74%	
Very low income	260	12%	610	18%	
Low income	50	2%	215	6%	
Above low income	66	3%	51	1%	
Households with wages	697	32%	1316	39%	
Households with public assistance	690	32%	310	9%	
Households with social security	1227	56%	1,435	42%	
Households with other non-wages	437	20%	357	10%	
Minority households	1,494	69%	1983	57%	
Non-minority	687	31%	1,427	42%	
Elderly families	608	28%	709	21%	
Disabled families	1,111	51%	1288	38%	
1 member	1,063	49%	1,123	33%	
2 members	498	23%	794	23%	
3 members	320	15%	713	20%	
4 members	173	8%	436	13%	
5 members	75	4%	217	6%	
6 members	37	2%	91	3%	
7 members	10	.0045%	23	.006%	
8+ members	5	.0022%	13	0.003%	

Low Income Public Housing

HANH completed FY2015 with a MTW public housing stock of 2,373. This reflects a reduction of 603 units since the beginning of HANH/ELM CITY COMMUNITIES'S MTW status, when HANH/ELM CITY COMMUNITIES'S housing stock included 2,965 total units. However, as indicated in HANH's Population Demographics chart, HANH/ELM CITY COMMUNITIES serves more eligible families through its LIPH and HCV programs, and additionally has added affordable units through its mixed income developments. The ACC units under Mixed Finance Projects are included as part of the agency's MTW Program. The following table provides actual number of units served at the end of FY2015.

Actual Number of Households Served at the end of the Fiscal Year				
Development Name	Units beginning FY2015	Actual Units Added	Actual Units Removed	Units ending FY2015
Fairmont Heights	95			95
McConaughy Terrace	197			197
Katherine Harvey	16			16
Newhall Gardens	26			26
Prescott Bush	56			56
CB Motley	45			45
McQueeney Towers	145			145
Winslow Celentano	63			63
RT Wolfe	89			89
Ruoppolo Manor	102			102
Waverly Townhouses	49			49
Valley Townhouses	39			39
Crawford Manor	105			105
Essex Townhouses	33			33
Quinnipiac Terrace I	58			58
Quinnipiac Terrace 2	56			56
Quinnipiac Terrace 3	17			17
Scattered Site - Multi Family	114			115
Scattered Site - West	23			23
Scattered Site - East	52			52
Monterey 1	42			42
Monterey 2	7			7
Monterey 3	45			45
Monterey 4	42			42
Monterey 5	17			17
Monterey Phase 2R	28			28
New Rowe	46			46
Brookside Phase 1	50			50
Brookside Phase II	50			50
Edith Johnson Towers	95			95
William Griffin	4			4
Rockview Phase 1 Rental	30			30
ValMacri	0	17		17

Eastview Terrace	53			53
Wilmot	34			34
Farnam Courts	239			239
Westville	148			148
Total	2310	17	0	2327

Offline	Units beginning FY2015	Actual Units Added	Actual Units Removed	Units ending FY2015
Police Officer	11			11
Self Sufficiency	5			5
Resident Services Activities	14			14
Administrative Uses	5			5
Teacher in Residence	0	0	0	0
Total	35	0	0	35
Occupancy + Offline Units Total	2345	17		2362

*Data pulled via Elite on 12/3/2015

Housing Choice Voucher Program

HANH/ELM CITY COMMUNITIES has budget authority for 4,388 Housing Choice Vouchers. HANH/ELM CITY COMMUNITIES has leased 3,402 Housing Choice Vouchers. HANH/ELM CITY COMMUNITIES also administers 80 Single Room Occupancy (SRO) vouchers and 85 Veterans Administration Supportive Housing (VASH) vouchers for a total utilization of 3,567 vouchers.

Actual Numbers of Vouchers at the End of the Fiscal Year

Project Based Vouchers						
Housing Program & Type Housing Choice Voucher	Description	Beginning of FY2015	Units Removed During FY2015	Units Added During FY2015	Total FY2015	Actual Units Occupied FY2015
PBV Fellowship I	100% Supportive Housing	18	0	0	18	14
PBV Fellowship II	100% Supportive Housing	5	0	0	5	5
PBV Also Cornerstone(Continuum of Care)	100% Supportive Housing	4	0	0	4	3
PBV Norton Court(Continuum of Care)	100% Supportive Housing	12	0	0	12	12
PBV Quinniac Terrace I	81 units 28% of units PBV	23	0	0	23	20
PBV Quinniac Terrace II	79 units 29% of units PBV	23	0	0	23	23
PBV Quinniac Terrace III	33 units 48% of units PBV	16	0	0	16	15
Park Ridge	100% Elderly/Disabled	60	0	0	60	58
Eastview Terrace	102 units 48% units PBV	49	0	0	102	48
West Village	52 Howe St- single Room Occupancy Units	15	0	0	15	14
Casa Otonal	12 PBV units for families	12	0	0	12	12
CUHO Existing	Scattered site PBV units for families	24	0	0	24	18
Frank Nasti Existing	Scattered site PBV units for families	11	0	0	11	11
Shartenberg (360 State St)	20 PBV units	20	0	0	20	15
CUHO New Construction	Affordable 8 unit rental housing development- Families	8	0	0	8	0
Brookside Phase I	101 affordable rental mixed; 50% units are PBV	50	0	0	50	49
Brookside Phase II	101 affordable rental mixed; 50% units are PBV	51	0	0	51	47
New Rowe Building	104 affordable mixed use, mixed finance development; 31% units are PBV	32	0	0	32	28
Mutual Housing Association New Construction	8 rehabilitation; 12 new construction affordable housing for families; 45.5% units are PBV	20	0	0	20	20

Project Based Vouchers						
Housing Program & Type Housing Choice Voucher	Description	Beginning of FY2015	Units Removed During FY2015	Units Added During FY2015	Total FY2015	Actual Units Occupied FY2015
122 Wilmot Road	13 PBV for affordable housing for elderly in 1 and 2 bedroom accessible units; 28% units are PBV	13	0	0	13	13
Cedar Hill	Supportive housing for formerly homeless individuals	4	0	0	4	2
Route 34 Development	Affordable housing for families in 1 to 3 bedroom units in downtown New Haven; locations proximate to amenities, public transportation and in non impacted neighborhoods	0	0	0	0	0
RAD PBV Vouchers	1330 PBV for RAD Portfolio Award - Ribicoff Cottages and Extension 100 - Farnam Courts 235 - Eastview Terrace 53 - Wilmot Crossing 34 - Essex Townhouses 34 - Crawford Manor 109 - Westville Manor 142 - McConaughy Terrace 198 - McQueeney Towers 146 - Fairmont Heights 98 - Matthew Ruoppolo 116 - Winslow Celentano 65	0	0	106	106	0
Supportive housing/Homelessness prevention	Up to 10 PBVs (or TBVs) for supportive housing for formerly homeless individuals and families	10	0	20	30	10
Rockview Phase I rental	77 units for affordable housing; 61% of units are PBV	47	0	0	47	43
PBV Subtotal		527	0	126	706	470

Tenant Based Vouchers						
Housing Program & Type Housing Choice Voucher	Description	Beginning of FY2015	Units Removed During FY2015	Units Added During FY2015	Total FY2015	Actual Units Occupied FY2015
Tenant Based Vouchers		2938	0	100	3038	3001

Tenant Based Vouchers						
Housing Program & Type Housing Choice Voucher	Description	Beginning of FY2015	Units Removed During FY2015	Units Added During FY2015	Total FY2015	Actual Units Occupied FY2015
DMHAS Supportive Housing First	10 vouchers for supportive housing for formerly homeless frequent users of behavioral health and corrections services	10	0	0	10	10
DMHAS Mental Health Transformation Grant FUSE	10 supportive housing vouchers for formerly homeless	10	0	0	10	8
Family Options-Homeless	15 supportive housing vouchers for homeless families	15	0	0	15	13
William T. Rowe relocation vouchers	Replacement Housing Vouchers	9	0	0	9	0
Family Unification Vouchers	12 vouchers for supportive housing for families involved with child protection agency	12	0	8	20	11
Permanent Enrichment	Description	10	0	0	10	3
Foreclosure protection and/or supportive housing for homeless	Vouchers for families at risk for homelessness	35	0	15	50	34
Brookside Homeownership Phase I	10 new homeownership vouchers	0	0	0	0	0
Project Longevity	Vouchers for City initiative targeting homeless former offenders	20	0	0	20	16
TBV Subtotal		3059	0	123	3182	3096

MTW Housing Choice Voucher						
MTW Housing Choice Voucher		3059	0	123	3182	3096
MTW Voucher Subtotal PBV + TBV		3586	0	249	3888	

Tenant Based Vouchers						
Housing Program & Type Housing Choice Voucher	Description	Beginning of FY2015	Units Removed During FY2015	Units Added During FY2015	Total FY2015	Actual Units Occupied FY2015

Non MTW Vouchers						
VASH vouchers	Supportive housing for homeless veterans	85	0	0	85	81
Single Room Occupancy	Vouchers for formerly homeless in SRO	80	0	0	80	69
Non MTW Voucher Subtotal		165	0	0	165	153

Housing Choice Voucher Total		3,751	0	302	4053	3,567
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Section III: Proposed MTW Activities

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

DRAFT

Section IV: Approved MTW Activities

A. IMPLEMENTED ACTIVITIES

Increase Housing Choice

Initiative 1.2 – Local Total Development Cost (TDC) Limits

1. Plan Year First Approved and Implemented

Approved in FY2008 and implemented in FY2009.

2. Description and Impact Analysis

a. Description of Activity

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

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

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

HANH prepared a TDC and HCC schedule, which reflects construction, and development costs in New Haven. HANH first submitted its revised Alternate TDC and HCC schedule as part of the Appendix to the MTW Fiscal Year 2009 Report. On July 2, 2010, HANH received HUD approval for its Alternate TDCs and HCC limits. During FY 2015, HANH continued to use the approved 2009 TDC and HCC limits while utilizing them for the Ribicoff, Farnam, and Fair Haven Redevelopments. Pursuant to approval of the TDC and HCC, the Authority will update its formula for TDC and HCC in its MTW plan.

- **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) Impact Analysis

HUD-Required Metrics

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

Housing Choice

HC #2: Units of Housing Preserved

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 (frozen 2001 base)	2,529	2,447 (2014) 2,613 (2013)	No

Cost Effectiveness

CE #4: MTW Leverage Ratios

Unit of Measurement	Baseline*	Benchmark	Outcome	Benchmark Achieved?
Brookside I	1.7	2.0	2.3	Yes
Brookside II	1.7	2.0	7.5	Yes
Rockview I	1.7	2.0	4.6	Yes
122 Wilmot Road	1.7	2.0	3.2	Yes
Brookside Homeownership	1.7	2.0	1.6	No
Ribicoff I	1.7	2.0	6.1	Yes
Ribicoff II	1.7	2.0	1.2	No
Quinnipiac Terrace I	1.7	2.0	5.5	Yes
Quinnipiac Terrace II	1.7	2.0	8.6	Yes
Quinnipiac Terrace III	1.7	2.0	4.2	Yes
Eastview I	1.7	2.0	0.6	No
Rowe	1.7	2.0	4.5	Yes

*Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace II

Internal Metrics

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

Internal Metrics - Redevelopment				
Internal Metric #1: Increase in Agency Revenue				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Increase in Agency Revenue - Rowe redevelopment fees	0	Zero	\$893,374	Yes
Increase in Agency Revenue - Brookside Phase 1 redevelopment fees	0	Zero	\$1,081,094	Yes
Increase in Agency Revenue - Brookside Phase 2 redevelopment fees	0	Zero	\$725,704	Yes
Increase in Agency Revenue - Rockview Phase I redevelopment fees	0	Zero	\$744,389	Yes
Increase in Agency Revenue - 122 Wilmot Road redevelopment fees	0	Zero	HANH will collect \$ 1,419,767.	Yes
CE #5 assumptions: HANH has created a new stream of revenues from redevelopment activities. The redevelopment fees are paid by investors and compensates HANH for administrative costs.				
Internal Metric #2: REAC Scores				
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	Quinniplac Terrace, 89 (2012) 98 (2013) Eastview Terrace, 95 (2012). McConaughy Terrace 70 (2009) 58 (2010) 78 (2011) 82 (2012). McQueeney 54 (2009) 85 (2010) 59 (2011) 64 (2012). Rbicoff Cottages -EXT 91 (2009) 68 (2010) 82 (2011) 82 (2012). Robert Wolfe 51 (2009) 80 (2010) 49 (2011) 82 (2012). Ruoppolo/Fairmont 56 (2009) 61 (2010) 65 (2011) 79 (2012) 86 (2013). Westville Manor 90 (2009) 35 (2010) 51 (2011) 47 (2012). Winslow Celentano 53 (2009) 72 (2010) 74 (2011) 71 (2012) 84 (2013) Crawford 88 (2013).	Yes

Internal Metric #3: Average work order				
Work orders per property	TBD	Brookside Phase I: 1,000 (10 work/yr) Brookside Phase II: 1,000 QT1 : 560 QT2 : 580 QT3 : 170 Eastview 1020	Brookside Phase I and Brookside Phase II: 1,31 (FY 203) 1,562 includes Rockview (FY 2014) QT total: 1,351 (FY 2014) QT1 : 104 (FY 2013) QT2 : 273 (FY 2013) QT3 : 289 (FY 2013) Eastview : 284 (FY 2014) Eastview : 287 (FY 2013)	Yes
Internal Metric #4: TDC				
Average (Actual TDC - TDC at HUD's limits)/number of units	0	This metric cannot be narrowly defined into a single figure. However, if HANH does not exceed HUD's approved alternative TDC limit, then HANH would have achieved its benchmark	Brookside I, 50 units \$107,700 per unit Quinnipiac, 17 units \$71,800 per unit Rowe, 78 units, \$16,700 per unit	Yes, Benchmark Achieved in all redeveloped properties listed in this report
Internal Metric #5: HCC				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average (Actual HCC -HCC at HUD's limits)/number of units	0	This metric cannot be narrowly defined into a single figure. However, if HANH does not exceed HUD's approved alternative HCC limit, then HANH would have achieved its benchmark.	Brookside I, 50 units \$132,000 per unit Quinnipiac, 17 units \$66,000 per unit Rowe, 78 units, \$33,787 per unit Brookside 2, 50 units \$27,900 per unit	Yes, Benchmark Achieved in all redeveloped properties listed in this report.
Internal Metric #6: Utility expenses per unit				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Reduction of utility expenses per unit, pre and post redevelopment - Electric	Valley Waverly \$10,800 per units in 2012.	5% reduction. Electric utility expenses would reach approximately \$10,300 per unit.	Eastview Terrace \$9,863 per units Quinnipiac Terrace \$5,685 per unit in Fiscal Year 2012	Yes
Assumption: HANH calculated the savings by comparing utility cost at Eastview Terrace, and Quinnipiac Terrace after redevelopment was completed against Valley Waverly, which is not a redeveloped building. HANH has requested fiscal year 2014 data from the public utility to update this metric.				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Reduction of utility expenses per unit, pre and post redevelopment - gas	Valley Waverly \$730 per units in 2012.	5% reduction. Gas utility expenses would reach approximately \$790 per unit.	Eastview Terrace \$333 per units Quinnipiac Terrace \$415 in Fiscal Year 2012	Yes
Assumption: HANH calculated the savings by comparing utility cost at Eastview Terrace, and Quinnipiac Terrace after redevelopment was completed against Valley Waverly, which is not a redeveloped building. HANH has requested fiscal year 2014 data from the public utility to update this metric.				
Internal Metric #7: Crime rate				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in 2005: 47.	10% reduction in number of major crimes.	Quinnipiac major crimes (FY 2014): 4 Quinnipiac major crimes in 2012: 3 West Rock (122 Wilmot, Brookside I and II) major crimes (FY 2014): 7 West Rock (122 Wilmot, Brookside I and II) major crimes in 2012: 25	Yes
Internal Metric #8: Occupancy				
Occupancy	Brookside Phase I: 85% (2001) Brookside Phase II: 0 Quinnipiac I: 83% (2001) Quinnipiac II: 0 Quinnipiac III: 0 Rowe: 76% (2008)	95%	Brookside Phase I: 100% (FY 2013), 97% (FY 2014) Brookside Phase II: 100% (FY 2013), 98% (FY 2014) Quinnipiac I: 96% (FY 2013) Quinnipiac II: 97% (FY 2013) Quinnipiac III: 97 (FY 2013) Quinnipiac total: 98.5 % (FY 2014) Rowe: 99% (FY 2013), 100% (FY 2014)	Yes

3. Challenges

No challenges regarding this initiative.

4. Tracking Revisions

No tracking revisions made on this initiative.

5. Changes in Data Collection Methodology

No changes in data collection methodology.

DRAFT

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

1. Plan Year First Approved and Implemented

Approved in FY2012 and implemented in FY2013.

2. Description and Impact Analysis

a. Description of Activity

To be eligible to receive assistance under the Project Based Voucher Programs, a family must meet the following income limits under Section 8(o) (4) of the Housing Act of 1937: (A) Be a very low-income family; (B) Be a family previously assisted under this title; (C) Be a low-income family that meets eligibility criteria specified by the public housing agency; (D) a family that qualifies to receive a voucher in connection with a homeownership program approved under title IV of the Cranston-Gonzalez National Affordable Housing Act; or (E) Be a family that qualifies to receive a voucher under section 223 or 226 of the Low-Income Housing Preservation and Resident Homeownership Act of 1990.

In order to promote housing choice, which includes developing communities that provides housing that serves a wide range of incomes and to reduce the cost of the program, the Authority will use the flexibility granted to it under Attachment C, Section C(3)(a) of the MTW Agreement to establish eligibility criteria under its Administrative Plan to require that no less than 40 percent of the project based vouchers awarded in any year to be awarded to families with incomes at or below 30 percent of the area median income, adjusted for family size. HANH will award up to 15 percent of the PBV's allocated to for any mixed finance project to families with incomes between 50 and 80 percent of Area Median Income. 45 percent of PBV may be allocated to families with income between 50 and 80 percent AMI for Brookside Phase 2 Rental mixed finance development.

During FY2015, HANH continues utilizing this income limit structure, which is summarized below:

- No less than 40 percent of the project based vouchers awarded in any year to be awarded to families with incomes at or below 30 percent of the area median income, adjusted for family size.
- HANH will award up to 15 percent of the PBV's allocated to for any mixed finance project to families with incomes between 50 and 80 percent of Area Median Income for Brookside Phase 1 Rental.
- 45 percent of PBV may be allocated to families with income between 50 and 80 percent AMI for Brookside Phase 2 Rental mixed finance development.
- **Rationale:** Increasing the cap from for mixed finance projects helps to increase the supply of affordable housing in areas that promote de-concentration of poverty, provide housing in areas that are accessible to employment, schools, shopping and transportation, and help promote investments in areas that where other significant investments are being made.
- **Expected impact:** Increase housing choices and quality of life of residents. Increase number of affordable units developed by increasing the amount of private debt a project can afford to pay.

b) Impact Analysis

HUD-Required Metrics

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

Housing Choice				
HC #2: Units of Housing Preserved				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 (frozen 2001 base)	2,529	2,447 (2014) 2,613 (2013)	No

Cost Effectiveness

CE#4: MTW Leverage Ratios

Unit of Measurement	Baseline*	Benchmark	Outcome	Benchmark Achieved?
Brookside	1.7	2.0	2.3	Yes
Brookside	1.7	2.0	7.5	Yes
Rockview	1.7	2.0	4.6	Yes
122 Wilmot Road	1.7	2.0	3.2	Yes
Brookside Homeownership	1.7	2.0	1.6	No
Ribicoff	1.7	2.0	6.1	Yes
Ribicoff	1.7	2.0	1.2	No
Quinnipiac Terrace	1.7	2.0	5.5	Yes
Quinnipiac Terrace	1.7	2.0	8.6	Yes
Quinnipiac Terrace	1.7	2.0	4.2	Yes
Eastview	1.7	2.0	0.6	No
Rowe	1.7	2.0	4.5	Yes

*Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace

Internal Metrics

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

Internal Metrics - Redevelopment

Internal Metric #2: REAC Scores

REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	<p>Quinnipiac Terrace, 89 (2012) 98 (2013) Eastview Terrace, 95 (2012). McConaughy Terrace 70 (2009) 58 (2010) 78 (2011) 82 (2012). McQueeney 54 (2009) 85 (2010) 59 (2011) 64 (2012). Rbicoff Cottages -EXT 91 (2009) 68 (2010) 82 (2011) 82 (2012). Robert Wolfe 51 (2009) 80 (2010) 49 (2011) 82 (2012). Ruoppolo/Fairmont 56 (2009) 61 (2010) 65 (2011) 79 (2012) 86 (2013). Westville Manor 90 (2009) 35 (2010) 51 (2011) 47 (2012). Winslow Celentano 53 (2009) 72 (2010) 74 (2011) 71 (2012) 84 (2013) Crawford 88 (2013).</p>	Yes
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Internal Metric #7: Crime rate

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in 2005: 47.	10% reduction in number of major crimes.	<p>Quinnipiac major crimes (FY 2014): 4 Quinnipiac major crimes in 2012: 3 West Rock (122 Wilmot, Brookside I and II) major crimes (FY 2014): 7 West Rock (122 Wilmot, Brookside I and II) major crimes in 2012: 25</p>	Yes

Internal Metric #9: Income eligibility

Number of households at below 30% Area Median Income (AMI)	Not applicable	No less than 40 percent of the project based vouchers awarded in any year to be awarded to families with incomes at or below 30 percent of the area median income, adjusted for family size	<p>66% of families in Brookside Phase 1 have incomes below 30% AMI (in FY2014) 48% of families in Brookside Phase 2 have incomes below 30% AMI(in FY2014) 49% of families in Brookside Phase 1 have incomes below 25% AMI (in FY2013) 50% of families in Brookside Phase 2 have incomes below 25% AMI(in FY2013)</p>	Yes
Number of households between 50% AMI and 80% Area Median Income (AMI)	Not applicable	<p>15 percent of the PBV may be allocated to families with incomes between 50 and 80 percent of AMI for Brookside Phase 1 Rental. 45 percent of PBV may be allocated to families with incomes between 50 and 80 percent AMI for Brookside Phase 2 Rental</p>	<p>6% of families in Brookside Phase 1 have incomes above 50% AMI (in FY2014) 24% of families in Brookside Phase 2 have incomes above 50% AMI (in FY2014) 1% of families in Brookside Phase 1 have incomes above 50% AMI (in FY2013) 21% of families in Brookside Phase 2 have incomes between 50% and 80% AMI (in FY2013)</p>	Yes

3. Challenges

No challenges regarding this initiative.

4. Tracking Revisions

No tracking revisions made on this initiative.

5. Changes in Data Collection Methodology

No changes in data collection methodology.

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

1. Plan Year First Approved and Implemented

Approved in FY2009 and implemented in FY2010.

2. Description and Impact Analysis

a) Description of Activity

New Haven, like many municipalities faced an increasing crisis related to mortgage foreclosures. As an effort to protect vulnerable residents, HANH established a preference for eligible HCV participants and applicants, up to 50 tenant-based and/or project based vouchers annually, to prevent homelessness among this population.

This program includes 25 TBV and 25 PBV but the combined total will not exceed 50 Vouchers may be awarded to families whose housing is threatened because the property they are leasing goes into foreclosure and new owners who are purchasing a property in foreclosure. PBVs would be awarded through a competitive process in partnership with the City of New Haven's Neighborhood Stabilization Program that targets foreclosed properties. TBVs would be awarded by granting a preference on the HCV waitlist similar to families who are displaced due to governmental action. Tenants apply via the waitlist. Owners apply through the PBV RFP process. The program is not designed for the landlord who is in foreclosure.

Note: Demand for the PBVs was not sufficient and therefore vouchers were reallocated to areas of greater demand.

10 of the 25 PBVs were reallocated for tenant based supportive housing and 7 were leased up; In FY 15, 15 PBVs were reallocated to TBV Foreclosures.

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

b) Impact Analysis

HUD-Required Metrics

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

Housing Choice				
HC#4: Displacement Prevention				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households at or below 80%AMI that would need to move due to foreclosure	0 households (2009)	50 tenant-based vouchers available for foreclosure protection	2015: 35 leased 2014: 26 leased 2013: 24 leased 2012: 24 leased 2011: 25 leased 2010: 25 leased	No. Currently leasing 15 vouchers below benchmark

Internal Metrics

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

3. Challenges

No challenges regarding this initiative.

4. Tracking Revisions

No tracking revisions made on this initiative.

5. Changes in Data Collection Methodology

No changes in data collection methodology.

DRAFT

Initiative 1.6 – Deconcentration of Poverty (Promote Expanded Housing Opportunities for HCV Program)

1. Plan Year First Approved and Implemented

Approved in FY2008 and implemented in FY2009.

2. Description and Impact Analysis

a. Description of Activity

Under HANH's MTW Agreement with HUD, HANH is authorized to develop its own Leased Housing Program through exceptions to the standard HCV program, for the purposes of creating a successful program with stable landlords, high-quality properties, and mixed-income neighborhoods. This includes reasonable policies for setting rents and subsidy levels for tenant-based assistance.

During FY2008, HANH began to implement MTW Rent Standards that allow HANH to approve exception rents in the following cases: Wheelchair accessible units; Large bedroom-size units, (4 bedrooms or larger); Expanded housing opportunities in neighborhoods with low concentrations of poverty; Housing opportunities in new development projects that include significant public investment to promote revitalization of neighborhoods; and Mixed-income housing opportunities that promote expanded housing opportunities and deconcentration of poverty.

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

- **Rationale:** HANH's ability to approve exception rents has the impact of expanding housing choice for low income families that otherwise have difficulty accessing housing under the HCV program.
- **Expected impact:** By allowing exception rents, families can locate and move into homes with 4 and 5 bedrooms, accessible features and in non-impacted areas that they would not have been able to lease within the 110% Voucher Payment Standard. Approval of exception rents slightly increases the annual expenditures under the HCV program.

b) Impact Analysis

HUD-Required Metrics

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

Housing Choice

HC #5: Increase in Resident Mobility				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Annual number of incremental households leased-up in low poverty areas* as a result of the activity	0 (2008)	10	- 2015: 14 - 2014: 11 - 2013: 10 - 2012: 7 - 2011: 7 - 2010: 13	Yes. Benchmark achieved in 2015
Annual number of incremental households with exception rents approved due to <u>bedroom size issue</u> as a result of the activity	0 (2008)	n/a	- 2015: 2 - 2014: 0 - 2013: 0 - 2012: 0 - 2011: 1 - 2010: 7 - 2009: 1	There is no benchmark for this activity
Annual number of incremental households with exception rents approved due to an <u>accessibility issue</u> as a result of the activity	0 (2008)	10	- 2015: 0 - 2014: 0 - 2013: 0 - 2012: 0 - 2011: 0 - 2010: 1 - 2009: 2	There is no benchmark for this activity

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

Internal Metrics

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

3. Challenges

No challenges regarding this initiative.

4. Tracking Revisions

No tracking revisions made on this initiative.

5. Changes in Data Collection Methodology

No changes in data collection methodology.

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

1. Plan Year First Approved and Implemented

Approved in FY2010 and implemented in FY2011.

2. Description and Impact Analysis

a) Description of Activity

Under HANH's MTW Agreement with HUD, HANH is authorized to develop its own Leased Housing Program through exceptions to the standard HCV program, for the purposes of creating a successful program with stable landlords, high-quality properties, and mixed-income neighborhoods. HANH has entered into memoranda of understanding with organizations that provide housing for homeless with supportive services.

In FY2011, HANH reallocated 10 of the existing 25 project based vouchers set aside for Foreclosure Protection to a Tenant Based Program for Supportive Housing for Homeless. Preference in the tenant selection process will be given to persons and families that are homeless or are at risk of becoming homeless.

In FY2015, HANH increased the number of vouchers set-aside for this program to 110, broken down as follows (by administering nonprofit or HANH program):

- 24 (New Reach)- preventing homelessness for families
 - 15 (CCA)- preventing homelessness for families
 - 3 (COC)- ending chronic homelessness
 - 3 (Rapid Results)- ending chronic homelessness
 - 10 (Department of Mental Health & Addiction Services (DMHAS) Housing First Program)- supportive housing
 - 10 (DMHAS FUSE Program)- supportive housing
 - 10 (Permanent Enrichment Program)- supportive housing
 - 15 (Family Options)- supportive housing
 - 20 (Reunification)- preventing homelessness for families involved with child protection agency
-
- **Rationale:** Expand housing and services to one of most fragile populations served by HANH.
 - **Expected impact:** Increased self-sufficiency.

b) Impact Analysis

HUD-Required Metrics

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

Self Sufficiency

SS #1: Increase in Household Income

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average total household income for households affected by this policy in dollars	\$12,643 (2013)	Steady increase in average household income	- 2015: \$10,145 - 2014: \$12,599	No. Decrease in average household income in 2015

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

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Percentage of homeless households enrolled in program receiving supportive services	0 (2010)	100% receiving supportive services	- 2015: 14 - 2014: 7 - 2013: 5 - 2012: 10 - 2011: 7	Yes. All enrolled homeless families receiving supportive services since 2011

Housing Choice

HC #1: Additional Units of Housing Made Available

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Additional permanent housing made available to homeless families	0 (2010)	10	- 2015: 14 - 2014: 7 - 2013: 5 - 2012: 10 - 2011: 7	No. Effort being made to lease-up all designated vouchers (37 vouchers were utilized in 2015 out of 90 designated). Benchmark will be reevaluated in 2016

Internal Metrics

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

3. Challenges

No challenges regarding this initiative.

4. Tracking Revisions

No tracking revisions made on this initiative.

5. Changes in Data Collection Methodology

No changes in data collection methodology.

Initiative 1.8 – Farnam Courts Transformation Plan

1. Plan Year First Approved and Implemented

Approved in FY2011 and implemented in FY2012.

2. Description and Impact Analysis

a) Description of Activity

HANH progressed in FY2015 with Farnam and is expected to close on the on-site and off-site portions of the project in early FY2016. We were awarded a \$4 million grant from the state of Connecticut. HANH has also submitted tax credit applications with the Connecticut Housing Finance Authority for Farnam Phase II.

The Authority applied for the Choice Neighborhoods Initiative Planning Grant. This grant will allow for a comprehensive approach to neighborhood transformation of Farnam Court and the Mill River area.

Unfortunately, during FY2012, the Authority was notified that it was unsuccessful in obtaining the Choice Neighborhoods Initiative Planning Grant. However, in February 2012, HUD reissued the Notice of Funding Availability (NOFA) for the 2012 Choice Neighborhoods Initiative Implementation Grant for which the Authority has applied. The Housing Authority was notified that it did not receive the Grant. Therefore, during FY2013, the Authority will again apply for the 2013 Choice Neighborhoods Initiative Implementation Grant. If awarded, this grant will provide for up to \$30,000,000 in funding to transform Farnam Courts and the surrounding neighborhood.

As one of the older, blighted developments in our portfolio, Farnam Courts is an ideal center focus towards initiating a transformation plan. The development sits on a little over one acre of land and has a highly dense population, housing 240 families and individuals. Farnam Courts is located in a severely distressed neighborhood with higher than average vacancy rates and a higher than average concentration of extremely low income persons. With Interstate I-91 abutting the northern boundaries and limited city streets within the community, Farnam is an attraction for crime and illegal drug transactions. In order to increase its chances of a CNI grant award, HANH determined that it would be most advantageous for the Authority to solicit for Lead Implementation Entities to assist in putting together a successful proposal. Therefore, HANH did not submit a CNI 2013 response but works diligently with the selected Implementation Entities to submit a CNI application when next issued.

As part of the transformation plan, we are proposing not only a redevelopment of the housing units at Farnam Courts but transformation of the surrounding Mill River community into a community that supports the long term economic sustainability of our residents, as well as the long term economic sustainability of Mill River and the City of New Haven. Through collaboration with other community partners, including the Economic Development Corporation, City of New Haven, the Board of Education and many more, the Authority anticipates to redesign the infrastructure to create more traffic flow through the community, redesign the housing units to be more spacious, remove barriers that individuals and families are facing by providing supportive services, and other critical components as they arise throughout the planning process. The supportive services may include but are not limited to improved access to jobs, high quality early learning programs, public assets, public transportation, and high quality public schools and education programs. In FY 2013, the off-site component of the Farnam Transformation Plan, Fair Haven, was awarded 9% tax credits. In FY 2015, ECC/HANH continues to make progress with planning the Transformation Plan for Farnam Courts. Drawings are being developed. A General contractor has been selected to begin work upon closing on the redevelopment. ECC anticipates the closing of Fair Haven, the Farnam offsite component, in December 2015 and the Farnam on-site Phase 1 by March 2016.

- **Rationale:** Improving conditions not only in a development but also in a neighborhood will create economic stability of the neighborhood.
- **Expected impact:** Increase housing choices and quality of life of residents.

b) Impact Analysis

HUD-Required Metrics

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

HC #1: Additional Units of Housing Made Available				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of new housing units made available for households at or below 80% AMI as a result of the activity (increase). If units reach a specific type of household, give that type in this box.	2,965 (frozen 2001 base)	2,529	2,447 (2015) 2,447 (2014) 2,613 (2013)	No

Internal Metrics

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

Internal Metrics - Redevelopment				
Internal Metric #2: REAC Scores				
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	Quinniapac Terrace, 89 (2012) 98 (2013) Eastview Terrace, 95 (2012). McConaughy Terrace 70 (2009) 58 (2010) 78 (2011) 82 (2012). McQueeney 54 (2009) 85 (2010) 59 (2011) 64 (2012). Rbicoff Cottages -EXT 91 (2009) 68 (2010) 82 (2011) 82 (2012). Robert Wolfe 51 (2009) 80 (2010) 49 (2011) 82 (2012). Ruoppola/Fairmont 56 (2009) 61 (2010) 65 (2011) 79 (2012) 86 (2013). Westville Manor 90 (2009) 35 (2010) 51 (2011) 47 (2012). Winslow Celentano 53 (2009) 72 (2010) 74 (2011) 71 (2012) 84 (2013) Crawford 88 (2013).	Yes
Internal Metric #6: Utility expenses per unit				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Reduction of utility expenses per unit, pre and post redevelopment - Electric	Valley Waverly \$10,800 per units in 2012.	5% reduction. Electric utility expenses would reach approximately \$10,300 per unit.	Eastview Terrace \$9,863 per units Quinniapac Terrace \$5,685 per unit in Fiscal Year 2012	Yes
<i>Assumption: HANH calculated the savings by comparing utility cost at Eastview Terrace, and Quinniapac Terrace after redevelopment was completed against Valley Waverly, which is not a redeveloped building. HANH has requested fiscal year 2014 data from the public utility to update this metric.</i>				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Reduction of utility expenses per unit, pre and post redevelopment - gas	Valley Waverly \$730 per units in 2012.	5% reduction. Gas utility expenses would reach approximately \$790 per unit.	Eastview Terrace \$333 per units Quinniapac Terrace \$415 in Fiscal Year 2012	Yes
<i>Assumption: HANH calculated the savings by comparing utility cost at Eastview Terrace, and Quinniapac Terrace after redevelopment was completed against Valley Waverly, which is not a redeveloped building. HANH has requested fiscal year 2014 data from the public utility to update this metric.</i>				
Internal Metric #7: Crime rate				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Crime rate statistics, pre and post redevelopment	Quinniapac major crimes in 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in 2005: 47.	10% reduction in number of major crimes.	Quinniapac major crimes (FY 2014): 4 Quinniapac major crimes in 2012: 3 West Rock (122 Wilmot, Brookside I and II) major crimes (FY 2014): 7 West Rock (122 Wilmot, Brookside I and II) major crimes in 2012: 25	Yes

3. Challenges

No challenges regarding this initiative.

4. Tracking Revisions

No tracking revisions made on this initiative.

5. Changes in Data Collection Methodology

No changes in data collection methodology.

DRAFT

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. Plan Year Approved and Implemented

Approved in FY2013 and implemented in FY2014.

2. Description and Impact Analysis

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 FY2015, HANH utilized 14% of its budget authority. Evelise

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

b) Impact Analysis

HUD-Required Metrics

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

HC #1: Additional Units of Housing Made Available				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of new housing units made available for households at or below 80% AMI as a result of the activity (increase). If units reach a specific type of household, give that type in this box.	2,965 (frozen 2001 base)	2,529	2,447 (2015) 2,447 (2014) 2,613 (2013)	No

Cost Effectiveness

CE #4: MTW Leverage Ratios

Unit of Measurement	Baseline *	Benchmark	Outcome	Benchmark Achieved?
Brookside I	1.7	2.0	2.3	Yes
Brookside II	1.7	2.0	7.5	Yes
Rockview I	1.7	2.0	4.6	Yes
122 Wilmot Road	1.7	2.0	3.2	Yes
Brookside Homeownership	1.7	2.0	1.6	No
Ribicoff I	1.7	2.0	6.1	Yes
Ribicoff II	1.7	2.0	1.2	No
Quinnipiac Terrace I	1.7	2.0	5.5	Yes
Quinnipiac Terrace II	1.7	2.0	8.6	Yes
Quinnipiac Terrace III	1.7	2.0	4.2	Yes
Eastview I	1.7	2.0	0.6	No
Rowe	1.7	2.0	4.5	Yes

**Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace 2*

Internal Metrics

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

Internal Metrics - Redevelopment				
Internal Metric #1: Increase in Agency Revenue				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Increase in Agency Revenue - Rowe redevelopment fees	0	Zero	\$893,374	Yes
Increase in Agency Revenue - Brookside Phase 1 redevelopment fees	0	Zero	\$1,081,094	Yes
Increase in Agency Revenue - Brookside Phase 2 redevelopment fees	0	Zero	\$725,704	Yes
Increase in Agency Revenue - Rockview Phase I redevelopment fees	0	Zero	\$744,389	Yes
Increase in Agency Revenue - 122 Wilmot Road redevelopment fees	0	Zero	HANH will collect \$ 1,419,767.	Yes
CE #5 assumptions: HANH has created a new stream of revenues from redevelopment activities. The redevelopment fees are paid by investors and compensates HANH for administrative costs.				
Internal Metric #12: HCV budget authority for the Agency that is permitted to project-base				
Overall HANH percentage of PBV / HCV	11% (FY 2013)	25%	14% (FY 2014)	n/a
Assumption: HANH calculated the percentage FY 2014 as follows: MTW 2015 Annual Plan (664 – 96 RAD)/(4,147 – 96 RAD) = 14%, FY 2013 from MTW Report 2013 387 / 3,319 = 11%.				

3. Challenges

No challenges regarding this initiative.

4. Tracking Revisions

No tracking revisions made on this initiative.

5. Changes in Data Collection Methodology

No changes in data collection methodology.

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

1. Plan Year First Approved and Implemented

Approved in FY2013 and implemented in FY2014.

2. Description and Impact Analysis

a) Description of Activity

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

In FY2013, HANH proposed to begin a new initiative to develop public housing replacement units with MTW block grant funds while making use of MTW authority to waive or substitute certain program rules. HANH intended to pursue this initiative at certain specific sites in FY 2013, including Farnam Courts and Abraham Ribicoff Cottage and Extensions, but intended to use this same model at other sites to be identified in the future.

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

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

During FY2013, ECC/HANH had issued bonds for the Redevelopment of Ribicoff Cottages and Ribicoff Cottages Extension. Ribicoff Cottages and Extension was bifurcated into two developments, Ribicoff 9% and Ribicoff 4%. Both Ribicoff phases closed during FY 2015. Farnam Courts Phase 1 on-site is progressing towards a closing during FY 2016. The off-site component of the Farnam Courts Transformation Plan, Fair Haven, was awarded 9% tax credits. During FY2015, HANH moved forward with its redevelopment plans in order to close the two projects during FY2016.

- **Rationale:** This initiative will enable HANH to address the redevelopment needs of certain projects which it has not been able to meet to this point
- **Expected Impact:** Production of approximately 350 new public housing units for low-income families.

b) Impact Analysis

HUD-Required Metrics

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

Housing Choice

HC #1: Additional Units of Housing Made Available

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of new housing units made available for households at or below 80% AMI as a result of the activity (increase). If units reach a specific type of household, give that type in this box.	0 units	109 units	TBD	n/a

HC #1: Additional Units of Housing Made Available

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of new housing units made available for households at or below 80% AMI as a result of the activity (increase). If units reach a specific type of household, give that type in this box.	2,965 (frozen 2001 base)	2,529	2,447 (2015) 2,447 (2014) 2,613 (2013)	No

Cost Effectiveness

CE #4: Increase in Resources Leveraged

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Rowe dollars leveraged	QT/QT2 1.7:1	ratio of 2 to 1	HANH's funding \$ 18,919,083. Other sources of funds \$ 17,221,822. This project has generated a leverage ratio of approximately 1 to 1	Yes
Brookside phase I dollars leveraged	QT/QT2 1.7:1	ratio of 2 to 1	HANH's \$ 19,779,882 investment has leveraged \$25,789,399 of non-public housing and non-MTW funds. This project has generated a leverage ratio of more than 1 to 1	Yes
Brookside phase II dollars leveraged	QT/QT2 1.7:1	ratio of 2 to 1	HANH's \$ 3,687,107 investment has leveraged \$26,111,025 of non-public housing and non-MTW funds. This project has generated a leverage ratio of more than 7 to 1	Yes
Rockview Phase I dollars leveraged	QT/QT2 1.7:1	ratio of 2 to 1	HANH's \$ 6,046,932 investment has leveraged \$27,360,306 of non-public housing and non-MTW funds. This project has generated a leverage ratio of more than 4 to 1	Yes
122 Wilmot Road dollars leveraged	QT/QT2 1.7:1	ratio of 2 to 1	HANH's \$ 1,645,602 investment has leveraged \$14,616,597 of non-public housing and non-MTW funds. This project has generated a leverage ratio of more than 8 to 1	Yes
Rockview	QT/QT2 1.7:1	ratio of 2 to 1	HANH's \$ 8,291,932 investment has leveraged \$25,115,304 of non-public housing and non-MTW funds. This project has generated a leverage ratio of more than 4 to 1	Yes

Internal Metrics

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

Internal Metrics - Redevelopment

Internal Metric #1: Increase in Agency Revenue				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Increase in Agency Revenue - Rowe redevelopment fees	0	Zero	\$893,374	Yes
Increase in Agency Revenue - Brookside Phase 1 redevelopment fees	0	Zero	\$1,081,094	Yes
Increase in Agency Revenue - Brookside Phase 2 redevelopment fees	0	Zero	\$725,704	Yes
Increase in Agency Revenue - Rockview Phase I redevelopment fees	0	Zero	\$744,389	Yes
Increase in Agency Revenue - 122 Wilmot Road redevelopment fees	0	Zero	HANH will collect \$ 1,419,767.	Yes

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

3. Challenges

No challenges regarding this initiative.

4. Tracking Revisions

No tracking revisions made on this initiative.

5. Changes in Data Collection Methodology

No changes in data collection methodology.

Increase Family Self-Sufficiency

Initiative 2.1 – Family Self-Sufficiency (FSS) Program

1. Plan Year First Approved and Implemented

Approved and implemented in FY2007.

2. Description and Impact Analysis

a) Description of Activity

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

HUD-Required Metrics

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

Self Sufficiency

SS #1: Increase in Household Income

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average earnings (wages) of households enrolled in FSS Program	\$4,082 (2013)	Steady increase in average household earnings	\$3,009 (2014)	No. Average earnings (wages) decreased 7% over the last year

SS #1 FSS Assumptions: average earnings includes wages and other wages. Note that 79% of FSS participants had zero income in FY14 vs. 52% with zero income in FY13

SS #3: Increase in Positive Outcomes in Employment Status

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
FSS Program Participants: (1) Employed Full- Time (2) Employed Part- Time (3) Enrolled in an Educational Program (4) Enrolled in Job Training Program (5) Unemployed (6) Other	<u>2014</u> - Employed FT: 26 - Employed PT: 28 - Enrolled in Education: 259 - Enrolled in Job Training: n/a - Unemployed: 205 - Other: n/a	Steady increase in full-time employment for FSS participants	TBD	Baseline included for first time in this FY14 report

SS #3 Assumptions: full-time employment if earned income (wages + self-employment) equate to 30 hours/week at CT minimum wage; unemployed assumes no wages. All FSS participants in FSS Log considered to be enrolled in educational program

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

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of FSS households that have taken vocational and computer classes (excluding Specialized Training)	155 (2013)	200	105 (2014)	No

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

Internal Metrics

Below are new internal metrics beyond the metrics tracked per HUD Attachment B listed above. These have been established to evaluate the effectiveness of FSS classes.

Internal Metrics: FSS Classes

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Literacy course (Adult Basic Education) participants and average reading level	<u>2014</u> - 12 participants - Range from 1st through 3rd grade reading level	Participants will reach average of 7th grade reading level	<u>2015</u> - 6 participants - 0 graduates at 7th grade level	No. HANH will increase awareness among clients about literacy course
Computer course graduates for basic and intermediate levels	<u>2014</u> Basic: 18 Intermediate: 5	10 intermediate course graduates annually	<u>2015</u> Basic: 6 Intermediate: 1	No. HANH will increase awareness among clients about literacy course
GED graduates by years in GED course	<u>2013</u> 1 year or less: 2 1 - 2 years: 2 More than 2 years: 4	Steady increase in course participants receiving GED in less than 2 years	<u>2015</u> 1 year or less: 0 1 - 2 years: 0 More than 2 years: 0 <u>2014</u> 1 year or less: 0 1 - 2 years: 2 More than 2 years: 1	Yes. HANH will continue to increase awareness among FSS participants about GED course
Job skills class graduates and their earned income	<u>2014</u> Graduates: 0 Average earned income: n/a	10 graduates of the job skills class annually with earned income of at least 30 hours per week at minimum wage	<u>2015</u> Graduates: 33 Average earned income: n/a	Yes on # graduates, but HANH still putting data analysis procedure in place to capture income information

3. Challenges

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.

4. Tracking Revisions

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

5. Changes in Data Collection Methodology

No changes in data collection methodology.

DRAFT

Initiative 2.2 – Incremental Earned Income Exclusion

1. Plan Year First Approved and Implemented

Approved and implemented in FY2008.

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

a) Description of Activity

HANH believes promoting self-sufficiency is most effectively accomplished through helping residents to access services and supports. Incremental Earnings Exclusion is phased increases in earned income over the five year term of a family's participation in the FSS program. For example HANH will exclude from the determination of annual income 100% of any incremental earnings from wages or salaries earned by any family member during the first year. Below is a description of how the earned income exclusions are structured:

- 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 save money and make down payments on homes to increase family self-sufficiency.
- **Expected impact:** Increased income, savings, and homeownership.

b) Impact Analysis

HUD-Required Metrics

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

Self Sufficiency

SS #1: Increase in Household Income

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average income of households affected by this policy in dollars	\$15,363 (2008)	Steady increase in average household income	\$15,946 (2015)	No. Slight increase in average earned income, but overall decrease if adjusted for inflation

SS #3: Increase in Positive Outcomes in Employment Status

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Report the following information separately for each category: (1) Employed Full- Time (2) Employed Part- Time (3) Enrolled in an Educational Program (4) Enrolled in Job Training Program (5) Unemployed (6) Other	2008 - Employed FT: 27 - Employed PT: n/a - Enrolled in Education: n/a - Enrolled in Job Training: n/a - Unemployed: 10 - Self-Employed: 1	Steady increase in the percentage of participants who are employed full-time	2015 - Employed FT: 30 - Employed PT: n/a - Enrolled in Education: n/a - Enrolled in Job Training: n/a - Unemployed: 12 - Self-Employed: 0	No. 47% (27/57 participants) employed full-time in 2008; vs. 33% (30/90 participants) employed full-time in 2015

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

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households enrolled in Earned Income Exclusion	57 (2008)	TBD	90 (2015)	

Internal Metrics

There are no internal metrics beyond the metrics tracked per HUD Attachment B listed above.

3. Challenges

No challenges regarding this initiative.

4. Tracking Revisions

Note that previous reports contained information related to HANH's homeownership program. Metrics have been revised to reflect estimates related specifically to the incremental earned income exclusion program.

5. Changes in Data Collection Methodology

No changes in data collection methodology.

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

1. Plan Year First Approved and Implemented

Approved in FY2012 and implemented in FY2013.

2. Description and Impact Analysis

a) Description of Activity

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

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

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

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

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

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

addressed, the need for such intensive support will wane. This policy and procedural change has resulted in modifications to the MTW Plan, ACOP and Administrative Plan.

- **Rationale:** As a result of the implementation with the CARES program, HANH anticipates that the cost of the voucher payments and the cost of supportive services will be off-set by the increase in tenant rent at the end of the 72-month time limit.
- **Expected impact:** Increase family self sufficiency through intense assessment of family needs, development of service plans, assistance with self sufficiency activities and incentivized escrow savings plan.
 - Increased housing choice by increasing family options for housing and through term limited assistance the ability to offer assistance to additional families.

b) Impact Analysis

HUD-Required Metrics

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

Self Sufficiency				
SS#1: Increase in Household Income				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average income for Full CARES and Transition CARES participants	Average income of population: \$16,897 in fiscal year 2013	Average family income of \$45,000 by program completion (Full CARES)	2015 Transition CARES: \$14,200 Full CARES: \$31,500 2014 Transition CARES: \$15,300 Full CARES: \$29,200	No. However, program will not be completed until the end of year six for first group of participants
SS#1 assumptions: weighted income figures across Brookside and Rockview participants				
SS#2: Increase in Household Savings				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average amount of savings/escrow of participants affected by this policy in dollars (REEF accounts)	Zero	TBD	-2015: \$8,100 per participant* -2014: \$0 -2013: \$0	TBD. REEF accounts not determined until third year of participation
*note: \$1.415 million has been set aside in HANH's balance sheet to accounts payable related to CARES REEF accounts in FY2015 (\$8,100 avg REEF derived from \$1.415M/175 participants)				
SS#3: Increase in Positive Outcomes in Employment Status				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of participants enrolled in education/job development training	Zero	10% annual increase in enrollment of education/job development classes	2015 -21 participants in classes -20 participants in training -6 participants in 1-year colleges or graduate school 2014 -36 participants in classes -31 participants in training -5 participants in 1-year colleges 2013 -26 participants in classes -10 participants in training -10 participants in 1-year colleges	No. Number of participants enrolled in education/job development decreased in FY2015
SS#4: Households Removed from Temporary Assistance for Needy Families (TANF)				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Percentage of households receiving TANF assistance	2013: 11% of Transition CARES	Reduction by 20% of prior year households receiving TANF	-2015: 9% of Transition CARES -2014: n/a	No. 8% reduction in transition CARES participants on TANF between 2015 and 2014

Internal Metrics

SS#8: Households Transitioned to Self-Sufficiency				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households who receive zero subsidy at the end of year six	Zero	12 by the end of the program. Estimated length of the program is six years in total	Zero	TBD Once program reaches the end of year six. Note that 2 participants did graduate in FY2015

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

Enrollment				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of Full CARES participants	Zero	25% increase in Full CARES	-2015: 83 -2014: 68 -2013: 24	Yes
Number of Transition CARES participants	Zero	25% reduction in Transition CARES	-2015: 92 -2014: 68 -2013: 38	No. However, overall participation levels were higher in 2015

Non-compliant with program requirements				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of participants compliant with the program's requirements	Zero	60% of new participants will remain compliant	-2015: 158 (90%) -2014: 80 (98%) -2013: 62 (83%)	Yes

3. Challenges

No challenges regarding this initiative.

4. Tracking Revisions

No tracking revisions made on this initiative.

5. Changes in Data Collection Methodology

No changes in data collection methodology.

Cost Effective and Efficient Service Delivery

Initiative 3.1 – Rent Simplification

1. Plan Year First Approved and Implemented

Approved in FY2007 and implemented in FY2008.

2. Description and Impact Analysis

a) Description of Activity

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

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

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

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

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

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

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

- Tenants are not required to provide documentation of every dollar of expense; rather, tenants need only provide documentation sufficient to meet the appropriate tier. The amount of monthly rent reduction is established at the mid-range of the tier. Households with exceptional expenses will receive a direct reduction of the monthly rent. However, no tenant’s rent will be reduced below a rent of \$50.00 as a result.

Tiered Amount of Expenses

\$ 2,000 - \$ 4,000

\$ 4,000 - \$ 6,000

\$ 6,000 +

Monthly Rent Reduction

\$ 75 (equivalent to \$3,000 deduction)

\$ 125 (equivalent to \$5,000 deduction)

Hardship Review

- **Rationale:** Excessive resources are dedicated to verifying deductions for child care, medical and disability allowances. Third party verifications of these amounts are difficult to accomplish and the agency more often than not relies upon second and first party verifications of these deductions. Obtaining verification data also places an undue burden on the resident.
- **Expected Impact:** Administrative savings, simplified process for residents/participants and fewer recertification appointments. Also, rent tiers have been built to minimize impact on residents during initial years and to phase in rent increases over time. Residents will not experience an overwhelming rent burden, yet will be incentivized to increase their earnings over time as their rent gradually increases. Impact on income will be tracked.

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

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

v. Transition to Avoid Hardships

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

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

b) Impact Analysis

HUD-Required Metrics

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

Cost Effectiveness

CE #1: Agency Cost Savings

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Savings related to staff reduction due to implementation of multi-year recertifications	\$0	(\$133,000)	(\$133,000) (2008)	Yes. Elimination of HCV director position (salary + benefits) in 2008
Total annual cost of printing and mailing documents related to annual recertifications (excluding staff time; PH and HCV combined).	\$26,923 (2007)	\$13,750	- 2015: \$12,705 - 2014: \$14,927 - 2013: \$13,338 - 2012: \$16,924 - 2011: \$14,597 - 2010: \$23,639 - 2009: \$26,340 - 2008: \$26,175	Yes. Decrease of number of annual recertifications in 2015 due to HCV caseload optimization

CE#1 Assumption Detail: 4,895 PH+HCV recerts (2007); 2,310 (2015); 2,000 (benchmark); \$5.50 total cost per recert packet: \$2.50 avg cost of postage and \$3.00 printing (60 page recert packet at \$.05 per page) per recert pre- and post-new schedules

CE #2: Staff Time Savings

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Total annual staff time in hours to complete annual recertifications (PH and HCV combined).	12,238 (2007)	5,000 annual staff hours	- 2015: 5,313 - 2014: 6,133 - 2013: 4,850 - 2012: 6,154 - 2011: 5,308 - 2010: 8,596 - 2009: 9,578 - 2008: 9,518	No, but very close to benchmark of 5,000

CE#2 Assumption Detail: 4,895 PH+HCV recerts (2007); 2,714 (2014); 2,500 (benchmark); 2.5 hrs avg staff time (both PH and HCV) per recert pre-rent reform per 2007 time study and 2.3 hours post-rent reform from 2014 HCV activity time study (average of work-able and elderly/disabled households recertification processing time)

CE #3: Decrease in Error Rate of Task Execution

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average percentage error rate in calculating rents in annual recertifications (% files reviewed with errors)	11% of files (2011)	5% of files	- 2015: 24% of files (HCV) - 2014: 24% of files (HCV) - 2013: 15% of files (HCV) - 2012: 10% of files (HCV)	No. Error rates in rent calculations have been increasing significantly in HCV. No change in 2015 vs. 2014. PH data not available

Self Sufficiency

SS #1: Increase in Household Income

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average earned income of households affected by this policy in dollars	- 2007 All HCV: \$8,246 - 2007 All PH: \$5,791	Annual increases greater than federal CPI	- 2015 All HCV: \$8,494 - 2015 All PH: \$6,034	No. Overall family earnings have increased slightly since 2007, but at a rate less than the average annual COLA rate of approx. 2%

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

Internal Metrics

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

Internal Metrics: Rent Simplification Initiatives				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of hardships approved and hardship applications	- 2012: 122 approved/243 applications - No baseline data available prior to 2012	No significant increase in hardships	- 2015: 42 approved/111 applications - 2014: 40 approved/213 applications - 2013: 54 approved/195 applications	In 2015, more hardship applications were approved and a higher percentage (38%) were approved compared to 2014 (19%)
Number of families on minimum rent	- 28 (HCV - 2010) - 170 (PH - 2007)	Decrease in minimum rent households	- 2015: 348 (HCV); 213 (PH) - 2014: 341 (HCV); 233 (PH) - 2013: 314 (HCV); 212 (PH) - 2012: 287 (HCV); 180 (PH) - 2011: 227 (HCV); 183 (PH) - 2010: 28 (HCV); 153 (PH) - 2009: 33 (HCV); 147 (PH) - 2008: 121 (HCV); 161 (PH)	No. Although slightly down in 2015, the # of min rent families has been trending up. HANH monitoring trends in this metric in conjunction with hardships
Number of annual interims processed	1,280 (2007)	1,300	- 2015: 1,551 - 2014: 1,539 - 2013: 1,363 - 2012: 1,967 - 2011: 1,598 - 2010: 1,196 - 2009: 1,364 - 2008: 1,140	No. HANH will evaluate implementation of its current interim policy

3. Challenges

No challenges regarding this initiative.

4. Tracking Revisions

In FY2015, HANH continued to measure the impact of rent simplification policies on specific populations (elderly/disabled and work-able families). Since these populations have unique needs, measuring the impact on each group will allow HANH to better tailor programs to meet their needs.

5. Changes in Data Collection Methodology

No changes in data collection methodology.

Initiative 3.5 – HCV Rent Simplification/Cost Stabilization Measures

1. Plan Year First Approved

Approved in FY2014 and implemented in FY2015.

Description and Impact Analysis

a) Description

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 (Not yet Implemented)

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.

b) Impact Analysis

HUD-Required Metrics

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

Metrics Related to Inspection Components (1/2) of Activity				
CE #1: Agency Cost Savings				
E. Unit of Measurement	F. Baseline	G. Benchmark	H. Outcome	Benchmark Achieved?
Cost of inspection contract with City of New Haven	\$259,000 (2014)	25% reduction of inspection contract cost with City	- 2015: \$275,379	No. HANH is in the process of negotiating its 2016 contract
HANH's current (2014) inspection contract with the City of New Haven costs \$259,000. This number includes 860 inspections for fail items that are not health and safety related. These inspections cost \$61,000 to process. The proposed policy will allow self-certification for these issues				
CE #2: Staff Time Savings				
E. Unit of Measurement	F. Baseline	G. Benchmark	H. Outcome	Benchmark Achieved?
Total HANH internal staff inspection scheduling time (annual hours)	904 hours (2014)	367 hours	- 2015: 778 hours	No, but number of inspections decreased by 14% in 2015
# of HCV program inspections under current MTW inspection policy is 2,484. # annual HQS inspections expected to be further reduced to 1,467 due to proposed MTW elderly/disabled population change and proposed biennial/triennial inspection protocol; Staff spend 15 minutes scheduling "annual" HQS inspections. FY2015 inspections = 3,111; 3,616 in FY2014				

Metrics Related to Biennial/Triennial Landlord Rent Increase Component (3) of Activity				
CE #1: Agency Cost Savings				
E. Unit of Measurement	F. Baseline	G. Benchmark	H. Outcome	Benchmark Achieved?
Cost (in annual HAP) of processing landlord rent increases	\$1 million (2013)	\$200,000	- 2015: \$300,000	# of landlord rent increases decreased by 70% in 2015. Expect this benchmark to be realized by 2016
Average of 700 annual landlord rent increases processed with average annual HAP increase of \$1,429 (\$119 per month); 210 HCV landlord rent increased processed in FY2015				
CE #2: Staff Time Savings				
E. Unit of Measurement	F. Baseline	G. Benchmark	H. Outcome	Benchmark Achieved?
Annual staff time (hours) spent processing landlord rent increases	401 hours (2014)	0 hours	- 2015: 210 hours	Reached 50% of goal in 2015
HANH processed 401 annual landlord rent increases in FY2014. 2014 time study found that landlord rent increases take an average of one hour to process.				

Internal Metrics

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

Special Inspections				
E. Unit of Measurement	F. Baseline	G. Benchmark	H. Outcome	Benchmark Achieved?
Number of HCV special inspections	157 special inspections (2015)	No significant increase over baseline	TBD	HANH will update baseline in our next MTW Report

3. Challenges

No challenges regarding this initiative.

4. Tracking Revisions

This is the first year of implementation and we will continue to track performance against the above metrics.

5. Changes in Data Collection Methodology

No changes in data collection methodology.

DRAFT

B. Not Yet Implemented Activities

List any approved activities that were proposed in the Plan, approved by HUD, but not implemented.

Initiative 2.4 – Teacher in Residence

1. Plan Year First Approved

Approved in FY2015.

2. Description and Impact Analysis

The goal of this initiative is to provide housing to New Haven Educators and provide educational opportunities to the residents of two LIPH family developments

a) Description of Activity

HANH Believes is a new youth initiative designed to assist students achieve academic excellence, support parents to engage in their children's education, and help avail postsecondary opportunities to HANH's young people. HANH believes that all students can achieve excellence, that birth does not have to determine outcomes, and that each young person deserves to be successful in college, career and life. We aim to leverage smart housing policy and incorporate youth outcomes among our core goals in order to invest in the future of our students and advance academic outcomes.

HANH/ECC seeks to make academic support and tutorial services readily available to the approximately 2,000 school age youth residing in our developments. Modeled on the Officer in Residence program already implemented by HUD, HANH/ECC proposes a new MTW initiative that would offer "free" housing to teachers in exchange for the delivery of academic support and tutorial services for our youth. Teachers housed through HANH Believes will be called "Teacher in Residence." Teachers in this program, as part of an agreement between HANH and each teacher, will be required to provide educational assistance to HANH's youth. Educational assistance to Elm City Communities' school-aged youth is defined as follows:

- Conduct a site-base homework help program at McConaughy Terrace, in conjunction with HANH staff, throughout the school year;
- Tutor students that are specifically identified through HANH Believes school-based partnerships;
- Facilitate site-based meetings for parent residents, in conjunction w/HANH staff, so that parents may better understand how to navigate the New Haven public schools; and
- Participate in the Tenant Resident Council at McConaughy Terrace and Waverly Townhouses.

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

The Special Use unit designation is a benefit to teachers in providing subsidized housing as well as residents at the HANH sites identified in this letter since the use of the unit by a teacher in residence will support academic achievement of HANH's youth through the aforementioned educational assistance. Increasing students' academic achievement has the potential to end the cycle of poverty for our families and in doing so we build a new, vibrant middle class in New Haven. This initiative will increase the economic self sufficiency of our families. Anticipated outcomes include improved academic success as students receive additional academic assistance and develop confidence, improved attendance in school as students feel more engaged and improved performance on standardized testing and improved graduation rates.

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 reduces the likelihood that they become the next generation of subsidized housing recipients.

b) Impact Analysis

HUD-Required Metrics

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

Internal Metrics

Below are internal metrics beyond the metrics tracked per HUD Attachment B listed above.

Number Days Absent Grouped – By Development Site							
	Number Students				Percent Students		
	0 Days	1-14 Days	15 + Days	Total	0	1-14 Days	15 +Days
McConaughy Terrace	10	82	44	136	7.4%	60.3%	32.4%
Waverly Townhouses	2	12	17	31	6.5%	38.7%	54.8%
Total	12	94	61	167			

Internal Metrics: Teachers in Residence

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Reduce school absenteeism at Selected developments miss 15+ Days of school	36% of Students	Steady increase in average participants attendance and grade average	5% of students miss 15+ days	3 year goal

Internal Metrics: Teachers in Residence

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Improve academic outcomes for program participants	Gap between HANH student and district performance ranges between 20 and 30 percentage points	Steady increase in average participants academic performance	HANH averages Equal district average	5 year goal

Internal Metrics: Teachers in Residence

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Reduce school absenteeism at Selected developments miss 15+ Days of school	36% of Students	Steady increase in average participants attendance and grade average	5% of students miss 15+ days	3 year goal

Internal Metrics: Teachers in Residence

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Improve academic outcomes for program participants	Gap between HANH student and district performance ranges between 20 and 30 percentage points	Steady increase in average participants academic performance	HANH averages Equal district average	5 year goal

4. Challenges

We do not anticipate significant challenges. Initial forays into discussions with teachers has yielded positive response and interest in program. Focus group discussions with parents indicate an interest in ready access to on-site tutorial services.

This modest initiative seeks to balance the need for affordable housing for families on the waitlist with the need for on-site services supporting the hundreds of youth at the two identified sites.

5. Tracking Revisions

There are no tracking revisions.

6. Changes in Data Collection Methodology

None

C. Activities On Hold

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

No numbered MTW activities are on hold.

D. Closed-Out Activities

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

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

1. Plan Year First Approved and Implemented

Approved in FY2009 and implemented in FY2014.

2. Year Activity Closed Out

This activity was closed out in FY2014. HANH was directed by HUD to close out this activity. The development was completed and occupied in September 2013.

3. In Year Activity Closed Out, Provide the Following:

i. Discuss the final outcome and lessons learned

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

The Authority purchased a site at 122 Wilmot Road that is slightly more than one acre. The structure was demolished. The Authority redeveloped the site as a mixed-use facility with 9,186 square feet of commercial and community space and 47 units of housing with supportive services to allow elderly persons to age in place. The agency financed a portion of the cost of this project using an accumulation of Connecticut Housing Finance Authority Tax Credits, Private mortgage financing and investor equity. The development was completed and occupied in September 2013.

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

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

None.

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

Standard MTW Agreement)

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

HUD-Required Metrics

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

Housing Choice				
HC #2: Units of Housing Preserved				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 (frozen 2001 base)	2,529	2,447 (2014) 2,613 (2013)	No
Cost Effectiveness				
CE #4: Increase in Resources Leveraged				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
122 Wilmot Road dollars leveraged	QT/QT2 1.7:1	ratio of 2 to 1	HANH's \$ 1,645,602 investment has leveraged \$14,616,597 of non-public housing and non-MTW funds. This project has generated a leverage ratio of more than 8 to 1	Yes

Internal Metrics

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

Internal Metrics - Redevelopment

Internal Metric #1: Increase in Agency Revenue

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Increase in Agency Revenue - 122 Wilmot Road redevelopment fees	0	Zero	HANH will collect \$ 1,419,767.	Yes

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

Internal Metric #2: REAC Scores

REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	Quinnipiac Terrace, 89 (2012) 98 (2013) Eastview Terrace, 95 (2012). McConaughy Terrace 70 (2009) 58 (2010) 78 (2011) 82 (2012). McQueeney 54 (2009) 85 (2010) 59 (2011) 64 (2012). Rbicoff Cottages -EXT 91 (2009) 68 (2010) 82 (2011) 82 (2012). Robert Wolfe 51 (2009) 80 (2010) 49 (2011) 82 (2012). Ruoppolo/Fairmont 56 (2009) 61 (2010) 65 (2011) 79 (2012) 86 (2013). Westville Manor 90 (2009) 35 (2010) 51 (2011) 47 (2012). Winslow Celentano 53 (2009) 72 (2010) 74 (2011) 71 (2012) 84 (2013) Crawford 88 (2013).	Yes
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Internal Metric #4: TDC

Average (Actual TDC - TDC at HUD's limits)/number of units	0	This metric cannot be narrowly defined into a single figure. However, if HANH does not exceed HUD's approved alternative TDC limit, then HANH would have achieved its benchmark	Brookside I, 50 units \$107,700 per unit Quinnipiac, 17 units \$71,800 per unit Rowe, 78 units, \$16,700 per unit	Yes, Benchmark Achieved in all redeveloped properties listed in this report
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Internal Metric #5: HCC

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

Internal Metric #6: Utility expenses per unit

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

Assumption: HANH calculated the savings by comparing utility cost at Eastview Terrace, and Quinnipiac Terrace after redevelopment was completed against Valley Waverly, which is not a redeveloped building. HANH has requested fiscal year 2014 data from the public utility to update this metric.

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

Assumption: HANH calculated the savings by comparing utility cost at Eastview Terrace, and Quinnipiac Terrace after redevelopment was completed against Valley Waverly, which is not a redeveloped building. HANH has requested fiscal year 2014 data from the public utility to update this metric.

Internal Metric #7: Crime rate

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in 2005: 47.	10% reduction in number of major crimes.	Quinnipiac major crimes (FY 2014): 4 Quinnipiac major crimes in 2012: 3 West Rock (122 Wilmot, Brookside I and II) major crimes (FY 2014): 7 West Rock (122 Wilmot, Brookside I and II) major crimes in 2012: 25	Yes

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

See outcome sections of metrics tables above.

Initiative 1.3 – Fungibility

1. Plan Year First Approved and Implemented

Approved in FY2012 and implemented in FY2013.

2. Year Activity Closed Out

This activity was closed out in FY2013. HANH was directed by HUD to eliminate in MTW reporting as it is not necessary to list as an initiative.

3. In Year Activity Closed Out, Provide the Following:

i. Discuss the final outcome and lessons learned

Fungibility is provided under MTW single fund flexibility and activities using that flexibility only will now be included in Section V for MTW Plans and Reports.

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

None.

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

Fungibility-related activities using single fund flexibility only can now be found in Section V.

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

Not applicable.

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

1. Plan Year First Approved and Implemented

Approved in FY2013 and implemented in FY2014.

2. Year Activity Closed Out

This activity was closed out in FY2014.

3. In Year Activity Closed Out, Provide the Following:

i. Discuss the final outcome and lessons learned

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

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

None.

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

Not applicable since this initiative only required single fund flexibility. Some metrics are reported in Section V under Major Redevelopment Efforts at West Rock.

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

This initiative 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.

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

1. Plan Year First Approved and Implemented

This activity was approved in FY2013 and was never implemented.

2. Year Activity Closed Out

This activity was closed out in FY2014.

3. In Year Activity Closed Out, Provide the Following:

i. Discuss the final outcome and lessons learned

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.

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)

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

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

This initiative was not implemented. HANH realized the following: During FY2014 ECC determined that the Redevelopment of 99 Edgewood Avenue k/n/a Dwight Gardens would not benefit the Elm City Communities/HANH because the feasibility of the project needed to be expended in order to complete the redevelopment.

Initiative 1.15 – Development of Mixed Finance Development for Rockview Phase II Rental

1. Plan Year First Approved and Implemented

This activity was approved and implemented in FY2014.

2. Year Activity Closed Out

This activity was closed out in FY2014. HANH was directed by HUD to close out this activity and fold into other redevelopment efforts related to Rockview (see Section V) that require single fund flexibility only.

3. In Year Activity Closed Out, Provide the Following:

i. Discuss the final outcome and lessons learned

See metrics tables.

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

None identified.

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

Below are the metrics, baselines, and benchmarks for the redevelopment initiatives, in accordance with HUD Form 50900 (Attachment B). It is now included in Section V under Rockview redevelopment.

Housing Choice				
HC #1: Additional Units of Housing Made Available				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of new housing units made available for households at or below 80% AMI as a result of the activity (increase). If units reach a specific type of household, give that type in this box.	0 units	109 units	TBD	n/a
HC #2: Units of Housing Preserved				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 (frozen 2001 base)	2,529	2,447 (2014) 2,613 (2013)	No
HC #3: Decrease in Wait List Time				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average applicant time on wait list in months (decrease)	n/a	n/a	TBD	n/a

Internal Metrics

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

Internal Metrics - Redevelopment				
Internal Metric #10: Turn over cost				
Turn over cost per unit	TBD	TBD	TBD	n/a
Assumption: HANH will only report turn over cost for Rockview Phase II Rental.				

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

See outcome sections in metrics tables above and Section V under West Rock redevelopment.

Initiative 3.2 - UPCS Inspections

1. Plan Year First Approved and Implemented

UPCS Inspections were approved and implemented in FY2008.

2. Year Activity Closed Out

This activity was closed out in FY2013. MTW authorization was no longer required. Since HANH implemented the initiative in FY2008, HUD subsequently permitted all PHAs to inspect on a similar schedule. It is no longer be reported on as an MTW initiative.

3. In Year Activity Closed Out, Provide the Following:

i. Discuss the final outcome and lessons learned

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

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

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

None identified.

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

HUD-Required Metrics

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

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

Internal Metrics

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

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

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

By implementing this initiative, HANH realized the following:

- Cost reduction in UPCS inspection contract of 31% annually between 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).

DRAFT

Initiative 3.3 – Revised HQS Inspection Protocol

1. Plan Year First Approved and Implemented

Approved and implemented in FY2011.

2. Year Activity Closed Out

This activity was closed out in FY2014 and will be replaced with Initiative 3.5.

3. In Year Activity Closed Out, Provide the Following:

i. Discuss the final outcome and lessons learned

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

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

None identified.

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

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

Cost Effectiveness				
CE #1: Agency Cost Savings				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Cost of inspection contract with City of New Haven	\$287,446 (2013)	Limited or no change in cost of City inspection contract	-2015: \$275,379 -2014: \$258,701	Yes
CE #2: Staff Time Savings				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Total HANH internal staff inspection scheduling time (annual hours)	1,093 annual staff hours (2013)	759 annual staff hours	904 annual staff hours (2014)	No
<small>Note: FY2014 includes 3,616 inspections including HQS, reinspections, initials, and specials; Benchmark based on 3,036 inspections including HQS, reinspections, initials, and specials; Baseline FY2013: 4,372 including HQS, reinspections, initials and specials; 15 minutes staff time scheduling per inspection</small>				

Internal Metrics

There are no internal metrics beyond the HUD metrics listed above.

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

Not applicable.

Initiative 3.4 - Mandatory Direct Deposit for Housing Choice Voucher Landlords

1. Plan Year First Approved and Implemented

Approved and implemented in FY2010.

2. Year Activity Closed Out

This activity was closed out in FY2014. 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. In Year Activity Closed Out, Provide the Following:

i. Discuss the final outcome and lessons learned

HANH's ability to effectively manage its HAP payment process has been enhanced by implementing mandatory direct deposit of all landlords who participates in the HCV program. In order to reach the goal of 100% direct deposit utilization, all new owners are required to enter in Direct Deposit Agreements starting in FY 2010. Implementation of this initiative rewards landlords with timely and accurate HAP payments.

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

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

None identified.

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

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

Cost Effectiveness				
CE #1: Agency Cost Savings				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Landlord check processing cost savings*	\$57,060 (2009)	\$117,000	- 2014: \$123,300 - 2013: \$86,490 - 2012: \$84,150 - 2011: \$82,620 - 2010: \$80,010	Yes

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

Internal Metrics

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

Internal Metrics: Mandatory Direct Deposit for HCV Landlords

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of landlords enrolled in direct deposit program (and percentage of total landlords*)	634 (49%) (2009)	100% direct deposit utilization	- 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

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

By implementing this initiative, HANH has realized the following:

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

V. Sources and Uses of Funds

Annual MTW Report
V.3.Report.Sources and Uses of MTW Funds
A. MTW Report: Sources and Uses of MTW Funds
Actual Sources and Uses of MTW Funding for the Fiscal Year
PHAs shall submit their unaudited and audited information in the prescribed FDS format through the Financial Assessment System - PHA (FASPHA) , or its successor system
Describe the Activities that Used Only MTW Single Fund Flexibility
<p>During fiscal year 2015, Elm City Communities (ECC) made significant strides in its ongoing effort to reduce vacancies and improve occupancy Agency wide. ECC continued to supplement its own staffing efforts with abatement and renovation contractors to bring vacant units back on line and expended over \$1,000,000 in CFP funds and \$73,000 in MTW funds. In fiscal year 2015, ECC continued kitchen, bathroom and interior upgrades in units and building upgrades at the McQueeney development and expended approximately \$37,000 in CFP funds and \$357,000 in MTW funds. Contract work will continue into fiscal year 2016. Using CFP funds, ECC completed a front sidewalk improvement project with tree and bench replacement at McQueeney and expended the final \$36,312 during fiscal year 2015. Also using CFP, ECC expended funds on the following activities: HVAC riser upgrades at C.B. Motley--\$170,000; Farnam lead paint abatement--\$99,500; completion of Crawford Manor elevator upgrade--\$442,601; Agency wide physical needs assessments--\$243,100; implementation of Agency wide work order software--\$28,480; architectural/engineering and environmental consulting services—approximately \$450,000; CFFP bond debt payment--\$1,332,088 RHF funds.</p>

V.4.Report.Local Asset Management Plan

B. MTW Report: Local Asset Management Plan

Has the PHA allocated costs within statute during the plan year?

☐ Yes ☐ No

Has the PHA implemented a local asset management plan (LAMP)?

☐ Yes or ☐ No

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

Has the PHA provided a LAMP in the appendix?

☐ Yes or ☐ No

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

V.5.Report.Unspent MTW Funds

C. MTW Report: Commitment of Unspent Funds

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

Account	Planned Expenditure	Obligated Funds	Committed Funds
Capital Asset	Farnam Redevelopment	\$ 6,000,000.00	\$ 6,000,000.00
Capital Asset	Fair Haven Redevelopment	\$ 4,000,000.00	\$ 4,000,000.00
Type	Description	\$ X	\$ X
Total Obligated or Committed Funds:		\$ 10,000,000.00	\$ 10,000,000.00

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

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

Sources	Budget FY 2015	Preliminary Actual FY2015
Rent	\$4,226,106	\$4,141,421
Operating Subsidy	\$16,622,715	\$16,925,108
Capital Grants	\$1,838,163	\$2,189,281
Other Revenue (1)	1,719,030	\$7,154,136
HCV Subsidy	\$58,171,912	\$58,320,262
MTW Transfer - Prior Year Reserves	\$11,048,004	\$10,545,237
Total Sources	\$93,625,930	\$99,275,445
Uses		
LIPH	\$20,072,657	\$19,599,287
HCV Administration	\$3,364,389	\$3,316,201
Community and Economic Development	\$1,579,093	\$1,179,513
Salaries/Administrative (MTW Funded)		
COCC Expenses - does not include Supportive Services	\$8,633,232	\$7,386,770
HCV HAP Expenses	\$44,597,126	\$44,440,271
Total Uses	\$64,920,589	\$67,676,491
Project Based Vouchers		
<i>Brookside Phase 1 Rental</i>	\$711,415	\$805,973
<i>William T Rowe</i>	\$565,528	\$535,514
<i>Val Macri</i>	\$0	\$0
<i>Mutual Housing - New Units</i>	\$243,046	\$16,860
<i>CUHO</i>	\$0	\$0
<i>Foreclosure</i>	\$225,000	\$0
<i>Brookside Phase 2 Rental</i>	\$705,571	\$651,175
<i>Quinnipiac Terrace Phase 3</i>	\$293,208	\$262,814
<i>122 Wilmot Road</i>	\$148,898	\$177,186
<i>Eastview Terrace</i>	\$798,564	\$825,214
<i>360 State (Shartenburg)</i>	\$160,164	\$147,220
<i>CUHO New Construction</i>	\$21,586	\$27,928
<i>Frank Nasti (Existing)</i>	\$163,662	\$157,576
<i>Mutual Housing -Existing</i>	\$97,021	\$16,860
<i>Quinnipiac Terrace Phase 1</i>	\$388,633	\$368,635
<i>Quinnipiac Terrace Phase 2</i>	\$404,006	\$375,870
<i>Casa Familia</i>	\$249,951	\$265,289
<i>Howe Street</i>	\$639,352	\$653,248
<i>Home Inc</i>	\$34,818	\$1,448
<i>Cornerstone Residence</i>	\$12,000	\$12,363
<i>Fellowship Place</i>	\$167,092	\$166,765
<i>The Connection Fund</i>	\$27,080	\$31,817
<i>Park Ridge</i>	\$728,640	\$742,419
<i>NHR Norton Court</i>	\$287,476	\$289,110
<i>Rockview 1 Associates</i>	\$404,437	\$603,451
Total Project Based and Other Vouchers	\$7,477,148	\$7,134,735
Supportive Housing- MTW Initiatives		
<i>Family and Youth Coordinator</i>	\$78,400	\$97,470
<i>Eastview Terrace Youth Services</i>	\$201,754	\$120,388
<i>McQueeney Supportive Services</i>	\$211,497	\$219,001
<i>Crawford Manor Supportive Services</i>	\$280,812	\$256,556

Sources	Budget FY 2015	Preliminary Actual FY2015
<i>Ruoppolo Manor</i>	\$175,192	\$97,224
<i>Robert T. Wolfe</i>	\$186,607	\$166,308
<i>William T. Rowe</i>	\$78,000	\$237,844
<i>Winston Celentano</i>	\$23,618	\$11,306
<i>Fairmont</i>	\$66,501	\$37,476
Total Supportive Housing MTW Initiatives	\$1,302,381	\$1,243,573
Capital Projects - MTW Initiatives, using CFP and MTW Funds		
<i>Agency Wide UFAS Compliance</i>	\$100,000	\$0
<i>Agency Wide Vacancy Reduction</i>	\$350,000	\$971,535.48
Waverly Townhouses Roofs & Siding	\$50,000.00	\$0.00
Waverly Townhouses Interiors (including floors)	\$250,000.00	\$0.00
McQueeney Kitchens, Baths, Interiors; Bldg Interior	\$750,000.00	\$393,834.54
Crawford RAD A&E	\$250,000.00	\$0.00
Essex RAD A&E	\$25,000.00	\$0.00
AMP Environmental Remediation	\$100,000.00	\$107,090.45
LEAP Roof Replacement	\$275,600.00	\$0.00
Motley Riser Upgrade Phase 2	\$50,000.00	\$169,963.80
McConaughy Sewer A&E	\$200,000.00	\$0.00
McConaughy Interiors	\$500,000.00	\$0.00
Scattered Sites Multi-Units Capital Repairs	\$500,000.00	\$0.00
Fairmont Elevators	\$350,000.00	\$0.00
IQC A/E	\$250,000.00	\$217,331.00
IQC Environmental	\$150,000.00	\$232,340.35
IQC Energy Performance Contract	\$5,278,227.00	\$0.00
Brookside Phase 1 Bond Debt	\$1,332,087.50	\$1,332,087.50
Carryover from Prior Years:		
GPNA/RAD PNA	\$0.00	\$243,100.00
McQueeney Sidewalks-Site Improvements	\$0.00	\$36,312.00
Ruoppolo Balcony Terrace Wall Repairs (Façade)	\$0.00	\$48,083.00

Sources	Budget FY 2015	Preliminary Actual FY2015
Farnam Lead Paint Abatement	\$0.00	\$99,500.00
Crawford Elevator Upgrade	\$0.00	\$442,600.59
Work Order Hand Held Software	\$0.00	\$28,480.00
Waverly Townhouses Roofs & Siding	\$50,000.00	\$0.00
Total Capital Projects Contingency	\$10,760,915	\$4,322,259
Development Projects - MTW Initiatives, using CFP and MTW Funds		
<i>Farnam Courts/Fair Haven</i>	\$1,441,950	\$2,603,505
<i>Dwight</i>	\$958,000	\$3,457
<i>Brookside 1 Rental – Bond Repayment</i>	\$300,723	\$300,123
<i>Essex</i>	\$3,300,000	\$27,341
<i>Brookside 1 Homeownership</i>	\$917,189	\$554,039
<i>Rockview - I & II Rental</i>	\$2,212,848	\$1,401,581
<i>Crawford</i>	\$723,000	\$42,987
<i>Rockview HO</i>	\$438,750	\$0
<i>Ribicoff Cottages and Ext</i>	\$890,850	\$1,894,922
<i>Church Street</i>	\$0	\$64,620
<i>Westville Manor</i>	\$2,148,203	\$31,944
Total Development Projects	\$13,331,513	\$6,924,519
Total Uses	\$91,241,967	\$86,058,977
Surplus/(Deficit)	\$0	\$4,817,967

Planned vs. Actual Sources and Uses of Other HUD or Federal Funds

Sources	Planned FY2015	Actual FY2015
CSS Endowment Accounts	\$237,977,000	\$237,977
ROSS Grants	\$218,140	\$217,140
S8 Mod Rehab Program	\$634,960	\$674,698
S8 VASH Program	\$778,129	\$817,413
RHF Grants	\$1,332,088	\$1,332,088
Total Non-MTW Sources	\$2,875,187	\$3,530,000
Uses		

Sources	Planned FY2015	Actual FY2015
Supportive Housing (ROSS/CSS) - Salaries/Administrative	\$456,117	\$456,117
S8 Mod Rehab Program HAP Expenses	\$547,800	\$674,462
S8 VASH Program HAP Expenses	\$778,129	\$783,694
CFFP Bond Repayment	\$1,332,088	\$1,332,088
Total Non-MTW Uses	\$3,114,134	\$3,246,361

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Description	Approved Capital Fund Expenditures	Actual Capital Fund Expenditures	CFP	MTW
	During FY 2015	During FY 2015	TOTAL	TOTAL
Agency wide UFAS Compliance	\$100,000.00	\$0.00	\$0.00	\$0.00
Agency wide Vacancy Reduction	\$350,000.00	\$971,535.48	\$971,535.48	\$0.00
Waverly Townhouses Roofs & Siding	\$50,000.00	\$0.00	\$0.00	\$0.00
Waverly Townhouses Interiors (including floors)	\$250,000.00	\$0.00	\$0.00	\$0.00
McQueeney Kitchens, Baths, Interiors; Bldg Interior	\$750,000.00	\$393,834.54	\$36,713.00	\$357,121.54
Crawford RAD A&E	\$250,000.00	\$0.00	\$0.00	\$0.00
Essex RAD A&E	\$25,000.00	\$0.00	\$0.00	\$0.00
AMP Environmental Remediation	\$100,000.00	\$107,090.45	\$33,858.31	\$73,232.14
LEAP Roof Replacement	\$275,600.00	\$0.00	\$0.00	\$0.00
Motley Riser Upgrade Phase 2	\$50,000.00	\$169,963.80	\$169,963.80	\$0.00
McConaughy Sewer A&E	\$200,000.00	\$0.00	\$0.00	\$0.00
McConaughy Interiors	\$500,000.00	\$0.00	\$0.00	\$0.00
Scattered Sites Multi-Units Capital Repairs	\$500,000.00	\$0.00	\$0.00	\$0.00
Fairmont Elevators	\$350,000.00	\$0.00	\$0.00	\$0.00
IQC A/E	\$250,000.00	\$217,331.00	\$217,331.00	\$0.00
IQC Environmental	\$150,000.00	\$232,340.35	\$232,340.35	\$0.00
IQC Energy Performance Contract	\$5,278,227.00	\$0.00	\$0.00	\$0.00
Brookside Phase 1 Bond Debt	\$1,332,087.50	\$1,332,087.50	\$1,332,087.50	\$0.00
Carryover from Prior Years:				
GPNA/RAD PNA	\$0.00	\$243,100.00	\$243,100.00	\$0.00
McQueeney Sidewalks-Site Improvements	\$0.00	\$36,312.00	\$36,312.00	\$0.00
Ruoppolo Balcony Terrace Wall Repairs (Façade)	\$0.00	\$48,083.00	\$48,083.00	\$0.00
Farnam Lead Paint Abatement	\$0.00	\$99,500.00	\$99,500.00	\$0.00
Crawford Elevator Upgrade	\$0.00	\$442,600.59	\$442,600.59	\$0.00
Work Order Hand Held Software	\$0.00	\$28,480.00	\$28,480.00	\$0.00
Total	\$10,760,914.50	\$4,322,258.71	\$3,891,905.03	\$430,353.68

Net Surplus/ (Deficit)**\$0****\$0**

- Actual sources and uses of State or local funds

During FY2013, the HANH/ELM CITY COMMUNITIES was allocated 9% Low Income Housing Tax Credits for the Fair Haven and Ribicoff Cottages and Extension Development.

- Fair Haven (includes Chatham Street and Eastview Phase 2) - \$1,616,367 awarded – equity raised \$15,677,192
- Ribicoff Cottages - \$1,251,609 awarded - equity raised \$ 12,264,543

Planned vs. Actual Use of COCC

Sources	Planned FY2014	Actual FY2014
Management Fees	\$2,369,845	\$1,97,273
Bookkeeping Fees	\$485,591	\$473,108
Capital Administration	\$187,485	\$271,580
Developer Fee	\$1,967,250	\$2,360,086
Fee For Service - Legal, Vacancy Crew, Planning and Development	\$519,910	\$156,439
MTW transfer	\$3,763,926	\$3,519,830
Other Revenue	\$848,834	\$3,495,502
Total COCC/Glendower Sources	\$10,142,841	\$12,252,818
Uses		
Administrative and Operating Costs	\$8,633,232	\$7,386,770
Development Expenses	\$1,509,609	\$1,098,891
Total COCC/Glendower Uses	\$6,123,840	\$10,217,275
Net Surplus/ (Deficit)	\$0	\$3,767,157

The budget is balanced with a transfer of MTW funding. Some of the expenses in the budget are directly or indirectly tied to MTW initiatives and do not have a separate funding source. There are also costs that exceed our other funding sources and currently require a MTW transfer. In FY2014, HANH is identifying and working towards implementing additional funding sources to cover these costs, such as initiatives undertaken during FY2013 to provide property management services to other entities.

Deviations from Cost Allocation or Fee-For-Service Approach

New Haven Housing Authority follows the HUD guidelines for Fee-For-Service charges to the projects. All centrally provided maintenance and front-line administrative functions are preformed as fee-for-service, based on market prices for services actually received. We document the reasonableness of the rates charged and the services performed.

Activities Requiring MTW Single Fund Flexibility Only

Per HUD Feedback on HANH's FY2015 MTW Plan, the following "numbered" activities previously reported in Section IV of the MTW Report, have now been moved to Section V. Following these previously numbered activities are HANH's other MTW initiatives that require MTW single fund flexibility only.

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

Approved as MTW Initiative in FY2012 and implemented in FY2013. Moved to Section V in FY2014.

Initiative 1.9 was moved to Section V per HUD feedback.

Description

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

HANH conducted analysis of the feasibility of converting Annual Contribution Contract ("ACC") units to Project Based Units using criteria similar to that set forth under Section 22. HANH will increase its flexibility to allocate the number of units in a project from 75 percent as previously approved by HUD to 100 percent for the purpose of converting ACC units to PBV units under this initiative. The purpose is to provide cash flow to enable HANH to borrow private funds for the purpose of rehabilitating aging developments in HANH's portfolio. HANH also seeks to waive the requirement of one-year tenancy which will allow participants greater flexibility in housing options.

The mobility issue is addressed by allowing the tenants the option to vacate the development during rehabilitation with an option to return upon the completion of such rehabilitation and/or the convenience of using a Tenant Based Voucher to relocate permanently. HANH will provide all of the assistance and counseling as required under Section 18 or the Uniform Relocation Act, if applicable.

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

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

assistance up to 50 percent of the units in a project. This authorization has been essential with helping to promote increased housing opportunities, as well as, to leverage private funds.

- **Rationale:** Successful redevelopment of underperforming and underfunded public housing units often requires conversion of these units to project based units to cover the capital costs and on-going operating costs.
- **Expected impact:** Increasing the cap from 75 percent to 100 percent for mixed finance projects and to 50 percent in other cases, helps to increase the supply of affordable housing in areas that promote de-concentration of poverty, provide housing in areas that are accessible to employment, schools, shopping and transportation, and help promote investments in areas where other significant investments are being made. Increasing the cap will also increase the number of affordable units by increasing the amount of private debt a project can afford to pay. Additionally, this initiative will provide cash flow to enable HANH to borrow private funds for the purpose of rehabilitating aging developments in HANH's portfolio.

b) Impact Analysis

HUD-Required Metrics

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

Housing Choice				
HC#2: Units of Housing Preserved				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 units (frozen 2001 base)	2,529	2014: 2,447 units 2013: 2,613 units	No
Cost Effectiveness				
CE#4: MTW Leverage Ratios				
Unit of Measurement	Baseline*	Benchmark	Outcome	Benchmark Achieved?
Brookside I	1.7	2.0	2.3	Yes
Brookside II	1.7	2.0	7.5	Yes
Rockview I	1.7	2.0	4.6	Yes
122 Wilmot Road	1.7	2.0	3.2	Yes
Brookside Homeownership	1.7	2.0	1.6	No
Ribicoff I	1.7	2.0	6.1	Yes
Ribicoff II	1.7	2.0	1.2	No
Quinnipiac Terrace I	1.7	2.0	5.5	Yes
Quinnipiac Terrace II	1.7	2.0	8.6	Yes
Quinnipiac Terrace III	1.7	2.0	4.2	Yes
Eastview I	1.7	2.0	0.6	No
Rowe	1.7	2.0	4.5	Yes
*Baselines taken from Quinnipiac Terrace/Quinnipiac Terrace II				

Internal Metrics

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

Internal Metrics - Redevelopment				
Internal Metric #7: Crime rate				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Crime rate statistics, pre and post redevelopment	Quinnipiac major crimes in 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in 2005: 47.	10% reduction in number of major crimes.	Quinnipiac major crimes (FY 2014): 4 Quinnipiac major crimes in 2012: 3 West Rock (122 Wilmot, Brookside I and II) major crimes (FY 2014): 7 West Rock (122 Wilmot, Brookside I and II) major crimes in 2012: 25	Yes

Major Redevelopment Efforts at West Rock

(Including Previous Initiatives 1.13 and 1.15)

HANH received approval from HUD to dispose of the Brookside property in FY2010. HANH received approval for disposal of Rockview in FY2012. Per HUD direction, Initiatives 1.13 and 1.15 have been folded into this Section V umbrella description of West Rock redevelopment efforts since only single fund flexibility was required.

Description

This project includes Brookside Phase I and II, Homeownership, 122 Wilmot and Rockview Phase I and II. During FY2014, the Rockview Rental Phase I was completed and leased-up. The West Rock revitalization is a project to redevelop two obsolete Public Housing developments, Rockview Terrace and Brookside, and one additional parcel that previously contained a commercial building. The 491 Public Housing units and the retail building that have stood on the three sites will be replaced with a mix of Project-Based Section 8/LIHTC rental, Public Housing/LIHTC rental and affordable homeownership housing totaling 472 units, along with 8,987 square feet of retail space at the 122 Wilmot site. The rental units will consist of 392 units, 352 family townhouse units and 40 senior units in a mid-rise building. The homeownership component will consist of 38 units.

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

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

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

In FY2014, initiatives 1.13 – Creation of a Commercial Business Venture at 122 Wilmont Road and 1.15 (Development of Mixed Finance Development for Rockview Phase II Rental) were combined into this initiative which is now a closed activity. The following few paragraphs describe the additional activities formerly included in initiatives 1.13 and 1.15.

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.

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

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

The Authority has also undertaken an aggressive modernization program which includes the submission of an application for RAD funding for several sites including for Westville Manor. This initiative is part of the Westville RAD submission for the creation of replacement public housing units. The Authority intends to demolish 26 units total at Westville Manor and

will create these units at Rockview Phase II Rental. Rockview Phase II Rental will rely on the MTW authorizations for alternative TDCs and commingling of funds. This initiative started implementation in FY2014 and will continue to be explored during FY2015.

Impact Analysis

HUD-Required Metrics

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

Internal Metrics

Housing Choice				
HC #2: Units of Housing Preserved				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 (frozen 2001 base)	2,529	2,447 (2014) 2,613 (2013)	No
HC #6: Increase in Homeownership Opportunities				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households that purchased a home as a result of the Brookside Homeownership Program	0	By the end of the program, HANH expects that 20 first time homebuyers will be homeowners. The program has been in place for 2 years. By the end of Fiscal Year 2013, HANH expects that 12 units would be built.	Actual number of homeownership units built is 12 units and 2 units have been purchased in October 2014 (FY 2014). Actual number of homeownership units built is 10 units and 5 units have been purchased (FY 2013).	Yes

Project Modernization

Description

During FY2015, HANH/ECC spent \$430,000 on modernization projects that included \$357,000 for renovations, asbestos abatement and office space enhancements at McQueeney; and \$73,000 for hazardous material remediation and contractors related to vacancies. Agency wide, HANH/ECC is continuing to address long-term vacancies and modifying units for UFAS compliance. There is an ongoing effort to remediate items identified in the 2009 PNA at the various scattered sites.

HANH/ECC continued to supplement its own staffing efforts with abatement and renovation contractors to bring vacant units back on line. Work continued on kitchen, bathroom and interior upgrades in units and building upgrades at the McQueeney development. Contract work will continue into fiscal year 2016. ECC completed a front sidewalk improvement project with tree and bench replacement at McQueeney. ECC expended funds on the following activities: HVAC riser upgrades at C.B. Motley, Farnam lead paint abatement; completion of Crawford Manor elevator upgrade; Agency wide physical needs assessments; implementation of Agency wide work order software; architectural/engineering and environmental consulting services; and CFFP bond debt payment.

During FY2014 the modernization projects include envelope enhancements to Winslow-Celentano and Ruoppolo Manor. Agency wide, HANH is continuing to address long-term vacancies and modifying units for UFAS compliance. There is an ongoing effort to remediate items identified in the 2009 PNA at the various scattered sites.

HANH's ambitious modernization program is made possible by the funding flexibility of the MTW program and enables improvements at the following developments: Ruoppolo Manor, McQueeney Towers, Crawford Manor, Winslow-Celentano, McConaughy Terrace, Valentina Macri, Westville Manor and various vacancy reduction and UFAS compliance initiatives agency-wide. It also supports the architect and engineering services required by these activities and the abatement testing, remediation and monitoring associated costs.

During FY2014, modernization of the envelope enhancements at Winslow Celentano and Ruoppolo Manor were completed, as well as the replacement/repair of onsite sewers at Prescott Bush, McQueeney sidewalk project and C.B. Motley Riser Upgrade Phase 1. Initiatives continuing into 2015 include elevator upgrades at Crawford Manor, vacancy reduction agency wide, UFAS compliance agency wide and lead abatement at Farnam Courts.

During FY2012, the projects at McQueeney, Crawford Manor, Valentina Macri and Ruoppolo were completed. The UFAS compliance is on-going. During FY 2012 the project at Fulton Park was deferred due to capacity issues. Vacancy Reduction initiatives have allowed HANH to continue to show improvement from the baseline FY2008 vacancy rate of 10%. HANH closed FY2013 with a vacancy rate of 7%.

Completion of long term capital improvement projects resulted in lease up of long term vacant units at Ruoppolo Manor, Robert T. Wolfe, and Westville Manor in FY2013.

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

Impact Analysis

HUD-Required Metrics

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

Internal Metrics

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

Internal Metrics - Redevelopment				
Internal Metric #2: REAC Scores				
REAC scores	REAC score of 80 for HANH's developments (those not reflecting local or increased TDCs)	10% increase. REAC scores would reach 88	Quinniapac Terrace, 89 (2012) 98 (2013) Eastview Terrace, 95 (2012). McConaughy Terrace 70 (2009) 58 (2010) 78 (2011) 82 (2012). McQueeney 54 (2009) 85 (2010) 59 (2011) 64 (2012). Rbicoff Cottages -EXT 91 (2009) 68 (2010) 82 (2011) 82 (2012). Robert Wolfe 51 (2009) 80 (2010) 49 (2011) 82 (2012). Ruoppolo/Fairmont 56 (2009) 61 (2010) 65 (2011) 79 (2012) 86 (2013). Westville Manor 90 (2009) 35 (2010) 51 (2011) 47 (2012). Winslow Celentano 53 (2009) 72 (2010) 74 (2011) 71 (2012) 84 (2013) Crawford 88 (2013).	Yes
Internal Metric #3: Average work order				
Work orders per property	TBD	Brookside Phase I: 1,000 (10 work/yr) Brookside Phase II: 1,000 QT1 : 560 QT2 : 580 QT3 : 170 Eastview 1020	Brookside Phase I and Brookside Phase II: 1,31 (FY 203) 1,562 includes Rockview (FY 2014) QT total: 1,351 (FY 2014) QT1 : 104 (FY 2013) QT2 : 273 (FY 2013) QT3 : 289 (FY 2013) Eastview : 284 (FY 2014) Eastview : 287 (FY 2013)	Yes
Internal Metric #6: Utility expenses per unit				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Reduction of utility expenses per unit, pre and post redevelopment - Electric	Valley Waverly \$10,800 per units in 2012.	5% reduction. Electric utility expenses would reach approximately \$10,300 per unit.	Eastview Terrace \$9,863 per units Quinniapac Terrace \$5,685 per unit in Fiscal Year 2012	Yes
Assumption: HANH calculated the savings by comparing utility cost at Eastview Terrace, and Quinniapac Terrace after redevelopment was completed against Valley Waverly, which is not a redeveloped building. HANH has requested fiscal year 2014 data from the public utility to update this metric.				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Reduction of utility expenses per unit, pre and post redevelopment - gas	Valley Waverly \$730 per units in 2012.	5% reduction. Gas utility expenses would reach approximately \$790 per unit.	Eastview Terrace \$333 per units Quinniapac Terrace \$415 in Fiscal Year 2012	Yes
Assumption: HANH calculated the savings by comparing utility cost at Eastview Terrace, and Quinniapac Terrace after redevelopment was completed against Valley Waverly, which is not a redeveloped building. HANH has requested fiscal year 2014 data from the public utility to update this metric.				
Internal Metric #7: Crime rate				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Crime rate statistics, pre and post redevelopment	Quinniapac major crimes in 2003: 13. West Rock (122 Wilmot, Brookside I and II) major crimes in 2005: 47.	10% reduction in number of major crimes.	Quinniapac major crimes (FY 2014): 4 Quinniapac major crimes in 2012: 3 West Rock (122 Wilmot, Brookside I and II) major crimes (FY 2014): 7 West Rock (122 Wilmot, Brookside I and II) major crimes in 2012: 25	Yes
Internal Metric #8: Occupancy				
Occupancy	Brookside Phase I: 85% (2001) Brookside Phase II: 0 Quinniapac I: 83% (2001) Quinniapac II: 0 Quinniapac III: 0 Rowe: 76% (2008)	95%	Brookside Phase I: 100% (FY 2013), 97% (FY 2014) Brookside Phase II: 100% (FY 2013), 98% (FY 2014) Quinniapac I: 96% (FY 2013) Quinniapac II: 97% (FY 2013) Quinniapac III: 97 (FY 2013) Quinniapac total: 98.5 % (FY 2014) Rowe: 99% (FY 2013), 100% (FY 2014)	Yes

Vacancy Reduction

Implemented in FY2008.

Description

HANH will continue to show improvement from the baseline FY2008 vacancy rate of 10%. Efforts continued in FY2015.

Impact Analysis

HUD-Required Metrics

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

<i>Housing Choice</i>				
<i>HC #2: Units of Housing Preserved</i>				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of housing units preserved for households at or below 80% AMI that would otherwise not be available	2,965 (frozen 2001 base)	2,529	2,447 (2014) 2,613 (2013)	No

Internal Metrics

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

Resident Owned Business Development

Implemented in FY2011.

Description

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

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

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

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

The ROBs will operate in the construction trades as well as other areas.

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

Impact Analysis

HUD-Required Metrics

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

Self Sufficiency				
SS #1: Increase in Household Income				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Average earned income of households or individuals affected by this policy in dollars	\$38,785 (2014)	\$24,850	\$12,880 (2015)	No
Assumption: The benchmark represents a 30% AMI published by HUD for a household of 4 individuals living in New Haven, CT.				
SS #5: Households Assisted by Services that Increase Self Sufficiency				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households receiving consultation and/or technical assistance	7 (2012)	10	- 2015: 3 - 2014: 5 - 2013: 5	No
Number of households receiving training	7 (2012)	10	- 2015: 3 - 2014: 5 - 2013: 5	No
Assumption: Training includes topics such as cost estimating, owning a business, business planning, financial management, contracts and proposals, etc				

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

Internal Metrics

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

Internal Metrics: Resident Owned Businesses				
Enrollment				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of individuals or households participating in the program	0 (2010)	5	- 2015: 3 - 2014: 5 - 2013: 5 - 2012: 7 - 2011: 13	No
Loans amounts of dollars transferred				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Dollar amount of loans provided by the program (incremental)	0 (2010)	\$25,000	- 2015: \$0 - 2014: \$0 - 2013: \$74,423 - 2012: \$0 - 2011: \$ 33,093	No
Amount of Loans outstanding				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Dollar value of loans outstanding (not to exceed)	\$91,389 (2012)	\$50,000	- 2015: \$7,382 - 2014: \$10,541 - 2013: \$29,959	Yes
Number of Loans				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of loans outstanding	5 (2012)	2	- 2015: 1 - 2014: 1 - 2013: 2	No
Amount under contract with HANH				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Amount under contract with HANH (\$ revenue)	\$2,250,000 (2012)	\$2,925,000	- 2015: \$0 - 2014: n/a - 2013: \$7,800,000	No

SEHOP Capital Improvement Program

Implemented 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.

Impact Analysis

HUD-Required Metrics

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

SEHOP Home Improvement				
HC #6: Increase in Homeownership Opportunities				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households that receive the capital improvement allowance to make capital improvements to their homes	0 (2009)	TBD	- 2015: 29 - 2014: 22 - 2013: 22 - 2012: 23 - 2011: n/a - 2010: n/a	Although 29 households are receiving the allowance, only one received a disbursement in 2015 for capital improvements (approx. \$4K*)
<i>*note: allowance comes from HANH's general fund</i>				

Internal Metrics

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

Prison/Community Reentry

Implemented in FY2010.

Description

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

HANH's reentry program activities include the following elements:

When the Reentry Program was initiated in June 2010, HANH had established a preference for a maximum of 12 Low Income Public Housing units for individuals returning to the community from prison. By utilizing existing resources, gaining local government support, and leveraging resources, HANH is able to directly provide many resources, or connect residents to existing services. In particular, HANH provides job training programming that will assist in the employment processes, and case management. Through community partnerships, the housing authority is able to connect those reentering with primary care services, additional job readiness programs, dental services, mental health treatment, peer recovery support services, and more. The program has even had successes in higher education due to a partnership with the local Gateway Community College. HANH expects these individuals to be engaged in community supportive services and job skills training. Participants receive case management services that assist them in identifying needs and coordinating referrals and services. Individuals participating in the program will be lease compliant i.e. pay rent on time and will not be a nuisance to other residents. The program's maximum capacity is 16 housing units.

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

Impact Analysis

HUD-Required Metrics

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

Self Sufficiency

SS #3: Increase in Positive Outcomes in Employment Status

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Percentage of individuals employed	0 (2010)	50% would be employed	- 2015: 0/5 - 2014: 1/2 (50%) - 2013: 0/2	No
Percentage of individuals remained employed for more than six months	0 (2010)	50% will be employed for more than six months	- 2015: 0/5 - 2014: 1/2 (50%) - 2013: 0/2	No

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

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

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Percentage of individuals referred for services	0 (2010)	All individuals will be enrolled in Family Support Service or FSS Program	- 2015: 5/5 (100%) - 2014: 2/2 (100%) - 2013: 2/2 (100%)	Yes

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

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Percentage of individuals compliant with plan	0 (2010)	50% will be compliant with Service Plan	- 2015: 5/5 (100%) - 2014: 2/2 (100%) - 2013: 1/2 (50%)	Yes

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

SS #8: Households Transitioned to Self Sufficiency

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Graduation from the program	0 (2010)	50% will Graduate the program	- 2015: 0/5 - 2014: 1/2 (50%) - 2013: 1/2 (50%)	No

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

There is a maximum capacity of 16 units for the Community Re-entry Pilot Program to house participants at any point of time. Since the beginning of the program HANH has interviewed 113 applicants for the Reentry Program, 44 have been deemed eligible and 19 individuals have enrolled. Since the beginning of the program 3 individual have graduated from the program and 6 individuals have been terminated from the program.

Internal Metrics

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

Internal Metrics

Enrollment

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Percentage of individuals leased in permanent housing	0 (2010)	100% of enrolled individuals	- 2015: n/a	Yes

Recidivism

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Percentage of recidivism (returned to prison)	0 (2010)	50% would be re-incarcerated	- 2015: 0/5 - 2014: 2/2 (100%) - 2013: 1/2 (50%)	Yes

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

Notes

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

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

Resident Services for Elderly/Disabled

Implemented in FY2003 and extended to an additional three sites in FY2007.

Description

HANH offers a full array of self sufficiency initiatives that require flexibility in the use of HANH's dollars to fund staff and contractual costs associated with mental health and substance abuse services provided on site in HANH's mixed population developments. Mental Health and Substance Abuse services are provided at four of our Elderly and Disabled buildings. MTW money is used to fund contractual costs for intensive case management services at these developments.

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

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

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

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

Impact Analysis

HUD-Required Metrics

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

Self Sufficiency

SS #3: Increase in Positive Outcomes in Employment Status

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Currently employed full-time and part-time	23 employed (2012)	22	- 2015: 3 employed - 2014: 6 employed - 2013: 26 employed	No. HANH will revisit the benchmark for this metric in 2016

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

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of individuals enrolled	102 (2012)	100	- 2015: 92 - 2014: 98 - 2013: 105	No
Number of outreach efforts conducted	62 (2013)	85	- 2015: 227 - 2014: 126	Yes
Number of group meetings held	128 (2013)	85	- 2015: 151 - 2014: 118	Yes

SS #8: Households Transitioned to Self Sufficiency

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of households transitioned to self sufficiency*	0 (2012)	TBD	- 2015: 2 - 2014: 0 - 2013: 0	HANH will establish a benchmark in 2016

*HANH defines self-sufficiency in the context of the elderly disabled program as an individual's ability to live independently and be lease compliant without case management services.

Note: In FY2015, the number of outreach efforts conducted on a monthly basis increased by 80% and the number of group meetings held on a monthly basis increased by 28% compared to FY2014. Two households transitioned to self-sufficiency, defined as being able to live independently and be lease compliant without case management. .

Internal Metrics

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

Internal Metrics

Compliant with Action Plan

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of individuals compliant with Action Plan*	83 (2013)	80	- 2015: 80 - 2014: 95	Yes

*Action Plan is a document that contains goals - it is prepared by a case manager after interviewing a resident. Compliance with the action plan is evaluated by the case manager.

Non compliant with Action Plan

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of individuals non compliant with Action Plan	22 (2013)	25	- 2015: 4 - 2014: 3	Yes. HANH will reevaluate this benchmark in 2016

Following activities that only required MTW single fund flexibility have been placed on hold:

LIPH Income Targeting: Marketing Initiatives for Higher Income Eligible Families

This initiative was first approved in FY2008. Due to HANH's focus on redevelopment activities, this initiative was placed on hold in FY2012 and continued to be deferred in FY2014.

Actions taken towards reactivating the activity

No actions were taken towards reactivating this activity in FY2014.

Fulton Park Modernization

This initiative was approved in FY2011 and placed on hold in FY2012 and continued to be deferred in FY2014. 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.

Actions taken towards reactivating the activity

The Fulton Park project continued to be deferred in FY2014 since HANH has discovered some significant structural issues in the property. HANH is in the process of further studying Fulton Park's structural integrity. Once this evaluation is completed, HANH can continue with planning.

Following activities that required single fund MTW flexibility only have been closed:

Cap on Project-Based Units in a Project

Implemented FY2010. This initiative was closed out in FY2012 and 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".

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.

Final Outcome and Lessons Learned

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

Outcomes by Year

<i>Internal Metrics: Prison/Community Re-entry</i>				
<i>Enrollment</i>				
Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Number of units to be created	New Rowe 32 units QT III: 16 units Brookside Phase 1: 50 units Dwight Cooperative: 40 units	New Rowe 0 unit QT III: 16 units Brookside Phase 1: under construction Dwight Cooperative: 0 unit	HANH participation in the Dwight St. Cooperative program was not implemented therefore the baseline and benchmark measures no longer apply to that development. All other benchmarks were met or are on target to be met	Yes
% PBV	New Rowe 31% QT III: 48% Brookside Phase 1: 50% Dwight Cooperative: 50%	New Rowe 0 % QT III: 48% Brookside Phase 1: under construction Dwight Cooperative: 0 %	HANH participation in the Dwight St. Cooperative program was not implemented therefore the baseline and benchmark measures no longer apply to that development. All other benchmarks were met or are on target to be met	Yes

This information was copied from the MTW 2011 Report

Single-Fund flexibility- MTW Fundability- Planned Sources and Expenditures by Development

Planned HANH/ELM CITY COMMUNITIES and Non-HANH/ELM CITY COMMUNITIES Sources and Uses for Non-Operating/HAP Activities by Development

PLAN FY2015	HANH SOURCES						NON-HANH SOURCES					
	Project Total	ROSS	Capital Grants	Developer Fees	Other	MTW	State Tax Credit	City of New Haven	Tax Credit Equity	DECD	Bank Loan	Other
<i>Community and Economic Development</i>												
Supportive Housing Salaries/Administrative	\$1,944,745	\$218,140			\$237,977	\$1,488,628						
Family and Youth Coordinator	\$78,400					\$78,400						
Eastview Terrace Youth Services	\$201,754					\$201,754						
McQueeney Supportive Services	\$211,497					\$211,497						
Crawford Manor Supportive Services	\$280,812					\$280,812						
Ruoppolo Manor	\$175,192					\$175,192						
Robert T. Wolfe	\$186,607					\$186,607						
William T. Rowe	\$78,000					\$78,000						
Winston Celentano	\$23,618					\$23,618						
Fairmont	\$66,501					\$66,501						
Total CED	\$3,247,126	\$218,140	\$0	\$0	\$237,977	\$2,791,009	\$0	\$0	\$0	\$0	\$0	\$0
<i>Capital Projects</i>												
Agency wide UFAS Compliance	\$100,000		\$100,000									
Agency wide Vacancy Reduction	\$350,000		\$350,000									
Waverly Townhouses Roofs & Siding	\$50,000		\$50,000									
Waverly Townhouses Interiors (including floors)	\$250,000		\$250,000									
McQueeney Kitchens, Baths, Interiors; Bldg Interior	\$750,000		\$392,879			\$357,121						
Crawford RAD A&E	\$250,000		\$250,000									

Essex RAD A&E	\$25,000		\$25,000									
AMP Environmental Remediation	\$100,000		\$33,858			\$73,232						
LEAP Roof Replacement	\$275,600		\$275,600									
Motley Riser Upgrade Phase 2	\$50,000		\$50,000									
McConaughy Sewer A&E	\$200,000		\$200,000									
McConaughy Interiors	\$500,000		\$500,000									
Scattered Sites Multi-Units Capital Repairs	500000		500000									
Fairmont Elevators	\$350,000		\$350,000									
IQC A/E	\$250,000		\$250,000									
IQC Environmental	\$150,000		\$150,000									
IQC Energy Performance Contract	\$5,278,227		\$5,278,227									
Brookside Phase 1 Bond Debt	\$1,332,088		\$1,332,088									
Carryover from Prior Years:												
GPNA/RAD PNA	\$0		\$0									
McQueeney Sidewalks-Site Improvements	\$0		\$0									
Ruoppolo Balcony Terrace Wall Repairs (Façade)	\$0		\$0									
Farnam Lead Paint Abatement	\$0		\$0									
Crawford Elevator Upgrade	\$0		\$0									
Work Order Hand Held Software	\$0		\$0									
Total Capital Programs	\$10,760,915	\$0	\$10,337,652	\$0	\$0	\$430,353	\$0	\$0	\$0	\$0	\$0	\$0
Development												
West Rock Development expenses	\$250,000					\$250,000						
Farnam Courts	\$1,126,309					\$1,126,309						
Fair Haven	\$975,000					\$975,000						
Brookside 1 Rental CFFP Bond	\$1,332,088		\$1,332,088									
Essex	\$1,500					\$1,500						

Ribicoff Cottages and Extension	\$18,090,000					\$5,150,000		\$1,700,000	\$1,990,000		\$9,250,000	
Brookside 2 Homeownership	\$0					\$0						
Rockview - I & II Rental	\$315,000					\$315,000						
Crawford	\$7,500					\$7,500						
Rockview HO	\$0					\$0						
Westville Manor	\$7,500					\$7,500						
Total Development Projects	\$22,104,897	\$0	\$1,332,088	\$0	\$0	\$7,832,809	\$0	\$0	\$2,794,452	\$0	\$0	\$0
COCC Operating Deficit Funding	\$2,026,094					\$2,026,094						
Total COCC Operating Deficit Funding	\$2,026,094	\$0	\$0	\$0	\$0	\$2,026,094	\$0	\$0	\$0	\$0	\$0	\$0
Total Sources	\$38,139,032	\$218,140	\$11,669,740	\$0	\$237,977	\$13,080,265	\$0	\$0	\$2,794,452	\$0	\$0	\$0

ACTUAL FY2015	HANH SOURCES						NON-HANH SOURCES					
	Project Total	ROSS	Capital Grants	Developer Fees	Other	MTW	State Tax Credit	City of New Haven	Tax Credit Equity	DEC D	Bank Loan	Other
<i>Community and Economic Development</i>												
Supportive Housing Salaries/Administrative	\$1,827,479	\$218,140			\$237,977	\$1,371,362						
Family and Youth Coordinator	\$78,400					\$78,400						
Eastview terrace Youth Services	\$120,388					\$120,388						
McQueeney Supportive Services	\$219,001					\$219,001						
Crawford Manor Supportive Services	\$256,556					\$256,556						
Ruopplo Manor	\$97,224					\$97,224						
Robert T. Wolfe	\$166,308					\$166,308						
William T. Rowe	\$237,844					\$237,844						
Winslow Celentano	\$11,306					\$11,306						
Fairmont	\$37,476					\$37,476						

Total CED	\$3,051,982	\$218,140	\$0	\$0	\$237,977	\$2,595,865	\$0	\$0	\$0	\$0	\$0	\$0
<i>Capital Projects</i>												
Agency wide UFAS Compliance	\$0.00		\$0.00									
Agency wide Vacancy Reduction	\$971,535.48		\$971,535.48									
Waverly Townhouses Roofs & Siding	\$0.00		\$0.00									
Waverly Townhouses Interiors (including floors)	\$0.00		\$0.00									
McQueeney Kitchens, Baths, Interiors; Bldg Interior	\$393,834.54		\$36,713.00			\$357,121.00						
Crawford RAD A&E	\$0.00		\$0.00									
Essex RAD A&E	\$0.00		\$0.00									
AMP Environmental Remediation	\$107,090.45		\$33,858.31			\$73,232.00						
LEAP Roof Replacement	\$0.00		\$0.00									
Motley Riser Upgrade Phase 2	\$169,963.80		\$169,963.80									
McConaughy Sewer A&E	\$0.00		\$0.00									
McConaughy Interiors	\$0.00		\$0.00									
Scattered Sites Multi-Units Capital Repairs	\$0.00		\$0.00									
Fairmont Elevators	\$0.00		\$0.00									
IQC A/E	\$217,331.00		\$217,331.00									
IQC Environmental	\$232,340.35		\$232,340.35									
IQC Energy Performance Contract	\$0.00		\$0.00									
Brookside Phase 1 Bond Debt	\$1,332,087.50		\$1,332,087.50									
Carryover from Prior Years:												
GPNA/RAD PNA	\$243,100.00		\$243,100.00									
McQueeney Sidewalks-Site	\$36,312.00		\$36,312.00									

Improvements												
Ruoppolo Balcony Terrace Wall Repairs (Façade)	\$48,083.00		\$48,083.00									
Farnam Lead Paint Abatement	\$99,500.00		\$99,500.00									
Crawford Elevator Upgrade	\$442,600.59		\$442,600.59									
Work Order Hand Held Software	\$28,480.00		\$28,480.00									
Total Capital Programs	\$4,322,259	\$0	\$3,891,905	\$0	\$0	\$430,353	\$0	\$0	\$0	\$0	\$0	\$0
Development												
West Rock Development expenses	\$254,099					\$254,099						
Farnam Courts	\$1,126,309					\$1,126,309						
Fair Haven	\$961,622					\$961,622						
Brookside 1 Rental CFFP Bond	\$1,332,088		\$1,332,088									
Essex	\$1,424					\$1,424						
Ribicoff Cottages and Extension	\$18,064,479					\$5,121,736	\$1,693,773	\$1,991,501		\$9,257,469		
Brookside 2 Homeownership	\$0					\$0						
Rockview - I & II Rental	\$312,669					\$312,669						
Crawford	\$6,311					\$6,311						
Rockview HO	\$0					\$0						
Westville Manor	\$5,133					\$5,133						

Total Development Projects	\$22,064,134	\$0	\$1,332,088	\$0	\$0	\$7,789,303	\$0	\$0	\$2,794,452	\$0	\$0	\$0
COCC Operating Deficit Funding	\$2,148,468					\$2,148,468						
Total COCC Operating Deficit Funding	\$2,148,468	\$0	\$0	\$0	\$0	\$2,148,468	\$0	\$0	\$0	\$0	\$0	\$0
Total Sources	\$31,586,843	\$218,140	\$5,223,993	\$0	\$237,977	\$12,963,989	\$0	\$0	\$2,794,452	\$0	\$0	\$0

VI. Administrative

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

General description of any HUD reviews, audits or physical inspection issues that require the agency to take action to address the issue.

Voluntary Compliance Agreement – Fair Housing and Equal Opportunity

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

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

Voluntary Compliance Agreement – Americans with Disabilities Act

HANH executed the Voluntary Compliance Agreement (VCA) regarding reasonable accommodation and the Americans with Disabilities Act in January 2013 and has amended the work flow to include a notification directly to the requesting party that the agency did not receive the requested information and will wait one month. If the requested information is not received after one month's time the agency may determine that it will not take any further action on the request and inform the requestor. This is ongoing during FY2014.

B. Results of Agency Directed Evaluations of Demonstration

HANH has contracted with an outside evaluator to assess HANH's MTW program and the effectiveness of MTW initiatives.

Seasholtz Consulting, Inc.

C. Certification that the Agency has met the three Statutory Requirements
Initial Incomes of Families Assisted by MTW

At 93.21%, HANH has met the requirement that 75% of families assisted be below 50% of AMI at admission.

Fiscal Year	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017
Total number of newly admitted families assisted	344	329	344	425	433	447	238	402	560		
Number of families with incomes below 50% of area median	332	310	322	387	394	410	229	372	522		
Percentage of families with incomes below 50% of area median	96.50%	94.22%	93.60%	91.06%	90.99%	91.72%	96.22%	92.54%	93.21%		

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

Baseline number of families to be served (total number of families) ¹	4,101
Total number of families served this fiscal year (HCV: 3,410; LIPH: 2,181)	5,591
Numerical Difference	+1,490
Percentage Difference	+ 36.33%

HANH has served considerably more families since achieving MTW status primarily through its modernization and redevelopment efforts made possible by MTW flexibility. During FY15 HANH served 36.33% more families than at baseline.

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

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%	24%	20%	13%	6%	5%	100%
Number of families served by family size this fiscal year	2,186	1,292	1,033	609	292	179	5,591
Percentage of families served by family sizes this fiscal year	39%	23%	18%	11%	5%	3%	100%
Percentage Difference	7%	-1%	-2%	2%	-1%	-2%	0

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

Agreement
Year
BASELINE

FY2001

1,970

2,857

0

4,827

1,970

0

0

2,857

0

0

4,827

100%

FY02

FY03

FY04

FY05

FY06

FY07

FY08

2,086

1,895

1,737

1,640

1,553

1,531

2,359

2,889

2,994

3,176

3,454

3,312

3,106

3,030

0

0

0

0

0

0

0

4,975

4,889

4,913

5,094

4,865

4,637

5,389

2,086

1,895

1,737

1,640

1,553

1,531

2,359

116

0

0

0

0

0

389

0

75

233

330

417

555

0

2,889

2,994

3,176

3,454

3,312

3,106

3,030

33

137

319

597

455

249

173

0

0

0

0

0

0

0

4,975

4,889

4,913

5,094

4,865

4,637

5,389

103%

101%

102%

106%

101%

96%

111%

Agreement
Year
BASELINE

FY2001

1,970

2,857

0

FY09

FY10

FY11

FY12

FY13

FY14

1,898

2,017

2,294

2,161

2,590

2,141

3,042

3,075

3,089

2,975

3,323

3,338

0

0

0

0

0

0

NUMERATOR - Families Served Total	4,827	4,940	5,092	5,383	5,136	5,913	5,479
Number of Families (Public Housing)	1,970	1,898	2,017	2,294	2,161	2,590	2,141
Incremental Increase to Baseline	0	0	47	324	191	620	171
Incremental Decrease to Baseline	0	72	0	0	0	0	0
Number of Families (Vouchers)	2,857	3,042	3,075	3,089	2,975	3,323	3,338
Incremental Increase to Baseline	0	185	218	232	118	466	481
Incremental Decrease to Baseline	0	0	0	0	0	0	0
Total	4,827	4,940	5,092	5,383	5,136	5,913	5,479
% TOTAL	100%	102%	105%	111%	106%	122%	113%

Housing Authority of New Haven (CT004)	FY2001	FY15	FY16	FY17	FY18	FY19	FY20
Families Served through MTW Public Housing	1,970	3,410	0	0	0	0	0
Families Served through MTW Vouchers	2,857	2,181	0	0	0	0	0
Other Families Served through MTW	0	0	0	0	0	0	0
NUMERATOR - Families Served Total	4,827	5,591	0	0	0	0	0
Number of Families (Public Housing)	1,970	2,181	0	0	0	0	0
Incremental Increase to Baseline	0	211	0	0	0	0	0
Incremental Decrease to Baseline							
Number of Families (Vouchers)	2,857	3,410	0	0	0	0	0
Incremental Increase to Baseline	0	553	0	0	0	0	0
Incremental Decrease to Baseline							
Total	4,827	5,591	0	0	0	0	0
% TOTAL	100%	115%	0	0	0	0	0

Data Source Families Served

Source	Year	Amount
September 2001 - Vouchers - Pulled from page 184 of HANH's FY2002 Annual MTW Report.	FY2001	2,857
September 2001 - Public Housing - Pulled from last page of HANH's FY2002 Annual MTW Report.	FY2001	1,970
FY2002 - Vouchers - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2002	2,889
FY2002 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2002	2,086
FY2003 - Vouchers - Pulled from September 2003 VMS Report that includes: 2,946 MTW and 48 All Other.	FY2003	2,994
FY2003 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2003	1,895
FY2004 - Vouchers - Pulled from September 2004 VMS Report that includes: 3,176 MTW.	FY2004	3,176
FY2004 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2004	1,737
FY2005 - Vouchers - Pulled from September 2005 VMS Report that includes: 3,333 MTW and 121 HOPE VI.	FY2005	3,454
FY2005 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2005	1,640
FY2006 - Vouchers - Pulled from September 2006 VMS Report that includes: 3,306 MTW, 1 All Other and 5 Tenant Protection.	FY2006	3,312
FY2006 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2006	1,553
FY2007 - Vouchers - Pulled from September 2007 VMS Report that includes: 3,106 MTW.	FY2007	3,106
FY2007 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2007	1,531
FY2008 - Vouchers - Pulled from September 2008 VMS Report that includes: 3,030 MTW.	FY2008	3,030
FY2008 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2008	2,356
FY2009 - Vouchers - Pulled from September 2009 VMS Report that includes: 3,042 MTW.	FY2009	3,042
FY2009 - Public Housing - Pulled from HANH FY2009 Annual MTW Report (page 22).	FY2009	1,898
FY2010 - Vouchers - Pulled from September 2010 VMS Report that includes: 19 Homeownership, 2,873 MTW, 168 Ports and 15 Tenant Protection.	FY2010	3,075
FY2010 - Public Housing - Pulled from HANH FY2010 Annual MTW Report (page 11).	FY2010	2,017
FY2011 - Vouchers - Unit month average pulled from VMS (see third tab).	FY2011	3,089
FY2011 - Public Housing - Pulled from Development Detail Report for 09.27.11. Includes 178 units approved for demo/dispo. This is out of 2,542 (occupancy rate of 90%).	FY2011	2,294
FY2012 - Vouchers - Pulled from HANH's FY2012 Annual MTW Plan. (Page 8)	FY2012	5,119
FY2012 - Public Housing - Pulled HANH's FY2012 Annual MTW Plan. (Page 8)	FY2012	2,094
FY2013 - Vouchers - Pulled from HANH's FY2013 Annual MTW Plan. (Page 8)	FY2013	3,025
FY2013 - Public Housing - Pulled HANH's FY2013 Annual MTW Plan. (Page 8)	FY2013	2,094
FY2014 - Public Housing - Pulled from Elite dated 11/5/2014	FY2014	2,141
FY2014 - Vouchers - Pulled from Elite dated 11/5/2014	FY2014	3,338
FY2015- Public Housing- Pulled from Elite dated 11/24/2015	FY 2015	3,410
FY2015- Vouchers- Pulled from Elite dated 11/24/2015	FY 2015	2181

MTW Start Date: 09.28.01
HANH Fiscal Year: 10/01-09/30

Incremental Increases/Decreases to Baseline

Reason for Change	Program	Year of Change	Change Amount
Voucher Baseline - HANH gives "Section 8 Participant Demographics" on page 184 of their FY2002 Annual MTW Report. This number is given as of the beginning of FY2002 (which would be October of 2001). This is very close to when HANH signed their MTW Agreement. Best number available.	HCV	FY2001	2,857
Public Housing Baseline - HANH gives public housing households served as 1,146 (families) and 824 (elderly) at the beginning of FY2002 (which would be October of 2001). This is very close to when HANH signed their MTW Agreement. Best number available.	PH	FY2001	1,970
Public Housing - 154 actual units demo/diso in 2002. Pulled from Demo/diso 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/diso in 2004. Pulled from Demo/diso 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/diso in 2005. Pulled from Demo/diso 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/diso in 2007. Pulled from Demo/diso 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/diso in 2008. Pulled from Demo/diso 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/diso in 2009. Pulled from Demo/diso 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/diso report for FY2010 was updated to show one actual unit demolished.	PH	FY2011	-1
Vouchers	HCV	FY2012	0
Public Housing	PH	FY2012	0
Vouchers	HCV	FY2013	0
Public Housing	PH	FY2013	0
Vouchers due to PBV vouchers	HCV	FY2014	+554
Public Housing	PH	FY2014	+1,418

Certification 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	
Certification 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*	
<p>Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the Annual Moving to Work Plan for the PHA fiscal year beginning _____, hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:</p> <ol style="list-style-type: none"> 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

Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.

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

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

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

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

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

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

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

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

Housing Authority
PHA Name New Haven

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)

Erik Clemons
Name of Authorized Official

Chairman
Title

[Signature]
Signature

12/17/15
Date

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

Appendix A

DOCUMENTATION OF PUBLIC HEARING AND PUBLIC COMMENT PERIOD

To: Board of Commissioners

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

Date: December 15, 2015

RE: **Approval of MTW Annual Report for FY 2015**

ACTION: Recommend that the Board of Commissioners adopt Resolution Number 12-158/15-R

TIMING: Immediately.

DISCUSSION: As a Moving to Work (MTW) Agency, in lieu of the five year and annual plans required of other agencies, HANH is required to submit to HUD an annual MTW Plan and an Annual MTW Report. The MTW Annual Report is prepared at the end of each fiscal year. It reports HANH's progress and challenges in achieving the objectives established in the Annual Plan for the year. The MTW Annual Report must be submitted to HUD within 90 days after the end of the fiscal year (by December 31st).

Attached is a copy of HANH's proposed MTW Annual Report for Fiscal Year 2015.

This resolution requests the Board's authorization for the Executive Director to submit to the U.S. Department of Housing and Urban Development (HUD) the MTW Annual Report for FY 2015, and all required and related certifications, documents and HUD forms.

STAFF: Leasley Negron, Performance Auditor

Housing Authority of the City of New Haven

Resolution Number 12-158/15-R

**APPROVING THE SUBMISSION OF HANH'S
MTW REPORT FOR FY 2015**

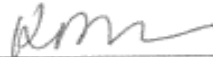
Whereas, the U.S. Department of Housing and Urban Development (HUD) has granted Moving to Work status to HANH; and

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

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

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD OF COMMISSIONERS OF THE HOUSING AUTHORITY OF THE CITY OF NEW HAVEN that the Board Authorizes the Executive Director to take such actions and execute such documents as necessary to finalize and submit to the U.S. Department of Housing and Urban Development HANH's MTW Annual Report for Fiscal Year 2015, including all required certifications, documentation, and HUD forms, of which this Board Resolution is a part.

I hereby certify that the above resolution was adopted by a majority of the Commissioners present at a meeting duly called at which a quorum was present, on December 15, 2015.



Karen DuBois-Walton, Ph. D.
Secretary/Executive Director
12/15/15

Date

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

By: 

Rolan Joni Young Smith, Esq.
A Senior Partner

Housing Authority of New Haven
Public Hearing – 2015 Moving to Work Annual Report
Friday, November 20, 2015 @ 4:00 P.M.
360 Orange Street, New Haven, CT 06511

Those present included:

Leasley Negron, HANH
Maza Rey, HANH
Tim Regan, HANH
Jessica Hernandez-Perez, HANH
Victoria Rodriguez, HANH
Gary Hogan, HANH
Catherine Hawthorne, HANH

The public hearing was called to order at 4:06 p.m. by Leasley Negron.

Ms. Negron 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 2015 ANNUAL REPORT**

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

Pursuant to said Section VI B, the Authority will conduct a public hearing on **Friday, November 20, 2015 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 report will be available for review starting **October 17, 2015** 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 Report, Attn: Leasley Negron, P.O. Box 1912, New Haven, CT 06509-1912. Any individuals requiring a reasonable accommodations to participate in the hearing may call Teena Bordeaux, Reasonable Accommodations Coordinator for HANH at 498-8800 extension 1507 or at the TDD Number 497-8434.

At 4:09 p.m., the meeting was opened to take public comments.

Public Comments:

There were no attendees from the public and no public comments.

Adjournment

Ms. Negron thanked the participants and the meeting was adjourned at 4:17 p.m.

Appendix 1

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

HUD HCC 2013

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

HUD HCC FACTORS

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

HANH/ELM CITY COMMUNITIES HCC 2013

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

HUD TDC 2013

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

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

Appendix 2

Local Asset Based Management:

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

- HANH/ELM CITY COMMUNITIES developed a program wherein Excess Operating Reserves are funded from the General Fund Account and will be used to cover deficits through a journal voucher once per year to ensure that the transfer of funds from the General Fund to a project to cover any operating deficits are reflected on the income and expense statement of the project.
- HANH/ELM CITY COMMUNITIES uses property level management accounting and budgeting for direct costs incurred by each property.
- Each project is charged a management fee of \$75.08 per unit per month, bookkeeping fee of \$7.50 per unit per month, asset management fee of \$10 per unit per month and if a property has "surplus cash" and other fees that are reasonable and appropriate for services carried out by the Central Office Cost Center.
- The cost of vacant unit turnovers will be charged to projects based on the fee schedule for turnovers set forth in the third party unit turnover contract which was obtained through competitive procurement.
- Cost of legal services will be fee for service basis by charging the project for actual services performed by staff and outside counsel for direct services. These fees are derived and based on a comparison of legal fees paid to outside attorneys that were competitively procured and GSA/Connecticut State rates for attorneys and support staff.
- Planning and Development services will be fee for service basis by charging the project for actual services performed by staff and outside counsel for direct services. The fees for architectural type work and related performed by staff are developed based on fees set forth in third party contracts for work of the same nature that was obtained through the competitive procurement process and the GSA Schedule.
- An indirect cost approach is used for the cost of implementing the CFP; leasing; centralized wait list; resident services supervisory staff and rent collection all of which are pro rated based upon the number of ACC units or percentage of time charged to a project.
- Security costs will be allocated based upon fee schedule set forth in the third party security contract.

Proceeds from the CFP, energy performance contracts and other similar sources to support project operations are not reflected in the operating statements for each project. The COCC operates on the allowable fees and other permitted reimbursements from its LIPH and HCV programs, as well as revenues generated from non-public housing programs. HANH/ELM CITY COMMUNITIES systematically reviews information regarding the financial, physical and management performance of each project and identifies non-performing assets. All non-performing assets will have a management plan that includes a set of measurable goals to address. During FY2014, HANH/ELM CITY COMMUNITIES conducted an updated Green Physical Needs Assessment for each project. The work was completed in FY2014 and was fully reported in the FY2014 report. Finally, HANH/ELM CITY COMMUNITIES has implemented a Risk Management Program in accordance with §990.270.

Appendix 3

Expenditures vs. Voucher Costs

PBV	2011	2011 MTW Expenditure	2011 Voucher cost	2012	2012 MTW Expenditure	2012 Voucher cost	2013	2013 MTW Expenditure	2013 Voucher cost
Currently under HAP	253		\$37,605,888.00	290		\$ 3,131,168.00	385		41,617,800.00
HANH overhead		\$1,000,000.00							\$ 7,100,000.00
PreDevelopment Loans		\$ 400,000.00			\$ 460,000.00				
Shartenberg		\$ 101,977.00		20		\$ 180,000.00			
CUHO New Construction				8		\$ 81,600.00			
Brookside Phase I				50	\$ 5,221,820.00	\$ 630,000.00			
Brookside Phase II					\$ 2,865,219.00		51	\$ 955,073.00	\$321,300.00
Brookside Homeownership		\$ 833,333.33			\$ 833,333.33			\$ 833,333.33	
Rowe	32	\$5,032,685.00	\$404,304		\$ 5,032,685.00				
QT3	5	\$1,591,909.00	\$56,136						
Mutual Housing							20		\$84,000.00
122 Wilmot Road					\$ 3,375,000.00		13	\$ 1,125,000.00	\$31,200.00
Rockview Phase I								\$ 678,212.00	
Rockview Phase II									
Downtown									
Dwight									
Farnam									
Ribicoff									
Eastview/Chatham									
Cedar Hill							4		\$12,800.00
Frank Nasti							8		\$8,400.00
Essex RAD									
Crawford RAD									
Westville Manor RAD									
Scatter Sites RAD									

PBV	2011	2011 MTW Expenditure	2011 Voucher cost	2012	2012 MTW Expenditure	2012 Voucher cost	2013	2013 MTW Expenditure	2013 Voucher cost
Total PBV	290	\$8,959,904.33	\$38,066,328.00	368	\$17,788,057.33	\$44,022,768.00	481	\$3,591,618.33	\$49,175,500.00
Number of Vouchers HANH would otherwise be able to issue for HCV based upon the use of MTW funds for redevelopment									
Percentage of Total Budget Authority									
Adjusted HCV Baseline									
Percentage of Allocation									

PBV	2014	2014 MTW Expenditure	2014 Voucher cost	2015	2015 MTW Expenditure	2015 Voucher cost	2016	2016 MTW Expenditure	2016 Voucher cost
Currently under HAP			\$7,252,148.00			\$47,129,504.00			
HANH overhead						\$ 7,258,340.00			
PreDevelopment Loans									
Shartenberg									
CUHO New Construction									
Brookside Phase I									
Brookside Phase II									
Brookside Homeownership									
Rowe									
QT3									
Mutual Housing									
122 Wilmot Road									
Rockview Phase I	47		\$ 404,437.00						
Rockview Phase II									
Downtown									
Dwight					\$825,000.00				
Farnam		\$ 7,164,000.00		84	\$7,164,000.00	\$ 529,200.00		\$ 716,000.00	
Ribicoff		\$ 1,500,000.00		70	\$ 3,500,000.00	\$ 672,000.00			
Eastview/Chatham		\$ 2,800,000.00		47		\$ 592,200.00			
Cedar Hill									
Frank Nasti									
Essex RAD		\$ 2,296,594.00							
Crawford RAD		\$723,704.00							
Westville Manor RAD					\$3,495,702.00				
Scatter Sites RAD									
Total PBV	97	\$14,484,298.00		201	\$ 11,489,000.00	\$ 181,244.00	0	\$16,716,000.00	0
Number of Vouchers HANH would otherwise									

PBV	2014	2014 MTW Expenditure	2014 Voucher cost	2015	2015 MTW Expenditure	2015 Voucher cost	2016	2016 MTW Expenditure	2016 Voucher cost
be able to issue for HCV based upon the use of MTW funds for redevelopment									
Percentage of Total Budget Authority									
Adjusted HCV Baseline									
Percentage of Allocation									

Appendix 4

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

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

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

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

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

1. Relocation due to modernization

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

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

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

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

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

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

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

3. Emergency transfers due to un-inhabitability of unit

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

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

4. Protection of victims and witnesses

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

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

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

Residents who are victims of hate crimes.

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

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

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

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

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

5. Under-housed or over-housed.

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

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

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

6. Emergency Transfers

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

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

- An admission preference for "working families" for all PBV units;
- An admission preference for former and current West Rock residents for all ACC units will apply pursuant to the agreement between the Tenant Resident Council ("TRC") for West Rock and the Developer and is as follows:
 - **First preference** –all residents of Brookside at the time of the execution of the Memorandum of Agreement (MOA) (7/17/1999) between TRCs of West Rock and HANH/ELM CITY COMMUNITIES by order of when people initially moved into the development,
 - **Second preference**—all residents of Rockview at the time of the execution of the MOA between TRCs of West Rock and HANH/ELM CITY COMMUNITIES,
 - **Third preference**—all residents of Westville Manor or Ribicoff_Cottages at the time of the execution of the MOA between TRCs of West Rock and HANH/ELM CITY COMMUNITIES,
 - **Fourth preference**—applicants in accordance with all other preference set forth in the ACOP.
- In accordance with the MOA, all relocated residents that are in "good standing" as defined in the ACOP will be permitted to exercise their right to return.
- Accessible vacant units shall be offered first to former residents of West Rock with a disability that qualifies them for the units, in order of the preferences, then to families on the Authority's transfer waiting list, then to families on the Authority's accessible waiting list.
- Returning residents that voluntarily accept a PBV unit will be provided with same transfer rights as other ACC residents.
- In the event of a conflict between the Declaration of Restrictive Covenants, the Regulatory and Operating Agreement, the Mixed Finance ACC Amendment any deal-specific management documents and this ACOP those documents shall control. Provided however that in all events notwithstanding anything in this addendum to the contrary the applicable public housing requirements shall control.
- Income tiering in accordance with the ACOP such that 100 percent of the public housing units shall be rented to households with annual income at or below 30 percent of area median income.

- Rent determination for returning families will continue to be done in accordance with HANH/ELM CITY COMMUNITIES's Rent Simplification Policies under HANH/ELM CITY COMMUNITIES's Alternative Rent Determination Policy.
- Rent determination for all new admissions shall be done in accordance with HUD regulations at 24 CFR Part 5.
- Flat Rent determination for new families shall be done annually.
- CARES (Caring About Resident Economic Self-Sufficiency) as further defined in Exhibit C attached hereto.
- Definition of "Tenant in Good Standing" for "returning residents" who have preference are as follows (i) HANH/ELM CITY COMMUNITIES deems a household not to be in good standing if HANH/ELM CITY COMMUNITIES has taken legal action against the household and has obtained an execution for possession, allowing it to evict the household. At this stage of the legal process, all rights to cure the lease violation have been exhausted, and so have the appeals processes through both the Housing Court and the Housing Authority's internal grievance procedure; (ii) Households which have reached court-stipulated agreements with the Housing Authority to cure lease violations (such as nonpayment of rent) are considered to be in good standing as long as they abide by the terms of the stipulated agreement; (iii) Households which have received a pre-termination notice or notice to quit or are at any subsequent stage of eviction process are still considered to be in "good standing" for the purposes of the MOA until they have "exhausted all rights to cure and appeals", this means that households under eviction remain in good standing until HANH/ELM CITY COMMUNITIES obtains an execution for eviction.

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

THE PREFERENCE SYSTEM

- a) An Admission preference does not guarantee admission.
- b) Preferences establish the order of applicants on the waiting list.
- c) Every applicant must still meet the Wilmot Crossing at West Rock's Selection Criteria as set forth in the ACOP before being offered an apartment.
- d) Verification must be submitted in order to be given a preference.
- e) Preferences will be granted to applicants who are otherwise qualified and who, at the time of the offer (prior to execution of a lease), have the oldest application date on the waiting list for the size and type of unit sought.
- f) An admission preference for the thirteen (13) Project Based Section 8 (PBV) units are set forth below:
 - a. The thirteen (13) PBV units are designed Elderly Only.
 - i. Preference for these 13 PBV units are as follows:
 1. First preference – all residents of Brookside at the time of the execution of the Memorandum of Agreement (MOA) (7/17/1999) between TRCs of West Rock and HANH/ELM CITY COMMUNITIES by order of when people initially moved into the development;
 2. Second preference - all residents of Rockview at the time of the execution of the MOA between TRCs of West Rock and HANH/ELM CITY COMMUNITIES;
 3. Third preference - all residents of Westville Manor or Ribicoff Cottages at the time of the execution of the MOA between TRCs of West Rock and HANH/ELM CITY COMMUNITIES;
 4. Fourth preference - applicants in accordance with all other preference set forth in the ACOP.
- g) Within the aforementioned preferences, the following preferences will prevail:
 - a. Displaced Persons as defined under Section II Housing Glossary Terms of the ACOP.
 - b. Documented victims of domestic violence, dating violence or stalking.
 - c. Local preference based on Income Targeting 24 CFR 960.202. The Owner and

HANH/ELM CITY COMMUNITIES have agreed pursuant to the Regulatory and Operating Agreement.

- h) Accessible vacant units shall be offered first to former residents of West Rock with a disability that qualifies them for the units, in order of the preferences, then to a family on the Authority's transfer waiting list, then to the Authority's accessible waiting list.
- i) Returning residents that voluntarily accept a PBV unit will be provided with same transfer rights as other ACC residents.
- j) In the event of a conflict between the Declaration of Restrictive Covenants, the Regulatory and Operating Agreement, the Mixed Finance ACC Amendment, any deal-specific management documents and this ACOP, those documents shall control. Provided however, that in all events notwithstanding anything in this addendum to the contrary, the applicable public housing requirements shall control.
- k) Income tiering in accordance with the ACOP such that 100% percent of the public housing units shall be rented to households with annual income at or below 30 percent of area median income and that public housing units shall be leased to families with income above 30 percent of the area median income if households below 30% area median income are not available and eligible for occupancy so that vacant units are not unoccupied.
- l) Rent determination for returning families will continue to be done in accordance with HANH/ELM CITY COMMUNITIES's Rent Simplification Policies under HANH/ELM CITY COMMUNITIES's Alternative Rent Determination Policy.
- m) Rent determination for all new admissions shall be done in accordance with HUD regulations at 24 CFR Part 5.
- n) Flat Rent determination for new families shall be done annually.

Appendix 5

HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

AMENDMENT 1 & 2

DRAFT

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

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

HANH/ELM CITY COMMUNITIES applied for and received a RAD assistance portfolio award to convert Essex Townhouses, Westville Manor, Crawford Manor, Farnam Courts, Ribicoff Cottages and Ribicoff Cottages Extension, Townhomes at Eastview Terrace, 122 Wilmont Crossing, McConaughy Terrace, McQueeney Towers, Fairmont Heights, Ruoppolo Manor and Winslow Celentano, during FY2013. Approvals were received for Essex Townhouses and Crawford Manor during FY2013. HANH received approval for the remaining developments on January 29, 2014 for aggregate total of 1330 RAD units. It is anticipated that HANH/ELM CITY COMMUNITIES will apply for 4% bonds from the State of Connecticut during FY and FY2014 and will apply for 9% Low Income Housing Tax Credit during FY2014 and FY 2015 , as well . During FY2014, it is anticipated that HANH/Elm City Communities will submit applications for RAD conversions for Valley and Waverly Townhouses. HANH intends to submit RAD applications within 365 days of issuance of the Portfolio Award Letter as required by HUD.

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

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

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

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

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

1. Description of the Units to be Converted

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

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

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

A Description of Units to Be Converted								
Development Name	Type	0	1 Bedroom	2 Bedroom	3 Bedroom	4 Bedroom	5 Bedroom	Total Bedroom
Ribicoff Cottages and Extension	Elderly/Disabled	16	84					100
Farnam Courts	Family		7	134	71	23		235
Eastview Terrace	Family		19	31	3			53
Wilmot Crossing	Elderly/Disabled		32	2				34
Essex Townhouses	Family			13	13	8		34
Crawford Manor	Elderly/Disabled	52	52	5				109
Westville Manor	Family			33	67	26	16	142
McConaughy Terrace	Family			161	30	7		198
McQueeney Towers	Elderly/Disabled	124	22					146
Fairmont Heights	Elderly/Disabled	42	56					98
Matthew Ruoppolo	Elderly/Disabled	92	24					116
Winslow Celentano	Elderly/Disabled	32	32	1				65
Total		384	328	380	184	64	16	1,330

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

The table below set forth the proposed changes in the number of units that is being proposed as part of the conversion. The chart also shows the proposed changes in the bedroom distribution for each RAD project in the Portfolio Award. Note that all of housing types for all the RAD projects will remain unchanged with the exception of Ribicoff Cottages and Extension. Ribicoff Cottages and Extension is currently an Elderly/Disabled Development. After conversion it will be both Family and Elderly/Disabled. . There will be 95 RAD units after conversion at Ribicoff Cottages and Extensions: 55 will be Family units and 40 will be Elderly/Disabled units. The de minimis unit reductions are listed in the table below as well.

Proposed Changes in Number of Units											
Development Name	Census Tract	Type	0	1 Bedroom	2 Bedroom	3 Bedroom	4 Bedroom	5 Bedroom	Total	Transfer of Assistance at Time of Conversion	Deminimis Reduction
Ribicoff Cottages and Extension	1413	Family			28	7	3		38		5
Ribicoff Cottages and Extension	1413	Elderly/Disabled		50	7				57		
Farnam Courts Phase 1) On -Site	1421	Family		12	31	16	6		65		11
Fair Haven Farnam Court Phase 1 Offsite	1426.03 1425	Family			27	28	2		57	X	
Farnam Phase 2 On Site	1421	Family			37	17	4		58		
Farnam Phase 2 Offsite	1418 1425	Family			19	25	4		48	X	
Eastview Terrace	1425.03	Family		19	31	3			53		
Wilmot Crossing	1413	Elderly/Disabled		32	2				34		

Essex Town Houses	1426.01	Family		13	13	8			34		
Crawford Manor	1409	Elderly/ Disabled	40	58	5				103		6
Westville Manor	1413	Family			32	68	26	16	142		8
McConaughy Terrace	1412	Family			161	30	7		198		
McQueeney Towers	1420	Elderly/ Disabled	125	21					146		
Fairmont Heights and Matthew Ruoppolo	1427	Elderly/ Disabled	110	88	1				199		
Winslow Celentano	1422	Elderly/ Disabled	32	32	0				64		
Total			307	325	394	202	52	16	1,296		

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

a. Ribicoff Cottages and Extensions

HANH/Elm City Communities is changing the waiting list policy to coincide with the Memorandum of Agreement between the HANH/Elm City Communities and the TRC's for Brookside Avenue, Ribicoff Cottages, Rockview Circle and Westville Manor, Section VII. Rehousing Guarantee, VII.A. Guaranteed Right to Return.... "Residents will be provided a signed, written agreement from HANH which guarantees a Right of Return to a Suitable Unit in Revitalized West Rock..... In addition, these residents will continue to be governed by the HANH/Elm City Communities Admission and Continued Occupancy Policy (ACOP) as public housing residents. First preference is given to the 1999 residents of Ribicoff followed by the current residents of Ribicoff based on the date of their move in, followed by the remaining residents of West Rock who were tenants during 1999. Accessible units will be assigned based off the accessible waitlist first.

b. Farnam Courts

Farnam Courts will consist of at least two on-site and two off-site phases. HANH/Elm City Communities is changing the waiting list policy to coincide with the Memorandum of Agreement between the HANH/Elm City Communities and the TRC's for Farnam Courts. Under the MOA existing Residents will be provided a signed, written agreement from HANH which guarantees a Right of Return to a Suitable Unit in the Revitalized Farnam Court. In addition, these residents will continue to be governed by the HANH/Elm City Communities Admission and Continued Occupancy Policy (ACOP) as public housing residents. First preference is given to existing residents of Farnam at the time of the General Information Notice followed by the families on the Farnam Court site based waiting list until said list shall have been exhausted. The preference in the existing HANH ACOP covering Farnam Court will only be changed to permit existing residents to have first preference for the revitalized on site and off site developments.. Accessible units will be assigned first to return families with need for said UFAS units and after that to families off the HANH accessible waitlist.

For the assistance that will be transferred off-site, the existing Farnam Courts site based waiting list shall be used. Families displaced as a result of the Farnam Courts Redevelopment will be given preference off this list in accordance with the date they moved into Farnam Courts, with the exception that the UFAS accessible units at these properties will be offered first to returning families needing these accessible features then to other families on HANH's Accessible Waiting List.

c. Town Homes at Eastview Terrace

The Eastview Terrace LLC is the owner of this Low Income Housing Tax Credit Property. All fifty -three (53) RAD units are covered by Section 42 of the Internal Revenue Code as well the Regulatory and Operating Agreement that govern

occupancy along with the Eastview Terrace Mixed Income ACOP. There will be no changes in the occupancy policy as result of converting these 53 units to RAD.

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.

3. 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. One hundred five (105) of the 228 RAD, PBVs will be transferred to other properties as shown in the table above.

4. Indication of Compliance with Voluntary Compliance Agreement

July 9, 2007, HANH entered a Voluntary Compliance Agreement (VCA) regarding complying with federal and state accessible standards. Compliance with the VCA will not be negatively impacted by the conversion activities.

5. All Other Required Information

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

6. MTW Fungibility

HANH will use its MTW Fungibility to provide assistance for two (2) RAD projects; Farnam Courts, 228 units; Ribicoff Cottages and Extensions, 95 units. We estimate that the average assistance per unit will be \$400.00 for a total monthly assistance of \$129,200.00. With an average estimated voucher payment of \$ 980.00 per month/per family providing assistance to the 323 RAD units would be the equivalent of 132 vouchers. HANH's baseline number of units for which it must maintain service is 4,827 units. Currently, HANH serves 5,436 units; therefore, using our fungibility to assist these RAD units will not negatively impact our ability to meet our continuing service level requirements.

7. In accordance with 24 CFR Part 903

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

- a. Current Capital Fund Grant associated with: Ribicoff Cottages Ribicoff Cottages Extensions. As the 2014 CFP budget was just released, the estimated Capital Fund Grant associated with Ribicoff Cottages and Extensions is \$127,927.26. Please note that the HUD has not provided HANH with a detailed breakdown of CFP by Project.
 - a.1.Current Capital Fund Grant associated with: Farnam Courts CFP for 2014 is estimated at \$305,746.15. Again, please note that the HUD has not provided HANH with a detailed breakdown of CFP by Project.
- b. The RAD conversion will impact an existing CFFP to facilitate the conversion because the Bond Indenture for the Brookside Phase 1 CFFP Bonds requires that the amount of units of the HANH not fall below 5% of the baseline units. Based upon the conversion schedule, HANH estimates that it will fall below the 5% threshold in 2016, and, therefore, HANH will need to defease enough of the Brookside Phase 1 CFFP Bonds to cover the amount of debt associated with the number of units below the 5% baseline.

Internal Metrics: Teachers in Residence

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Reduce school absenteeism at Selected developments miss 15+ Days of school	36% of Students	Steady increase in average participants attendance and grade average	5% of students miss 15+ days	3 year goal

Internal Metrics: Teachers in Residence

Unit of Measurement	Baseline	Benchmark	Outcome	Benchmark Achieved?
Improve academic outcomes for program participants	Gap between HANH student and district performance ranges between 20 and 30 percentage points	Steady increase in average participants academic performance	HANH averages Equal district average	5 year goal