HOUSING AUTHORITY OF THE CITY OF NEW HAVEN

2011 MOVING TO WORK ANNUAL REPORT

John DeStefano, Jr., Mayor

Board of Commissioners

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I. Introduction

A. Overview of Agency's Goals and Objectives

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

In 2001, the Housing Authority of the City of New Haven (HANH) was awarded Moving to Work (MTW) status as part of the federal MTW Demonstration Program. HANH is one of over 30 housing authorities nationwide selected for participation in the MTW Demonstration Program. During HANH's MTW term, in lieu of the standard PHA Annual Plan and Five-Year Plan documents, HANH is required to develop and submit to HUD the MTW Annual Plan that articulates HANH's key policies, objectives, and strategies for administration of its federal housing programs to most effectively address local needs, in accord with the terms of HANH's MTW Agreement.

This MTW Annual Report states HANH's MTW goals and objectives, our current status toward achieving these goals and objectives, and our planned activities and objectives for FY 2011 (October 1, 2010 to September 30, 2011).

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

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

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

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

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

According to the MTW Agreement, HANH's MTW program does not include HUD grant funds committed to specific grant purposes, namely: HANH's HOPE VI grants for Monterey Place, HANH's HOPE VI grants for Quinnipiac Terrace/Riverview, any future HOPE VI Revitalization grants and other competitive grant funds awarded for specific purposes. These grant funded programs committed to specific purposes require HANH to provide periodic reports to HUD. Although these grant funded programs are not included in HANH's MTW program, HANH has included information, where relevant, regarding these grant funded programs in this MTW Annual Report for FY 2011.

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

HANH's MTW program is the product of an extensive planning process, conducted from 1998-2000, to establish long-term plans for improving our agency's operations and for transforming our public housing stock. During 2006-2007, HANH engaged in a planning process in order to update and reinvigorate our agency's plans. As a result of this planning process, HANH developed a Three-Year Strategic Plan for FYs 2007-2009. This Three Year Plan forms the basis of the agency's long-term planning process. The plan was updated in 2010 and includes HANH's Strategic Planning for FY2010 through 2012. The MTW planning process provides the agency with a mechanism for updating its long-term strategy on an annual basis by enabling HANH to take stock of the progress of its on-going activities and by addressing new concerns by establishing new goals and objectives. The 2011 Annual MTW Plan set forth a long-term vision for the agency for the next 10 years. The long-term vision for the agency centers on streamlining its processes to become more effective and innovative. The long-term vision also calls for the agency to enhance its efforts to promote the economic self-sufficiency of its residents and to increase the housing choices for them and its program participants, as well. The agency recognizes that its long-term viability rest with the economic well being of its residents and the variety of housing choices that it is able to provide them. The long-term vision also calls for the agency to develop relationships with local non-profit organizations to enhance the delivery of its programs, as well as looking to develop commercial ventures that will both expand housing choices in addition to making the agency more efficient.

HANH's 2011 MTW Plan was originally approved on June 15, 2010. There have been 4 amendments to the Plan. The following schedule indicates notice, hearing and approval by the Board of Commissioners.

Original Plan
Public Notice – April 28, 2010
Public Hearing – May 26, 2010
Board of Commissioner Approval – June 15, 2010
HUD Approval – October 28, 2010

Amendment #1 added intention to apply for HOPE VI funding for West Rock redevelopment
Public Notice – September 14, 2010
Public Hearing – September 23, 2010
Board of Commissioner Approval – November 9, 2010 Resolution # 11-218/10-S
HUD Approval 11/30/2010

Amendment #2 added intention to dispose of Valentina Macri development
Public Notice – November 28, 2010
Public Hearing – December 15, 2010
Board of Commissioner Approval – January 25, 2011 Resolution # 01-05/11-S
HUD Approval 3/7/2011

Amendment #3 – clarified use of RHF and mandatory conversion exclusion
Public Notice- January 19, 2011
Public Hearing – February 1, 2011
Board of Commissioners approval – March 15, 2011 – Resolution # 03-35/11-R
HUD Approval – 4/14/2011

Amendment #4 – added intention to apply for CHOICE Neighborhood Grant
Public Notice July 15, 2011
Public Hearing August 16, 2011
Board of Commissioners approval –September 20, 2011 – Resolution # 09-178/11-R
HUD Approval – Pending

HANH's 2011 MTW Annual Report was approved by the Board of Commissioners on December 29, 2011 via Resolution #12-260/11-S approving the 2011 MTW Annual Report.

B. New Objectives for FY 2011

During FY 2011 HANH initiated several additional new initiatives designed to increase the efficiency and cost effectiveness of the program, increase resident/participant self sufficiency and to increase participant's housing choices.

Increase project based voucher cap to 100% in developments that are undergoing voluntary conversion (non-MTW initiative for which other approvals are needed).

HANH planned to serve as co-partner in a development deal with local developer to redevelop the Dwight St. Cooperative subsequent to HUD foreclosure. Due to a change in the structure of this deal, HANH did not move forward with the partnership.

Retain 100% of savings achieved through Electric and Gas generation reduction initiative in order to self finance energy conservation measures. HANH negotiated favorable electric generation rates through a competitive procurement. HANH proposes to retain 100% of the savings, escrow this amount and self-finance HANH's energy conservation measures (ECM's) previously identified by HANH's energy audit. During FY2011 HANH and HUD are still in negotiations and its believed the rate reduction savings to HANH will be at 50% of the energy conservation measures. (Non MTW – seeking other approvals)

Rockview Phase 3 Rental. HANH's continued efforts to revitalize the West Rock community through the redevelopment of Brookside and Rockview continued during FY2011 as plans and financing for Rockview were finalized.

Pursuit of HOPE VI funding for West Rock redevelopment. During FY2011 HANH unsuccessfully applied for HOPE VI funding.

Disposition of Valentina Macri development. During FY2011 HANH submitted its disposition application to HUD.

HANH requested that the Special Application Center (SAC) remove 416 units from the Cluster Report on the grounds that 296 units for Brookside had been demolished pursuant to a HUD approved demolition plan by September 30, 2009 and the remaining units in the cluster currently contain only 100 units, Ribicoff Cottages and Ribicoff Extension, and is also a Mixed Population Development.

During FY2011, HANH received notice of funding availability for the Choice Neighborhood Initiatives Grant, HANH applied for Choice Neighborhood Initiative funds which will enable the authority to apply for Farnam Courts development.

Brookside Phase 2 Rental. During FY11, HANH commenced Brookside Phase 2 Rental. The Brookside Phase 2 Rental provides for the development of 101 units of housing, 50 ACC and 51 PBV units. Ten percent of these units are UFAS compliant.

C. On-going HANH Initiatives

During FY2011 HANH continued to make progress towards the following initiatives.

Increase housing choice:

- Development of Commercial Property at 122 Wilmot. During FY 11, the Authority was awarded LIHTC from the Connecticut Housing Finance Authority. The Authority is progressing towards a financial closing in FY 12 that will yield 47 rental units and 9,186 square feet of commercial space and 4,261 square feet of community space.
- Design Guidelines, TDC and HCC Waivers. HANH has implemented its revised design guidelines and will continue to use. TDC and HCC alternatives have been submitted to HUD and approved.
  During 2011, HANH continued to use the HUD approved HANH's Alternate TDC Limits to implement the redevelopment of William T. Rowe, the implementation of Quinnipiac Terrace Phase 3, the Brookside Homeownership program, the Brookside Rental Phase 1 development, and the Brookside Phase 2 Rental Early Start.

Cap on Project Based Units in a Project. During FY 2011, the Authority engaged in substantially completing and closing on several mixed finance developments. This included the substantial completion of William T. Rowe and Quinnipiac Terrace Phase 3. Construction continues with Brookside Phase 1 and Brookside HO while the Brookside Phase 2 Rental closed. Each development will utilize the higher Cap to provide quality and 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.

HCV Preference and Set-aside for Victims of Foreclosures. HANH has currently issued 25 foreclosure TBV and leased up 23 households. 7 of the 25 PBVs were reallocated for tenant based supportive housing; 17 were reallocated and awarded for PBVs for Supportive Housing for the Homeless.

HCV Initiatives. During FY08 HANH introduced direct deposit for landlords. We continue to market this service and enroll additional landlords. As of 9/30/11, 69% of HANH landlords are utilizing direct deposit. Additionally, we have introduced a foreclosure protection program and issued our first vouchers under this program during FY10. As of 9/30/11, 24 out of 25 vouchers were utilized. Activities that support Expanded Choice in Family Moves will continue during FY11, including assisting families in finding units in various neighborhoods. Additionally, HANH has increased its PBV program as outlined in this and previous plans and continues its planned allocation of PBV units during FY11.

LIPH Initiatives. Implementation of the marketing initiatives for Higher Income Eligible families began during FY09 with the development of marketing materials. Outreach has continued during FY11. Additionally the re-entry pilot program was successful during the year and HANH leased 12 of the 12 units available for this program.

Increase family self sufficiency

- SEHOP Capital Improvement Program. This program supports new homeowners with necessary capital improvements that arise after being in the home for a minimum of three years. During 2011, fourteen (14) of our homeowners were approved and opened the capitol improvement allowance escrow account.

Cost effective and efficient service delivery

- Rent simplification. HANH's rent simplification program offers a standardized rent tier table with deductions included and alternate year recertifications. Due to Rent Simplification, LIPH and HCV residents are not required to come in for annual recertification interviews on an annual basis. This reduces administrative costs such as staff time and mailings. Customer service is improved for residents who do not have to come in and supply information to HANH annually, unless it is a change initiated by them.
- Revised Inspection protocols for LIPH and HCV units. Alternative HCV unit inspections for high performing landlords reduce the administrative and staff costs for conducting inspections and it provides an incentive for landlords to ensure that the units are up to Housing Quality Standards. Representative samples of LIPH units are selected annually for inspection. During FY 2011 20% of LIPH units were targeted for inspection.
- Local Asset Based Management Program. Under the First Amendment to the MTW Agreement 10-15-08, HANH is permitted to design and implement its own Local Asset Based Management Program so long as the HANH and HUD agree that the principles and understanding outlined in the Amendment are adhered to. HANH continued this approach during FY 2011.
- Mandatory Direct Deposit. Direct Deposit alleviates the cost to print paper checks and mailing costs associated with them and it guarantees that HAP payments will be electronically deposited a lot quicker than mailing a check to the landlord. At the end of the fiscal year 2011, 69% of HANH's landlords are enrolled in the Direct Deposit Program.

The following projects will continue during FY2011 and require MTW funding flexibility ONLY:

- Broader use of funds authority. HANH'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 has executed the Second Amendment to its Restated and Amended Moving to Work Agreement with HUD which clarifies such authority.
- Major redevelopment efforts. HANH completed its redevelopment efforts at William T. Rowe and Quinnipiac Terrace II. During FY 2011, HANH implemented its redevelopment efforts at the Brookside Phase 1 Rental, Brookside Phase 2 Rental Early Start, and Brookside Homeownership. In addition during FY2011, the 122 Wilmot and Rockview Phase 1 developments were both awarded 9% LIHTC.
- Project Modernization. During FY11 the modernization projects were completed at McConaughy, McQueeney, Crawford Manor and Ruoppolo Manor.
- Vacancy Reduction. HANH will continue to show improvement from the baseline FY08 vacancy rate of 10%. The FY11 vacancy rate was expected to be 5% and this was achieved.
- Energy Performance Contracting. HANH has submitted to HUD for review a Request for Proposals for an ESCO to pursue energy saving improvements. This was completed during FY 2011 and HANH expects to execute a contract during FY12 to begin implementation of cost savings measures.
- Supportive Services. All planned supportive service initiatives were continued during FY11 including: Resident Services for families, Resident services for Elderly/Disabled, Supportive Services Contracts in E/D buildings, FSS program, Section 3 Employment and Training and SEHOP.
- Deconcentration of Poverty. By providing participants with additional information to aid their housing search in areas of low-poverty, HANH may facilitate participant's expanded housing search. HANH has successfully utilized a real estate consultant to assist in the identification of units in areas of low poverty and link participants to these units. As of 9/30/11, 51 families have successfully leased up using their services. Specialized Training Opportunities for HANH's FSS families. HANH provides specialized training in areas where there are employment opportunities such as health care, auto mechanics, retail sales, entry level banking positions and customer service. To date there are five (5) residents approved to participate in the program. Residents must follow-through with acceptance and enrollment into the community college or vocational school.
- Business Development Support Program. HANH provided educational training, financial management and administrative support services to start up resident owned businesses to enhance their internal capacity and ability to compete both in the public and private competitive procurement sector. HANH created four new businesses during FY 2011.
- Section 3 Employment Initiatives. HANH sponsors individual resident participation in construction workforce training programs throughout the City of New Haven – Meriden Metropolitan Area. This program was discontinued as it did not prove to be cost effective. Alternatives were sought through the Specialized Training Initiative described above.

Finally, this report summarizes the following non-MTW initiatives undertaken by HANH during FY2011:

- ARRA Funded Initiatives (CFRC based grants). HANH utilized and met its requirements to expend 60% of the allocation during FY2011 for its competitive ARRA funds for the Brookside, Quinnipiac Terrace, William T. Rowe redevelopment projects and Ruoppolo Manor UFAS conversions.
- Property Disposition. HANH anticipated the disposition of: 620 Grand Ave. (Warehouse), Valentina Macri, Sheffield Manor and 7 Shelton. Progress was made on each however disposition is anticipated to be completed in FY2012. HUD dispositional approval has been granted on 7 Shelton. Approval is pending on Valentina Macri. It is anticipated that we will submit a disposition approval application for Sheffield Manor in FY2012. Disposition of 620 Grand Ave. is planned for FY2012 upon identification of a buyer.
- Research and Evaluation. HANH has undertaken a research and evaluation study of its MTW program. During FY2011 data has been compiled and is a supplement to this report.
- Section Eight Homeownership Program (SEHOP). HANH continues its successful SEHOP program that assists LIPH and HCV residents and participants with achieving their homeownership goals.
- Project based voucher program. HANH continues to utilize its ability to project base vouchers to support goals of supportive housing, deconcentration of poverty and to support housing choice goals. Pursuant to 24 CFR Part 982.201.b., HANH used this authority to amend its Administrative Plan for the Brookside Rental Phase 1 Mixed Finance development to permit the use of up to 15% of the Project Based units for low income families. HANH used its Authority to allocate up to 45% PBV for low–income families for the Brookside Phase II mixed-finance development. Additionally, there are 357 Project Based units in HANH's portfolio. Casa Familia – 12; Cornerstone Residence – 4; CUHO – 24; Fellowship – 23; Ferry MHA L.P – 9; Howe St. Limited Partnership – 13; Stephen Johnson – 12; Eastview Terrace – 49; Park Ridge, LLC. – 60; Frank Nasti – 11; Quinnipiac Terrace Phase I – 23; Quinnipiac Terrace Phase II – 23; Quinnipiac Terrace – 16; William T. Rowe - 58; Shartenberg – 20.

- Capital Fund Financing Program. During FY2011, HANH issued its CFFP bonds for the Brookside Phase 1 Rental. HANH will not issue supplemental bonds for the William T. Rowe or the 122 Wilmot Road developments.
- Resident Opportunity and Self Sufficiency (ROSS) Grants. HANH is the recipient of ROSS grants supporting supportive services in our family and elderly/disabled developments and supporting the Family Self Sufficiency Program.
- Energy Performance Contracting. During FY2011 HANH was in the process of contracting with ESCO to pursue energy saving improvements. This has occurred during FY2011.

II. General Housing Authority Operating Information

A. Who we serve?

HANH serves approximately 5,000 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 80% of LIPH and 75% of HCV families in this income category. 22% percent of LIPH families and 32% of HCV families earn wages. Less than 5% of all families report no income. 85% of households in LIPH range from 1 person to 3 person families and 77% of households in HCV range from 1 person to 3 person families. The following table summarizes the population demographics.

At baseline, HANH served a total of 4,827 families. Current numbers reflect an increase of approximately 173 families or 3% indicating that HANH is increasing the number of families being served.

	LIPH	%	HCV	%
Households with wages	464	22%	976	32%
Households with public assistance	104	5%	143	5%
Households with social security	1,144	55%	1,206	40%
Households with other non-wages	283	14%	521	17%
Minority Households	1,441	69%	1,756	58%
Non-minority	637	31%	1,252	42%
Elderly families	581	28%	518	17%
Disabled families	1,072	52%	1,058	35%
1 member	1,058	51%	973	32%
2 members	443	21%	687	23%
3 members	269	13%	661	22%
4 members	183	9%	387	13%
5 members	80	4%	186	6%
6 members	31	1%	75	2%
7 members	9	0%	25	1%
8+ members	5	0%	14	0%

B. Housing Stock Information

A. Housing Stock Information:	
Number of public housing units at the end of the plan year:	HANH has a public housing stock of 2,473 public housing units. This includes 1,045 site-based family units; 981 Elderly/Disabled units; 263 Elderly only units, and 184 Scattered Site units. There are 228 Non ACC units. As of September 30, 2011, HANH's inventory totals 2,701 units. This number reflects 228 non-ACC units at Quinnipiac Terrace, Eastview Terrace, Monterey Place and William T. Rowe. This reflects a reduction of 264 units since the beginning of HANH's MTW status, when HANH's housing stock included 2,965 total units. However, as indicated above, HANH serves more eligible families through its LIPH and HCV programs, and additionally has added affordable units through its mixed income developments.

General description of any planned significant capital expenditures by development;	HANH incurred capital expenditures of $4,219,808 during FY2011. This was $1,275,847 less than the projected $5,495.655 noted in the 2011 MTW Plan; the main difference is due to retainage not released and requisitions not submitted during this fiscal timeframe. This includes capital fund dollars, HCV surplus dollars used via MTW flexibility and ARRA Formula funds. • Crawford Manor: completed in FY2011 the façade repair (ARRA formula based stimulus project) $902,070 expended • Agency wide UFAS conversion (Scattered Sites units are identified for UFAS conversion): completed in FY2011 $104,968 expended • Agency wide Vacancy Reduction (Westville Manor, McConaughy Terrace, Ruoppolo Manor and Valley Townhouses): completed in FY2011 $396,892 expended • McConaughy Terrace Boiler Replacement Ph 1 completed in FY2010 & Ph 2 completed in FY2011: $92,927 expended • McConaughy Terrace interior repairs: in progress $172,647 expended • Ruoppolo Manor modernization (window and sliding glass door replacement, and associated hazardous materials abatement): completed FY2011 $456,339 expended • McQueeney Tower modernization (HVAC replacement 1st through 3rd floors, associated asbestos abatement): completed in FY2011 $262,441 expended • Waverly Townhouse boiler replacement: completed in FY2011 $465,955 expended • Valley Townhouse boiler replacement: completed in FY2011 $71,599 expended • Westville Manor erosion control Phase I: completed in FY2011 $19,760 expended Robert T. Wolfe (weatherproofing building, UFAS conversion, restoration of masonry and flashing to the exterior of the building, 504 upgrades to common areas): closeout in progress $247,647 expended.

Description of any new public housing units added during the year of development (specifying bedroom size, type, accessible features, if applicable);	**NEW William T. Rowe** 30 1-bedroom units, 6 UFAS 16 2-bedroom units, 5 UFAS 46 total units **QT III** 3 1-bedroom units, 1 UFAS 6 2-bedroom units, 2 UFAS 8 3-bedroom units, 2 UFAS 17 total units

Number of units removed from the inventory during the year by development specifying the justification for the removal.	1 Scattered Site Unit at 39 County Street was disposed during FY2011. HANH requested disposition approval of 17 units at Valentina Macri during FY 2011. 172 units at William T. Rowe were removed from Inventory.
Number of MTW Housing Choice Vouchers (HCV) units authorized;	HANH has budgetary authority for 4,388 housing choice vouchers. This includes an additional 9 tenant protection vouchers received during FY2011 for the William T. Rowe redevelopment.

Number of non-MTW HCV units authorized; and	HANH administers 80 Single Room Occupancy vouchers; and 35 VASH vouchers that are not included in the MTW program.
Number of HCV units to be project-based during the Plan year, including description of each separate project.	During FY2011, HANH added the following project base voucher units: **New Rowe building** 12 1-bedroom units 20 2-bedroom units Total: 32 units at Rowe; **Quinnipiac Terrace III** 4 2-bedroom 12 3-bedroom units Total: 16 units at QT3 **Shartenberg (360 State St)** 20 units
Overview of housing not managed by HANH.	A total of 739 units. 551 LIPH and 228 Non ACC Units: Monterey 1 – 42 LIPH; 19 Non- ACC **Total - 61** Monterey 2 – 7 LIPH; 2 Non-ACC **Total -9** Monterey 3 – 45 LIPH **Total - 45** Monterey 4 – 42 LIPH; 19 Non-ACC **Total - 61** Monterey 5 – 17 LIPH; 5 Non-ACC **Total - 22** Edith Johnson Towers – 96 LIPH **Total - 96** William Griffin – 4 LIPH **Total - 4** Monterey Phase 2B – 28 LIPH; 14 Non-ACC **Total - 42** Eastview Terrace Phase I – 53 LIPH; 49 Non-ACC **Total - 102** William T. Rowe – 46 LIPH; 58 Non-ACC **Total – 104 (26 are market rate units)** Quinnipiac Terrace Phase 1 – 58 LIPH; 23 Non-ACC **Total- 81** Quinnipiac Terrace Phase 2 – 56 LIPH; 23Non-ACC **Total - 79** Quinnipiac Terrace Phase 3 – 17 LIPH; 16 Non-ACC **Total - 33**

B. Leasing information, Actual	

Actual total number of MTW Public Housing units leased in the Plan year;	HANH ended FY2011 with 2,088 leased units. This represents an adjusted occupancy rate of 95%. Of HANH's total stock listed above, 228 are non –ACC units, 45 are approved non-dwelling units and 72 are under contract for capital improvements and modernization. This leaves 2,187 units available for lease.
Actual total number of HCV units leased in the Plan year;	HANH ended FY2011 with 3,095 vouchers utilized. At the start of FY2011 HANH had 3,069 vouchers under lease. The remainder of HANH's MTW HCV funds are used for modernization, redevelopment and supportive services purposes as approved in the MTW agreement and detailed elsewhere in this report.
Actual total number of non-MTW Public Housing units leased in plan year	HANH has 0 non-MTW Public Housing units.
Actual total number of non-MTW HCV units leased in the Plan year; and	The agency lease up rates for its non MTW SRO Vouchers is 75 out of 80 for a utilization rate of 94%. The agency lease up rate for its non MTW VASH vouchers was 27 out of 35 for a utilization rate of 77%. The VA has been slow to refer applicants and HANH has been interfacing with the VA to assist in the process. VA has indicated a need to hire additional case managers to support the additional vouchers to be leased through HANH. HANH has dedicated staff responsible for the VASH program. Additionally, HANH will explore providing priority status for HCV inspections as needed to facilitate the lease up of these vouchers.
Description of issues relating to any potential difficulties in leasing units (HCV or PH).	HANH had no difficulty leasing units that were available for lease. Of HANH's total stock listed above, 228 are non –ACC units, 45 are approved non-dwelling units and 72 are under contract for capital improvements and modernization. This leaves 2,187 units available for lease. HANH ended FY 2011 with 3,095 HCV under lease. 21 units were in the 2011 Plan to be added as PBV, 6 of these vouchers for the Brookside Homeownership Program should have been identified as Tenant Based vouchers; of the remaining 15, these units were reallocated for the purpose of Supportive Housing for the Homeless.
Number of project based vouchers in use at the start of the Plan year	HANH began FY2011 with 263 PBV. During FY2011 HANH added 68 project based bringing the total to 331, The vouchers were added to: 32 at William T. Rowe, 16 at Quinnipiac Terrace III, and 20 at Shartenberg.

C. Waitlist Information	
Number and characteristics of households on the waiting lists at end of plan year	As of September 30, 2011, the wait list had 12,874 applications on various lists. The actual individual/family applicant without duplication was approximately 5,862.
Descriptions of waiting lists and any changes that were made during Plan year	LIPH Accessible Waitlist: 187; list is open LIPH Site based Family Development Waitlists: 5,539; some bedroom sizes at certain developments were open during FY2011 LIPH Site Based Elderly Designated Waitlist: 76; list is open LIPH Supportive Housing Waitlist: 7; list is open HCV Tenant Based: 920; list is closed HCV Project Based Supportive Housing: 10; list is open

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

Planned vs. Actual Uses of other HUD or Federal Funds

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

ARRA funded projects- CFRC competitive grants

Ruoppolo Manor – awarded $2,476,400 for UFAS conversion in common areas and units. This project was initiated during FY2010 and will be completed during FY2012. 22 units have been converted to 11 UFAS compliant units – 10 (ten) one bedroom units and 1 (one) two bedroom unit. Common area upgrades have been completed creating 504 compliant common areas. The amount of ARRA CFRC Funds expended during FY2011 is $1,785,273.

Quinnipiac Terrace III- awarded $5,000,000 for Phase III of the redevelopment of this development. Construction of Phase III of the redevelopment of Quinnipiac Terrace was initiated during July 2010 Construction was completed during FY2011. The amount of ARRA CFRC Funds expended during FY2011 was. $307,059

William T. Rowe- awarded $10,000,000 for redevelopment of this development. Construction of the redevelopment of William T. Rowe was initiated during August 2010. Construction was completed during FY2011. The amount of ARRA CFRC Funds expended during FY2011 was $7,634,111.

Brookside Infrastructure- awarded $4,733,966 for infrastructure improvements related to the redevelopment of Brookside and Rockview (West Rock). Construction of the infrastructure related to Phase I, II and Homeownership will be completed during FY2012. The amount of ARRA CFRC Funds expended during FY2011 was $1,832,610.

ARRA Competitive Based

Amount Awarded $2,476,400

Ruoppolo	UFAS	$2,048,679
Ruoppolo	UFAS - Administration	$130,802
Ruoppolo	**Total spent from Inception through 9/30/2011**	**$2,179,481**

ARRA Competitive Based

Amount Awarded $4,733,966

Brookside	Brookside	$4,604,793
Brookside	Brookside Administration	$129,173
Brookside	**Total spent from Inception through 9/30/2011**	**$4,733,966**

ARRA Competitive Based

Amount Awarded $10,000,000

Rowe	Rowe	$10,000000

Rowe	**Total spent from Inception through 9/30/2011**	**$10,000000**

ARRA Competitive Based

Amount Awarded	$5,000,000

QT III	QT III	$5,000,000
QT III	**Total spent from Inception through 9/30/2011**	**$5,000,000**

ARRA –Formula based.

During FY2011 $987,883 was expended with $86,219 remaining and will be expended in the 1st quarter of FY2012. Summary of ARRA-Formula based expenditures in FY2011 are as follows:

Administration	Program Administration	$ 0
Scattered Sites	Repair and Abate Vacancies	$ 0
Essex Townhouses	Repair and Abate Vacancies; PNA	$ 0
Fairmount	PNA	$ 0
Ruoppolo Manor	PNA	$ 0
Winslow Celentano	Repair and Abate Vacancies; PNA	$ 564
Farnam Courts	Repair and Abate Vacancies; PNA	$ 0
McQueeney	Kitchens and Bathrooms, PNA	$ 2,590
Rowe	PNA	$ 0
Crawford Manor	Façade and Roof Repair	$821,552
Newhall Gardens	Heating System Upgrade, Mold Remediation and Flooring	$ 9,416
Waverly	Repair and Abate Vacancies; PNA	$ 3,396
Valley	Repair and Abate Vacancies; PNA	$ 0
McConaughy	Repair and Abate Vacancies; PNA; Furnace Replacement	$ 12,120
Abraham Ribicoff Cottages and Extension	Mold and Asbestos Remediation: PNA	$138,245
Westville Manor	Repair and Abate Vacancies; PNA	$ 0
	Total	**$987,883**

The amount spent to date on the ARRA grants is as follows:

ARRA Formula Based

Amount Awarded $6,045,769

Administration	Program Administration	$44,352
Scattered Sites	Repair and Abate Vacancies	$135,937
Essex Townhouses	Repair and Abate Vacancies; Needs Assessment	$136,315
Fairmont	Physical Needs Assessment	$13,031
Ruoppolo Manor	Physical Needs Assessment	$13,031
Winslow Celentano	Repair and Abate Vacancies; Needs Assessment	$181,210
Farnam Courts	Repair and Abate Vacancies; Needs Assessment	$180,420
McQueeney	Kitchens and Bathrooms, Needs Assessment	$1,045,185
Rowe	Physical Needs Assessment	$13,031
Crawford Manor	Façade and Roof Repair	$2,303,504
Newhall Gardens	Heating System Upgrade, Mold Remediation and Flooring	$330,413
Waverly	Repair and Abate Vacancies; Needs Assessment	$69,288
Valley	Repair and Abate Vacancies; Needs Assessment	$88,650
McConaughy	Repair and Abate Vacancies; PNA; Furnace Replacement	$443,223
Abraham Ribicoff	Mold and Asbestos Remediation: Needs Assessment	$399,150
Westville Manor	Repair and Abate Vacancies; Needs Assessment	$562,810
	Total spent from Inception through 9/30/2011	**$5,959,550**

Resident Opportunity and Self-Sufficiency (ROSS) grants

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

	Amount Awarded		Amount Spent FY2011
CT004REF002A007	$348,223	Family Developments	$117,287
CT004RFS031A009	$57,181	FSS Coordinator	$21,273
CT004RPS047A009	$720,000	Resident Services Coordinator	$242,937
CT004RFS038A010	$58,896	FSS Coordinator	$36,844
	$1,184,300		**$418,341**

Planned Sources and Uses of Other HUD or Federal Funds

Planned Sources and Uses of Other Non-MTW Funds

FY2011

Sources	
CSS Endowment Accounts	$691,246
ROSS Grants	$399,701
S8 Mod Rehab Program	$630,362
S8 VASH Program	$287,121
ARRA Formula	$987,892
ARRA Competitive	$8,392,180
Total Non-MTW Sources	$11,388,502
Uses	
Supportive Housing (ROSS/CSS) - Salaries/Administrative	$1,090,947
S8 Mod Rehab Program HAP Expenses	$627,088
S8 VASH Program HAP Expenses	$287,121
ARRA Formula Projects	$987,892
ARRA Competitive	
Ruoppolo Manor UFAS conversion	$1,907,369
Brookside	$1,869,347
Rowe Development	$4,308,405
QT III	$307,059
Total Non-MTW Uses	$11,385,228
Net Surplus/ (Deficit)	$3,274

Discussion of Non-MTW Activities Proposed by Agency

Non-MTW Initiatives. During FY2011, HANH pursued the following non-MTW related initiatives. Separate approvals have been and will be sought where necessary.

Section Eight Homeownership Program. HANH expanded its capacity to serve 150 total families in its Home Ownership Program. Each family may participate for up to 5 years and during their program enrollment, any incremental rent increases due to increased earned income are saved in escrow, on behalf of the family, which the family may use upon graduation for approved self-sufficiency purposes.

During 2011, eight (8) residents were approved for mortgages however; only three (3) residents purchased homes bringing the total number of homes purchased since the beginning of this program to twenty-nine (29).

HANH received approval under Section 24/9 for 10 Section 8 Homeownership Units to be used for the Brookside Homeownership program. HANH anticipates implementing these vouchers during FY2012.

Project Based Voucher Program. In its Administrative Plan, HANH has established site and neighborhood standards to ensure that HANH's project based voucher program promotes statutory and local goals of deconcentration of poverty and expanding housing and economic opportunities. HANH has set forth its PBV Goals in the Administrative Plan. HANH's existing project based vouchers program i.e. Fellowship Place, ALSO Cornerstone and Continuum of Care (Norton Court Supportive Housing/Family Support Collaborative) and Park Ridge Associates, was expanded in FY09 through the competitive award and the completion of Eastview Terrace which includes PBV. During FY11, the PBV was further expanded through the redevelopment of Quinnipiac Terrace Phase III which included 16 project based vouchers, in addition to the use of 32 PBV at the redevelopment of William T. Rowe and the Shartenburg (360 State Street) development being awarded 20 PBV. The program was further expanded through a partnership with the State of CT Department of Mental Health and Addiction Services and the Foreclosure Protection program.

Supportive Housing Initiative with Department of Mental Health and Addiction Services. This initiative was implemented during FY2010. HANH planned to provide twenty (20) vouchers to participants receiving DMHAS' Intensive case management (ICM) services. Participants are screened by DMHAS and given preference on the supportive housing wait list. During FY2011 nineteen (19) individuals have been leased into supportive housing.

Prison Re-entry Program.

HANH established a preference for LIPH units (a maximum of 12 units) for individuals returning to the community from prison who are engaged in community supportive services and job skills training. Residents receive case management services which will assist them in identifying needs and coordinating referrals and services. Individuals participating in program will be lease compliant i.e. pay rent on time and will not be a nuisance to other residents. This initiative was implemented during FY2010 and 10 residents were leased under this program. During FY2011, fourteen (14) residents were supported under this initiative. Two residents were non-compliant with re-entry lease addendum and were evicted; six (6) attained employment. Of the six, two (2) were laid off secondary to the downsizing of companies; six (6) are enrolled in employment skills training programs; one (1) of the six is attending GED classes.

Property Dispositions. HANH intended to dispose of the following properties during FY2011:

620 Grand Ave. (Warehouse) Disposition

With the transition to HUD's Asset Management Model, HANH believes that maintenance of a large centralized warehouse may present management problems for project-based management, and may prove to be unaffordable. HANH plans to dispose of its warehouse. The asset was placed on the real estate market by a Real Estate Broker (NH Group). HANH anticipated the disposition of the warehouse in FY 2011 however, the sale was not completed. This disposition is not subject to Section 18.

Valentina Macri

During FY2011 HANH submitted a disposition application to HUD. HANH awaits HUD approval.

William T. Rowe Disposition

Disposition of this property was approved by HUD in FY2010. During FY 2011, HANH completed construction on the new William T. Rowe. HANH will demolish the old William T. Rowe building during FY2012 and then dispose of the property to Yale New Haven Hospital pursuant to the Swap Agreement.

7 Shelton Avenue

The procurement disposition sale of the 7 Shelton Avenue Property was secured through a negotiated sale for less than market value with Beulah Land Development Corporation, a not for profit housing development corporation, for the development of low income affordable housing units. HANH entered into an Exclusive Option Agreement with the BLDC during FY2011 which calls for BLDC to submit to HANH within two years a viable financing plan acceptable to HANH and then an additional three years to build and sell 9 homeownership units, at which time HANH will receive a portion of the sales proceeds to be applied to the sale price of $49,900.00.

Capital Fund Financing Program.

HANH received HUD approval for its CFFP application, secured its bond rating by Standard and Poors and received a AA- rating and sold bonds during FY2011. These funds were used to finance Brookside Phase 1. HANH has determined that it will not use CFFP bonds for William T. Rowe or 122 Wilmot Road as previously anticipated.

Research and Evaluation.

During FY2010, HANH conducted a competitive procurement to obtain a consultant for evaluating services to determine the effectiveness of HANH's MTW Initiatives; HANH selected a vendor and began statistical analysis and documentation of its initiatives. During FY2011, HANH continued this partnership and has presented some of the results via the MTW Report and plans to expand the discussion at conferences, papers and articles.

Project Based Voucher Program. In its Administrative Plan, HANH has established site and neighborhood standards to ensure that HANH's project based voucher program promotes statutory and local goals of deconcentrating poverty and expanding housing and economic opportunities. HANH has set forth its PBV Goals in the Administrative Plan and has determined that the use of PBV's shall serve "increase housing choice for low income families".
HANH continues to utilize its ability to project base vouchers to support goals of supportive housing, deconcentration of poverty and to support housing choice goals. Pursuant to 24 CFR Part 982.201.b., HANH used this authority to amend its Administrative Plan for the Brookside Rental Phase 1 Mixed Finance development to permit the use of up to 15% of the Project Based units for low income families. HANH used its Authority to allocate up to 45% PBV for low–income families for the Brookside Phase II mixed-finance development. Additionally, there are 357 Project Based units in HANH's portfolio. Casa Familia – 12; Cornerstone Residence – 4; CUHO – 24; Fellowship – 23; Ferry MHA L.P – 9; Howe St. Limited Partnership – 13; Stephen Johnson – 12; Eastview Terrace – 49; Park Ridge, LLC. – 60; Frank Nasti – 11; Quinnipiac Terrace Phase I – 23; Quinnipiac Terrace Phase II – 23; Quinnipiac Terrace – 16; William T. Rowe - 58; Shartenberg – 20.

Energy Performance Contracting:

During FY 2011 HANH worked with HUD staff and outside consultants to draft its Energy Performance Contract RFP. Upon HUD approval HANH will publish the Request for Proposal to solicit response from an ESCO (Energy Services Company). It is expected that during FY2012 HANH will enter into an Energy Performance Contract with the selected ESCO. The Energy Performance Contract will implement energy saving measures reducing the Agency's consumption and costs for electricity, gas and water.

Increase Cap for PBV to 100 Percent for Voluntary Conversion.

This activity is now classified as an MTW activity since MTW authority is needed to increase the allocation for PBVs within a project to more than 25 percent, except for elderly and disabled units. HANH received approval for this initiative for FY2011. We began an analysis of HANH's portfolio to determine the most appropriate property or properties for conversion. The analysis will be completed during FY 2012; however any actual conversion is not anticipated to occur until FY12 or beyond.

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

HANH has strategically procured a generation rate reduction of electricity and natural gas commodities in a deregulated market to support its efforts in the energy conservation. HANH successfully obtained a rate reduction through a competitive procurement process which has developed a reduction in its energy operating expenditures. Under current program regulations, HANH may propose to retain 50% of the savings obtained. HANH proposes to retain 100% of the savings generated. HANH will place 100% of the savings into an escrow account which will be utilized to self finance energy conservation measures. Proposed ECMs have been identified by an energy audit that HANH had completed by an energy consulting firm, AMERESCO. Retaining the savings and investing in ECMs would greatly assist HANH is achieving its energy interests and goals and reduce overall operating costs.

During FY2010. HANH submitted a proposal to HUD seeking approval of HANH's retention of the savings. There have been negotiations occurring between HANH and HUD during FY 2011.

Pursuit of HOPE VI funding for West Rock redevelopment.

During FY 2011 HANH applied for HOPE VI funding for the West Rock redevelopment effort but was not funded.

IV. Long-Term MTW Planning (Optional)

MTW Goal	Description of Long Term (10 Years) Strategic Plan
1. Reduce cost and achieve greater cost effectiveness in Federal expenditure.	Streamline administrative functions in LIPH and HCV program operations through transition to paperless systems and electronic files. Continued process of streamlined administration of HCV program through introduction of HQS self certification program for model landlords. Exploration of regional provision of housing authority services on a fee for service basis. Disposition and/or conversion of remaining non-performing assets. Continued investment in technological advances to reduce administrative burden and create model wired and wireless communities. Continued investment in energy efficiency initiatives to improve the efficiency of HANH's operations.
2. Give incentives to families with children whose heads of household are either working, seeking work or are participating in job training, educational or other programs that assist in obtaining employment and becoming economically self sufficient	Develop transitional models of assistance that move families toward self sufficiency and away from subsidized housing in progressive steps. Expansion of resident owned business initiatives leading to an increase in the number of HANH contracts executed with such business enterprises and support for these businesses successfully competing for non-HANH work. Expansion of cost effective training programs and increase in number of residents participating in such. Expansion of supportive services programming to provide needed supports to families as they move toward self-sufficiency. In the long term, on-site supportive services is critical to our effective management of Elderly/Disabled developments—perhaps equally important to security improvements—as more than 90% of our Elderly/Disabled waiting lists are persons with disabilities and, based on recent admissions, the majority have significant behavioral health disabilities. Create linkages with local school system to support children's academic progress and attainment. Expand the CARES program to additional developments to incentivize resident employment and decrease length of stay in subsidized housing for work eligible families.
3. Increase housing choices for low income families	Complete final revitalization effort of HANH's LIPH housing stock through revitalization/redevelopment or disposition of remaining poor performing assets, e.g., Valentina Macri and Ribicoff Cottages and Extension. Explore conversion of non-performing public housing assets to profitable affordable housing options through housing choice voucher subsidy and other leveraging. HANH will seek to address the housing crisis experienced by the otherwise eligible re-entry population by assisting with housing choices for individuals who are being serviced through a comprehensive service approach to re-entry. Development of home ownership options (West Rock and Quinnipiac Terrace redevelopments) Promotion of housing opportunities for income eligible local workforce through LIPH and HCV programs. Promote development opportunities in non-HANH developments through use of housing choice vouchers to create mixed income, mixed finance viable housing opportunities for participants.

V. *Proposed MTW Activities: HUD approval requested but not implemented*

1. *Dwight Cooperative Redevelopment*:

Not implemented and will not implement due to developer's change in financing plan

It was anticipated that HANH would partner with a local non-profit organization to rehabilitate an 80 unit HUD foreclosed property into a mixed income development; however, the developer obtained financing from sources outside of HANH and therefore, did not need to pursue this initiative.

2. *Security Deposit Guarantee Program:*

Not implemented due to lack of participant request

HANH proposed if FY 2010 an initiative to replace a benefit previously offered by the State of CT that offered assistance for HCV participants with security deposits. Due to lack of demand for the assistance, HANH has not granted any assistance

VI. Ongoing MTW Activities: HUD approval previously granted

Increased Housing Choice

Development of Commercial Property at 122 Wilmot:

Implemented FY2011

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

B. Analysis of Impact on Stated Objective	The Development closed on December 22, 2011 and has yet to be completed. Therefore, no analysis can be determined as of yet.
C. Actual Performance v. Baseline/Benchmark	The Development closed on December 22, 2011 and has yet to be completed. Therefore, no analysis can be determined as of yet.
D. Were benchmarks revised?	No
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change
G. Authorization Cited	Section C.14 authorized the Agency to enter into commercial business ventures to promote its neighborhood stabilization goals Attachment C. Section B.b.ii authorizes the Agency to use its flexibility to use its Section 8 (o) funds to develop assisted living and commercial facilities, including the acquisition of property.

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

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

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

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

Use of the Alternate TDC's during FY2011 allowed for the construction of 78 affordable rental units and 26 market rate units at William T. Rowe as planned and 33 affordable units at QT3. The 2011 Plan called for 100 affordable units at Brookside Phase 1 and 20 affordable homeownership units at Brookside Homeownership. Construction started on the 100 affordable units during FY2011 and will be completed during FY2012. Construction on the 20 homeownership units started in FY2011 but will be phased with the first six units being completed during FY2012, and the remainder in FY2013.

B. Analysis of Impact on Stated Objective	HANH's design standards provide larger units with additional amenities. The units have materials that are of higher quality than average for long-term viability and durability. These units are more marketable and expand the quality of housing for low income families. Projects that are completed using the new guidelines provide quality space and thereby housing of choice. The developments are more energy efficient, have a longer useful life and require less emergency work order requests. A secondary positive impact is the anticipated faster lease ups and fewer turnovers. Measures of success of this initiative include assessment of the marketability and desirability of the units, REAC scores and requests for work orders. At baseline, completed units. Approval of Alternate TDC's in July 2010 will allow use of the revised TDCs for the following redevelopment projects: Brookside, Rockview, William T. Rowe and Quinnipiac Terrace III As of September 30, 2011, units were completed at Quinnipiac Terrace Phase 3 and William T. Rowe. All measures show that units designed with HANH's design standards are meeting the market needs and desirability based upon the ease of marketing the units and lease up time. Given the recent completion and occupancy, data is not yet available for REAC scores and work order requests.
C. Actual Performance v. Baseline/Benchmark	Using the Alternate TDC's was projected to allow for the development of 78 affordable rental units and 26 market rate units at William T. Rowe, 33 affordable rental units at QTIII, 100 affordable units at Brookside and 20 replacement affordable homeownership units at Brookside Homeownership. During FY 2011, 33 affordable units at QT3 and 78 affordable rental units and 26 market rate units at the new William T. Rowe were constructed. 100 affordable units at Brookside and 20 affordable homeownership units are under construction and will be completed during FY2012.
D. Were benchmarks revised?	No
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change
G. Authorization Cited	Amended and Restated Moving to Work Agreement, Attachment C, and Section C.16 provides authorization for HANH to establish reasonable cost formulas for development and redevelopment activities.

Cap on Project Based Units in a Project:

Implemented FY2010

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

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

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

The metric for the Cap on Project Based Units in a Project is the number of additional affordable low-income housing units created as result of the increase of the cap. The Projects that benefited from this project are QT III and Brookside Phase 1 Rental.</td></tr>
<tr><td>C.
Actual Performance v. Baseline/Benchmark</td><td>
<table>
<tr><td></td><td>Baseline</td><td></td><td>Benchmark</td><td></td><td></td></tr>
<tr><td></td><td># of units to be created</td><td>% PBV</td><td># of units created</td><td>% PBV</td><td></td></tr>
<tr><td>QT III</td><td>8</td><td>25%</td><td>8</td><td>48%</td><td></td></tr>
<tr><td>Brookside Phase 1</td><td>25</td><td>25%</td><td>Under construction</td><td>Under construction</td><td></td></tr>
<tr><td>CUHO New</td><td>3</td><td>25%</td><td>Under construction</td><td>Under construction</td><td></td></tr>
</table>
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.</td></tr>
<tr><td>D.
Were benchmarks revised?</td><td>To reflect the fact that the Dwight St. Cooperative project redevelopment was not implemented and incorporated additional projects where HANH exceeded the 25% cap.</td></tr>
<tr><td>E. Revisions to Data collection methodology</td><td>N/A</td></tr>
<tr><td>F. Did authorization change?</td><td>No change.</td></tr>
<tr><td>G. Authorization Cited</td><td>Section D.1.e and D.7 of Attachment C authorizes the Agency to set its own limit in spite of the 25 percent cap under Section 8(o) (13) of the Act.</td></tr>
</table>

HCV Preference and set-aside for victims of foreclosures:

Implemented FY2009

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

This program includes 25 TBV and 25 PBV but the combined total will not exceed 50 Of the 25 PBV, 7 were reallocated for Tenant Based Supportive Housing and 17 were reallocated for Project Based Supportive Housing for the Homeless. Vouchers may be awarded to families whose housing is threatened because the property they are leasing goes into foreclosure and new owners who are purchasing a property in foreclosure. Tenants apply via the waitlist. Owners apply through the PBV RFP process. The program is not designed for the landlord who is in foreclosure.

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

During FY09 HANH began accepting referrals for this program. During FY2010, 25 tenant based vouchers were awarded and applications for the project based vouchers were received. During FY 2011, 7 were reallocated for tenant based supportive housing and 17 were reallocated and awarded for project based Supportive Housing for the Homeless.

B. Analysis of Impact on Stated Objective	At baseline no families participated in this program. It is anticipated that up to 50 families will apply and be granted such assistance. Benchmark: Preserve affordable housing opportunity for up to 50 families whose housing was otherwise threatened by foreclosure. Return up to 25 foreclosed properties to operation. Cost effectiveness for participants as PBV subsidized rents assist in keeping quality units affordable issued.
C. Actual Performance v. Baseline/Benchmark	HANH has currently issued 25 foreclosure TBV and leased up 23 households. 7 of the 25 PBVs were reallocated for tenant based supportive housing; 17 were reallocated and awarded for PBVs for Supportive Housing for the Homeless.
D. Were benchmarks revised?	Yes. HANH reallocated vouchers as set forth above.
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change.
G. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C, Section D.4. Waiting List Policies authorizes HANH to establish preferences that differ from the currently mandated program Requirements of the 1937 Act and its implementing regulations. Section D.1.e authorizes HANH to determine the percentage of housing voucher assistance that it is permitted to project-base

Promote Expanded Housing Opportunities for HCV Program:

Implemented FY2008

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

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

B. Analysis of Impact on Stated Objective	HANH's ability to approve exception rents has the impact of expanding housing choice for low income families that otherwise have difficulty accessing housing under the HCV program. Approval of exception rents slightly increases the annual expenditures under the HCV program. By allowing exception rents, families were able to locate and move into homes with 4 and 5 bedrooms, accessible features and in non-impacted area that they would not have been able to lease within the 110% Voucher Payment Standard. The Exception Rent average was126% of the FMR.-
C. Actual Performance v. Baseline/Benchmark	Exception Rents Issued FY2008 - Base Year 0 HANH does not have tracking data for this fiscal year Exception Rents Issued FY2009 – 3 Exception rents were requested, 3 exception rents were approved 2 - Accessible Unit/Non-Impacted Area 1 – Hard to House due to Bedroom Size Lease up rate Exception Rents Issued FY2010 – 9 Exception rents were requested, 9 exception rents were approved 1 – Accessible Unit 7 – Hard to House due to Bedroom Size 1 – Hard to House due to Bedroom Size/Non-Impacted Area Lease Up rate Exception Rents Issued in FY2011 – 2 Exception rents were requested, 2 exception rents were approved 0- Accessible units 1- hard to house due to BR size 1- Access to non-impacted area Lease Up rate
D. Benchmarks revised?	N/A
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change.

G. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C- Section D.2.a authorizes HANH to adopt and implement any reasonable policy to establish payment standards, rents or subsidy levels for tenant-based assistance that differ from the currently mandated program requirements in the 1937 Act and its implementing regulations.

Increasing Family Self Sufficiency

Family Self-Sufficiency Program:

Implemented FY2007

HANH's FSS program provides intensive counseling and case management services to help participant families achieve their self-sufficiency goals, according to each family's needs. In 2007, HANH revised its FSS program to include additional services to assist residents in addressing a full range of barriers to achieving self sufficiency and employment. This change has allowed HANH to provide much needed services to a larger number of LIPH and Section 8 residents. Service referrals focus on remedial education, literacy classes, GED preparation, vocational and financial management, job skills/ employability, etc. Further HANH has invested in Computer/Learning Labs which offer services that assist families in their move toward self-sufficiency. Finally, HANH has created a "Specialized Training" program which offers training in fields where there are employment opportunities i.e.: healthcare, auto mechanics, etc. This training should provide the skills necessary for residents to obtain employment or increase their earnings.

B. Analysis of Impact on Stated Objective	Residents progress towards self-sufficiency by addressing barriers they experience. Residents achieve economic self-sufficiency through employment. Increased employment Increased family income
C. Actual Performance v. Baseline/Benchmark	Baseline: During FY2009 25 residents participated in the job skills/ employment training program. Average Family Income - $18,526.00 Benchmark for FY 2010: 32 residents participate in job skills/employment training Actual performance: During fiscal year 2010, 32 residents participated in job skills/employment training. Average Family Income - $19,038.00 68% of residents enrolled in FSS increased their income and nine (9) became employed. Twenty-seven residents participated in Job skills training and eight (8) completed computer skills training (basic and intermediate) During fiscal year 2011 Thirty-eight (38) residents participated in job skills/employment training One Hundred Ninety-three (193) residents were enrolled in various classes One Hundred Sixteen (116) referrals were made from resident services to FSS There were One Hundred Ninety-two (192) total referrals to FSS Sixty-three (63) residents became employed during 2011. Average Family Income - $25,743.00
D. Were benchmarks revised?	No
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change.

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

Promoting Self-Sufficiency/Earned Income Exclusion

Implemented FY2008

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

B. Analysis of Impact on Stated Objective	Residents will report increase in earned income. Resident will improve credit and build income for the first four years of the program.

C. Actual Performance v. Baseline/Benchmark	At baseline: 0% of program participants showed improved credit and saved income. Average credit score of residents enrolled in FSS in 2008: 534 Average credit score of residents enrolled in FSS in 2009: 587 43% of the families increased their income. Average income of residents enrolled in FSS: $18,526 FY2009

Total saved escrow	# of families	Average savings
$176,653	46	$3,840

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

Benchmark:
During FY2010:
Average income of residents enrolled in FSS: $19,038.25 (3% increase over baseline year)
Average credit score of residents enrolled in FSS: 660 (12% increase over baseline year)

54% of program participants showed improved credit
Average Earned income increased by 10%
Average saved income increased by 10%
Nine residents became employed for first time
68% of participants increased their income.
Four residents were able to purchase homes.

October 2009			September 2010		
Total saved escrow	# of families	Average savings	Total saved escrow	# of families	Average savings
$186,663	48	$3,888	$195,407	51	$3,831

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

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

Average Saved income has remained fairly consistent.

October 2010			September 2011		
Total saved escrow	# of families	Average savings	Total saved escrow	# of families	Average savings
$192,804	36	$4,861	$175,020	50	$3,856

D. Were benchmarks revised?	No
E. Revisions to Data collection methodology	Average income of residents enrolled in FSS increased as well as average credit scores. These successes were noted despite overall economic downturn and challenges in economy.
F. Did authorization change?	No change.
G. Authorization Cited	HANH’s Amended and Restated MTW Agreement Attachment C Section C.11 and Section D.2 authorizes HANH to develop alternative rent policies and term limits.

Increasing Cost Effectiveness and Efficiency

Rent Simplification:

Implemented FY2008

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

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

Two and three year recertification cycles. Positive impacts related to less frequent recertifications are expected in administrative savings, resident/participant satisfaction and reduced need for interim recertifications. HANH will notify residents of the flat rent option and community service requirements on a cycle consistent with recertifications. However, residents/participants may request flat rent at any time outside of the recertification cycle if so desired.

Simplified Rent Tier that incorporates deductions. Positive impacts are expected in administrative savings, simplified process for residents/participants and fewer recertification appointments. Also, rent tiers have been built to minimize impact on residents during initial years and to phase in rent increases over time. Residents will not experience an overwhelming rent burden, yet will be incentivized to increase their earnings over time as their rent gradually increases. Impact on income, hardship and minimum rent participation will be tracked.

Exceptional expenses. Excessive resources are dedicated to verifying deductions for child care, medical and disability allowances. Third party verifications of these amounts are difficult to accomplish and the agency more often than not relies upon second and first party verifications of these deductions. Obtaining verification data also places an undue burden on the resident. To simplify this process, HANH will eliminate standard deductions for these amounts for elderly, disabled and non-elderly households. Households with exceptional expenses may request a rent reduction. This includes large families (with more than two children). It also includes families with excessive medical, disability assistance, or childcare expenses. The amounts of expense are set in $1,000.00 tiers. This allows HANH to move away from verifying every last dollar. Tenants are not required to provide documentation of every dollar of expense; rather, tenants need only provide documentation sufficient to meet the appropriate tier. The amount of monthly rent reduction is established at the mid-range of the tier. Households with exceptional expenses will receive a direct reduction of the monthly rent. However, no tenant's rent will be reduced below a rent of $50.00 as a result.

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

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

HANH anticipates positive impact on resident's move toward self sufficiency for the lowest earning families as they are incentivized to enroll in FSS. FSS enrollment rates will be tracked.

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

C. Actual Performance v. Baseline/Benchmark	Baseline: All incomes, previous deductions, rents and subsidies were recorded for each resident/participant prior to transition to rent simplification. All families on minimum rent must enroll in FSS (with the exception of Elderly/Disabled families). This provides the baseline data against which change is measured. This database also provides the baseline rents that are compared to ensure that no resident/participants rent increases beyond the approved levels during years 1 through 5 of the implementation. Additionally, personnel costs were documented at the start of the implementation. HANH's administrative savings related to personnel savings over FY08 equaled $133,000. Benchmarks: Rent burden does not exceed 28.5% of household income Family income will increase Number of annual recertifications will decrease from approximately 5000 to 2000 **FY08-** HCV Average resident/participant income - $14,661 Average TTP - $322; Number of annual recertifications - 2,947 Rent tiers set at 28.5% LIPH Average resident/participant income -$13,100 Average TTP $275 Number of annual recertifications -1,514 Rent tiers set at 28.5% **FY09-** **HCV** Average resident/participant income - $13,392 Average TTP $220 Number of annual recertifications -1,888 Rent tiers set at 28.5% LIPH Average resident/participant income -$13,435.00 Average TTP $304.00 Number of annual recertifications -1,009 Rent tiers set at 28.5% Deferred administrative costs remain at $133,000. No additional savings. **FY10-** **HCV** Average participant income $14,970 Average TTP $346.00; (typographical error corrected from prior version) Number of annual recertifications – 1,373 Rent tiers set at 28.5% **LIPH** Average resident income $13,346 average TTP $219; Number of annual recertifications 891 Rent tiers set at 28.5% Deferred administrative costs remain at $133,000. No additional savings. Calculation errors will be tracked beginning in FY2011. **FY11-** **HCV** Average participant income $14,801 Average TTP $337; Number of annual recertifications –991 Rent tiers set at 28.5%

	LIPH Average resident income $12,807 average TTP $293; Number of annual recertifications 456 Rent tiers set at 28.5% Deferred administrative costs remain at $133,000. No additional savings. Calculation errors: 45 and only 12 resulted in a change to TTP.
D. Were benchmarks revised?	No
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change.
G. Authorization Cited	HANH's Amended and Restated MTW Agreement Attachment C Section C.11 and Section D.2 authorizes HANH to develop alternative rent policies and term limits.
H. Hardship Reviews	During FY2011, 106 hardship reviews were requested. 42 were granted. 64 were denied. Denials were due to lack of documentation of extraordinary expense.

LIPH Public Housing UPCS Inspection

Implemented FY2008

HUD has previously approved HANH's proposal to adjust its LIPH unit inspection protocols. HANH previously conducted UPCS inspections of 100% of units and sites each year. UPCS inspections include the entire housing stock, including vacant units.

The UPCS inspections cover all five areas covered in HUD's REAC standards: Dwelling Units, Common Areas, Site, Building Exteriors, and Building Systems. Any deficiencies identified through HANH's UPCS inspections generate work orders to correct the deficiencies. HANH has established a preventive maintenance plan with a regular periodic schedule of inspections; HANH conducts housekeeping inspections as part of all routine inspections and on an as-need basis. During FY 2009, HANH did a random sampling of no less than 20% of units based on the results of HANH's preventive maintenance program, development performance, and other management needs. This activity continues

B. Analysis of Impact on Stated Objective	A comprehensive preventative maintenance program ensures that units, sites, buildings and systems receive regular inspections. Consistent oversight of work order completion rates ensures that the work that is identified is performed in a timely manner. As such, HANH has implemented a cost effective initiative that reduces the number of UPCS inspections that must be completed each year. By targeting UPCS inspections at properties most in need, HANH can maximize use of limited resources. Positive impact with reduced cost savings of 50% of the overall cost of inspections and negligible change to the overall agency REAC score.
C. Actual Performance v. Baseline/Benchmark	FY 07 provided the baseline data during which all units were inspected. Beginning in FY08, 20% of units are selected each year for inspection. Units in developments with poorer REAC scores will be more heavily sampled for inclusion in inspection sample. During FY08, HANH's average agency wide REAC score was 82.11 points. FY08 Cost for inspections $16,446.50 During FY09, HANH's average agency wide REAC score was 79.59 points. FY09 Cost for inspections $4,930.25 During FY10, HANH's average agency wide REAC score was 76.62 points. FY10 Cost for inspections $9,414.00 HANH's FY 2011 goal is to achieve an average REAC score of 80 FY11 cost for inspections $7,907.00
D. Were benchmarks revised?	No
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change.
G. Authorization Cited	The Amended and Restated MTW Agreement, Attachment C- Section C.9 authorizes HANH to develop simplified property management practices including alternative property and system inspection protocols.

Implement Mandatory Direct Deposit for Housing Choice Voucher Landlords

Implemented FY2010

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

B. Analysis of Impact on Stated Objective	Implementation of this initiative will reward landlords with timely and accurate HAP payments. This increases efficiency while easing HANH's burden to accurately administer 1,300 HAP payments to landlords. This initiative minimizes landlord complaints on non-payment of HAP payments and reduces administrative costs of administrating the program.
C. Actual Performance v. Baseline/Benchmark	At baseline, HANH served over 1,300 landlords and approximately 634 had authorized agreements for direct deposits, which is about 49%. A baseline cost to process a check is $7.50. Goal: HANH seeks to increase direct deposit utilization to 100%. All new owners are required to enter in Direct Deposit Agreements. HANH implemented a mandatory Direct Deposit Program during FY2010 in which all new landlords are enrolled in direct deposit. At the end of FY10, HANH had 889 of the 1,320 landlords or 67% enrolled. The cost to process one check equals $7.50. The increase in enrollment during FY 2011 saves an additional$23,000.00 annually. At the end of FY2011, HANH had enrolled 918 of 1,321 landlords or 69%. The cost to process one check equals $7.50. The increase in enrollment during FY 2011 saves an additional $2,610 annually. Cumulative annual savings are $25,610.00 HANH will be performing outreach to landlords during FY2012 to discuss the benefits of direct deposit.
D. Were benchmarks revised?	No
E. Revisions to Data collection methodology	None
F. Did authorization change?	No change.
G. Authorization Cited	The Amended and Restated MTW Agreement Attachment C Section D.1 authorizes HANH to determine the term and content of the HAP contracts to owners during the term of the MTW demonstration

VII. Sources and Uses of Funding

A. Unaudited Financial Statements

Sources and Uses of MTW Funds

FY2011

Sources	**Budget**	**Unaudited Actual**
Rent	4,000,000	3,978,023
Operating Subsidy	14,600,000	13,693,428
Capital Grant FY2010	370,000	246,090
Other Revenue	200,000	426,317
Development Fees	1,533,582	
Developers Fees Eastview	182,000	
HCV Subsidy	54,778,013	53,389,345
MTW Transfer - Prior Year Reserves		
Total Sources	**75,663,595**	**71,733,203**
Uses		
Operations		
LIPH and CED Administrative	23,275,600	19,726,627
HCV Administration	2,593,995	2,663,348
COCC Deficit		3,935,303
HVC Expenses		
HCV HAP Expenses	33,840,000	32,480,411
PBV - prior to 2008 (including Foreclosure vouchers)	398,000	1,922,353
Eastview PBV	746,000	632,742
Shartenberg	205,000	2,761
Brookside Homeownership 6 units	9,000	0
QT III		22,054
Dwight St. Cooperative	294,000	0
Howe St.	153,000	60,994
Nasti	72,000	90,492
Mutual Housing	102,000	78,094
Mutual Housing-new	205,000	11,236
CUHO	143,000	150,494
CASA	153,000	114,367

Foreclosure (included in PBV above)	519,000	0
Total LIPH and HCV uses	**62,708,595**	**61,891,276**
Available from LIPH and HCV	12,955,000	9,841,927
Capital Funds	**4,020,000**	**6,114,828**
Available for Supportive Services , Capital and Development Projects	16,975,000	15,956,755
Community and Economic Development (Supportive Housing)		
Eastview Terrace Youth services	182,000	80,950
McQueeney Supportive Services	153,000	224,311
Crawford Manor Supportive Services	219,000	184,777
Ruoppolo Manor	95,000	123,067
Robert T. Wolfe	147,500	123,628
William T. Rowe	78,000	74,868
Winslow Celentano	138,000	17,123
Fairmont	138,000	9,975
CEO Training	292,900	0
Clinical Social Worker	87,000	
Total Community and Economic Development Project Uses	1,530,400	838,699
Capital Projects		
Robert T. Wolfe modernization	1,823,655	247,647
Agency wide UFAS compliance	100,000	104,968
Agency wide vacancy reduction	385,000	396,892
McConaughy Terrace-furnace and water heater	216,000	92,927
McConaughy Terrace- interior repairs	440,000	172,647
Ruoppolo Manor modernization	960,000	456,339
McQueeney Tower modernization	585,000	262,441
Waverly Townhouses boiler replacement	425,000	465,955
Valley Townhouses boiler replacement	350,000	71,599
Westville Manor-erosion control Phase 1	211,000	19,760
Crawford Manor completion of Façade Repair		80,518
From FY2010 MTW Plan		
Westville Fire Units		59,739
Newhall Heating Upgrade and Mold Remediation		12,097
Prescott Bush General Upgrade		85,173
McConaughy Fire Units		14,795
McConaughy General Trades		307,921
McQueeney 504, Kitchen and Bathroom Upgrades		128,781
McQueeney Fire Units		3,164

Ribicoff Mold and Asbestos		9,143
Ribicoff Fire Units		14,795
Ruoppolo UFAS		2,223
Motley drainage remediation		8,228
Rowe Parapet Repair		2,445
Winslow elevator		1,031
Fairmont Roof		173
295 Wilmot Chimney		10,463
295 Wilmot Repair		1,954
Essex Site and Security		28,249
Contingency	3,000,000	
Valley Playground		3,552
Farnam Chimney Repair		7,169
Westville Playground		11,695
Middletown Ave parking lot		151,555
Total Capital Projects	8,495,655	3,236,037
Development Projects		
Development expenses	675,000	719,961
CFFP bond repayment	968,000	1,253,016
QTIII	2,017,071	20,719
William T. Rowe	894,400	3,708,243
Rockview		472
122 Wilmot Road		492,420
Brookside		2,977,311
Brookside Homeownership	582,000	0
Total Development Projects	5,136,471	9,172,142
Total Supportive Services, Capital and Development Project Uses	**15,162,526**	**13,246,878**
Net Balance	**1,812,474**	**2,709,877**

The Authority has entered into contracts for major repairs, renovations and development of its properties that will result in a significant reduction in Authority current liquid reserves and accumulation of future liquid reserves. Subsequent to September 30, 2009 the aggregate commitment of current funds to date for uncompleted contracts aggregated approximately **$22.3** million. Additional contracts in excess of **$22.6** million are in various stages of approval with a high expectation of commitment in near future years. The funds required to pay these contract commitments are currently held in reserve accounts in the name of the Authority or will be earned by the Authority in near future years.

Contracts ($22.3million)

Rowe Land Swap Escrow – closed in FY2010- $5.2

Rowe Environmental – closed in FY2010- $.5

QT III Costs – closed in FY2010 - $1.511 + $1.261

Rowe Costs – closed in FY2010 - $5.032+$.593

Brookside Phase 1 Rental – closed in FY2011 (October 2010) - $2.5289+$2.882

Brookside Home Ownership – closed in FY2011 - $2.5

In approval stages – ($22.6 million)

Brookside Phase 2 Rental - expect to close FY 2012 $4,011,740

Rockview Phase 1 Rental - expect to close FY 2012 $7,072,458

122 Wilmot Road - expect to close FY 2012 $3,200,000* + $8,300,000 (if we do not do CFFP)

Val Macri Disposition - expected FY 2012 $50,000

HANH had expended the majority of its ARRA formula based funds during FY2010 with total spent from inception through 9/30/2011 being $5,959,550. In FY2011 $987,883 was expended with $86,219 remaining which will be expended in the 1st quarter of FY2012 as follows:

Administration	Program Administration	$ 0
Scattered Sites	Repair and Abate Vacancies	$ 0
Essex Townhouses	Repair and Abate Vacancies; PNA	$ 0
Fairmount	PNA	$ 0
Ruoppolo Manor	PNA	$ 0
Winslow Celentano	Repair and Abate Vacancies; PNA	$ 564
Farnam Courts	Repair and Abate Vacancies; PNA	$ 0
McQueeney	Kitchens and Bathrooms, PNA	$ 2,590
Rowe	PNA	$ 0
Crawford Manor	Façade and Roof Repair	$821,552
Newhall Gardens	Heating System Upgrade, Mold Remediation and Flooring	$ 9,416
Waverly	Repair and Abate Vacancies; PNA	$ 3,396

Valley	Repair and Abate Vacancies; PNA	$ 0
McConaughy	Repair and Abate Vacancies; PNA; Furnace Replacement	$ 12,120
Abraham Ribicoff Cottages and Extension	Mold and Asbestos Remediation: PNA	$138,245
Westville Manor	Repair and Abate Vacancies; PNA	$ 0
	Total	**$987,883**

B. Planned Sources and Expenditures of State or Local Funds

State

Project	Funding source	Planned Expenditure	Actual
William T. Rowe	CHFA Construction Loan	$15,678,515.00	$14,327,955
Quinnipiac Terrace Phase 3	CHFA Construction Loan	$7,491,699.00	$ 7,488,101
Brookside Rental Phase 1	CHFA Construction Loan	$ 11,219,925.00	$8,204,398

Local

Project	Funding source	Planned Expenditure	Actual
William T. Rowe	City of New Haven	$4,000,000.00	$3,392,500
Brookside	City of New Haven	$3,500,000.00	$1,975,000
Ruoppolo Manor UFAS conversion	City of New Haven	$271,800	$20,206.25

The Rowe Development was substantially completed in FY2011 and the funds are being drawn down as part of the final payment in FY2012.

C. Planned vs. Actual Use of COCC

FY2011	**Budget**	**Unaudited Actual**
Sources		
Management Fees	$2,435,106	$1,834,908
Bookkeeping Fees	$688,820	$450,352
Capital Administration	$240,062	$279,780
Fee For Service	$1,116,991	$0
Total COCC Sources	$4,480,979	$2,565,040
Uses		
Administrative and Operating Costs	$5,448,840	$6,500,343
Total COCC Uses	$5,448,840	$6,500,343
Net Surplus/ (Deficit) - transferred to MTW Use	($967,861)	($3,935,303)

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

Not applicable

E. Planned vs. Actual use of Single –Fund Flexibility

Description of How Fungibility was Used

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

FY2011

		HANH SOURCES				
Project Total		Capital Grants	Developer Fees	ARRA Competitive	ARRA Formula	MTW
HCV						
HCV HAP Expenses	$32,480,411					$32,480,411
PBV - prior to 2008 and including Foreclosure	$1,922,353					$1,922,353
Eastview PBV	$632,742					$632,742
Shartenberg	$2,761					$2,761
Brookside Homeownership 6 units	$0					$0
QT III	$22,054					$22,054
Dwight St. Cooperative	$0					$0
Howe St.	$60,994					$60,994
Nasti	$90,492					$90,492
Mutual Housing	$78,094					$78,094
Mutual Housing-new	$11,236					$11,236
CUHO	$150,494					$150,494
CASA	$114,367					$114,367
Total HCV	**$35,565,998**					**$35,565,998**
Community and Economic Development						
Eastview Terrace Youth services	$80,950					$80,950
McQueeney Supportive Services	$224,311					$224,311
Crawford Manor Supportive Services	$184,777					$184,777
Ruoppolo Manor	$123,067					$123,067
Robert T. Wolfe	$123,628					$123,628
William T. Rowe	$74,868					$74,868
Winslow Celentano	$17,123					$17,123
Fairmont	$9,975					$9,975
Total CED	**$838,699**	**$0**	**$0**	**$0**	**$0**	**$838,699**
Capital Projects						
Robert T. Wolfe modernization	$247,647					$247,647
Agency wide UFAS compliance	$104,968					
Waverly						$5,337
Scattered Sites						$99,631
Agency wide vacancy reduction	$396,892					
Westville						$88,337
Valley						$53,837
Waverly					$3,396	
McConaughy					$12,120	$96,162
Crawford						$25,667
Celentano					$564	$1,241
Farnam						$15,847
Fairmont						$37,811
Essex						$27,695
Scattered Sites East						$34,215
McConaughy Terrace-furnace and water heater	$92,927					$92,927
McConaughy Terrace- interior repairs	$172,647	$136,668				$35,979
Ruoppolo Manor modernization	$456,339	$456,339				
McQueeney Tower modernization	$262,441					$262,441
Waverly Townhouses boiler replacement	$465,955	$463,635				$2,320
Valley Townhouses boiler replacement	$71,599	$69,279				$2,320
Westville Manor-erosion control Phase 1	$19,760					$19,760
Crawford Manor completion of Façade Repair	$902,070				$821,552	$80,518
From FY2010 MTW Plan						
Westville Fire Units	$59,739					$59,739
Newhall Heating Upgrade and Mold Remediation*	$12,097				$9,416	$2,681
Prescott Bush General Upgrade	$85,173					$85,173
McConaughy Fire Units	$14,795					$14,795

McConaughy General Trades	$307,921					$307,921
McQueeney 504, Kitchen and Bathroom Upgrades	$131,371	$89,036			$2,590	$39,745
McQueeney Fire Units	$3,164					$3,164
Ribicoff Mold and Asbestos*	$147,388				$138,245	$9,143
Ribicoff Fire Units	$14,795					$14,795
Ruoppolo UFAS*	$1,807,702			$1,785,273		$2,223
Motley drainage remediation	$8,228					$8,228
Rowe Parapet Repair	$2,445					$2,445
Winslow elevator	$1,031					$1,031
Fairmont Roof	$173					$173
295 Wilmot Chimney	$10,463					$10,463
295 Wilmot Repair	$1,954	$418				$1,536
Essex Site and Security	$28,249					$28,249
Contingency						
Valley Playground	$3,552					$3,552
Farnam Chimney Repair	$7,169					$7,169
Westville Playground	$11,695					$11,695
Middletown Ave parking lot	$151,555					$151,555
Total Capital Projects	**$6,003,904**	**$1,215,375**	**$0**	**$1,785,273**	**$987,883**	**$1,995,167**
Development						
Development expenses	$719,961					$719,961
CFFP bond repayment	$1,344,919	$1,344,919				$0
QTIII	$8,095,906			$1,973,414		$1,608,389
William T. Rowe	$41,507,808	$3,211,317		$7,634,110		$496,926
Rockview	$472					$472
122 Wilmot Road	$492,420					$492,420
Brookside	$18,506,658			$4,208,204		$2,860,770
Total Development	**$73,192,142**	**$4,464,333**	**$0**	**$13,816,128**	**$0**	**$6.295,479**
COCC Operating Deficit	**$3,935,303**					**$3,935,303**
Total	**$119,536,045**	**$5,771,611**	**$0**	**$15,601,401**	**$987,883**	**$48,514.105**

		NON-HANH SOURCES				
Project Total		Tax Exempt Bond	State Tax Credit	City of New Haven	CHFA Loan	Tax Credit Equity
HCV						
HCV HAP Expenses	$32,480,411					
PBV - prior to 2008 and including Foreclosure	$1,922,353					
Eastview PBV	$632,742					
Shartenberg	$2,761					
Brookside Homeownership 6 units	$0					
QT III	$22,054					
Dwight St. Cooperative	$0					
Howe St.	$60,994					
Nasti	$90,492					
Mutual Housing	$78,094					
Mutual Housing-new	$11,236					
CUHO	$150,494					
CASA	$114,367					
Total HCV	**$35,565,998**					
Community and Economic Development						
Eastview Terrace Youth services	$80,950					
McQueeney Supportive Services	$224,311					
Crawford Manor Supportive Services	$184,777					
Ruoppolo Manor	$123,067					
Robert T. Wolfe	$123,628					
William T. Rowe	$74,868					
Winslow Celentano	$17,123					
Fairmont	$9,975					
Total CED	**$838,699**	**0**	**0**	**0**	**0**	**0**
Capital Projects						
Robert T. Wolfe modernization	$247,647					
Agency wide UFAS compliance	$104,968					
Waverly	$0					
Scattered Sites	$0					
Agency wide vacancy reduction	$396,892					
Westville	$0					
Valley	$0					
Waverly	$0					
McConaughy	$0					
Crawford	$0					
Celentano	$0					
Farnam	$0					
Fairmont	$0					
Essex	$0					
Scattered Sites East	$0					
McConaughy Terrace-furnace and water heater	$92,927					
McConaughy Terrace- interior repairs	$172,647					
Ruoppolo Manor modernization	$456,339					
McQueeney Tower modernization	$262,441					
Waverly Townhouses boiler replacement	$465,955					
Valley Townhouses boiler replacement	$71,599					
Westville Manor-erosion control Phase 1	$19,760					
Crawford Manor completion of Façade Repair	$902,070					
From FY2010 MTW Plan	$0					
Westville Fire Units	$59,739					
Newhall Heating Upgrade and Mold Remediation*	$12,097					
Prescott Bush General Upgrade	$85,173					
McConaughy Fire Units	$14,795					
McConaughy General Trades	$307,921					
McQueeney 504, Kitchen and Bathroom Upgrades	$131,371					
McQueeney Fire Units	$3,164					
Ribicoff Mold and Asbestos*	$147,388					
Ribicoff Fire Units	$14,795					
Ruoppolo UFAS*	$1,787,496			20,206		
Motley drainage remediation	$8,228					
Rowe Parapet Repair	$2,445					
Winslow elevator	$1,031					
Fairmont Roof	$173					
295 Wilmot Chimney	$10,463					

295 Wilmot Repair	$1,954					
Essex Site and Security	$28,249					
Contingency						
Valley Playground	$3,552					
Farnam Chimney Repair	$7,169					
Westville Playground	$11,695					
Middletown Ave parking lot	$151,555					
Total Capital Projects	**$5,983,698**	**$0**	**$0**	**$20,206**	**$0**	**$0**
Development						
Development expenses	$719,961					
CFFP bond repayment	$1,344,919					
QTIII	$11,069,904				7,488,101	
William T. Rowe	$41,057,808	11,995,000		3,392,500	14,327,955	
Rockview	$472					
122 Wilmot Road	$492,420					
Brookside	$18,506,658			1,975,000	8,204,398	1,257,886
Total Development	**$73,192,142**	**11,995,000**	**0**	**5,367,500**	**30,0204,54**	**1,257,886**
COCC Operating Deficit	**$3,935,303**					
Total	**$119,536,045**	**11,995,000**	**0**	**5,387,706**	**30,020,454**	**1,257,886**

MTW Initiatives Requiring MTW Funding Fungibility Only

Energy Performance Initiative:

During FY2010 HANH selected a consultant to analyze utility costs, procure favorable supplier rates, budget forecasting for utilities and make recommendations for energy savings and to identify efficiency projects, consumption reduction measures. This initiative was continued during FY2011 as the Consultant assisted HANH with drafting a scope of work for an Energy Performance Contract. It is expected that the selected contractor will be engaged in FY 2012.

Deconcentration Initiative:

HANH has undertaken an initiative to assist Housing Choice Voucher participants to lease up in communities with low poverty concentrations. HANH contracts with a real estate professional to identify potential units, conduct unit showings and create a potential housing list. During FY 2011 HANH assisted 7 HCV participants access housing in communities with low poverty concentrations at an annual cost of $3,150.00.

West Rock Revitalization:

HANH has received approval of HUD to dispose of the Brookside property in FY 2010. HANH will request approval of disposal of Rockview in FY 2012.
The West Rock revitalization is a project to redevelop two obsolete Public Housing developments, Rockview Terrace and Brookside, and one additional parcel that previously contained a commercial building. The 491 Public Housing units and the retail building that have stood on the three sites will be replaced with a mix of Project-Based Section 8/LIHTC rental, Public Housing/LIHTC rental and affordable homeownership housing totaling 472 units, along with 8,987 square feet of retail space at the 122 Wilmot site. The rental units will consist of 392 units, 352 family townhouse units and 40 senior units in a mid-rise building. The homeownership component will consist of 38units. .

The project will be carried out in multiple phases. The revitalization of the Brookside site will consist of two rental phases and one homeownership phase. The revitalization of the Rockview site will be carried out in two rental phases and two homeownership phases. The estimated cost of the revitalization of all three sites is $150-$200 million. HANH submitted an application for HOPE VI funding for Brookside and/or Rockview with an off-site component consisting of residential units, commercial and retail space but was unsuccessful in being awarded funding.

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 2011, construction continues for the infrastructure necessary for the Brookside rental and homeownership phases.

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

Brookside Phase I Rental and William T Rowe for Replacement Housing Fund Description

The developments for which RHF funds will be used are Brookside Phase I Rental and William T. Rowe Redevelopment. The Brookside Phase 1 Rental will consist of 101 family units in two-story townhouse structures. The projected subsidy mix is 50% Public Housing and 50% Project-based Section 8, with all units also being Low Income Housing Tax Credit units under Section 42. The units will be a mix of one-, two-, three and four-bedroom units, including 14 UFAS accessible units.

The projected development cost for Brookside Phase 1 Rental is approximately $45.8 million. In addition to the $1,215,076 in RHF Funds for which reprogramming was requested and approved, approximate projected sources for the redevelopment include $1.6 million in 4% Low Income Housing Tax Credits generating $12.6 million in investor equity, $10.6 million in CFFP, $3,000,000 in CFRC, $3.5 million in infrastructure funds from the City of New Haven, $402,770 in State Tax Credits, and $201,257 in deferred developer fee.

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

The Brookside site is vacated and all structures have been demolished. The infrastructure was initiated during FY2010. The William T. Rowe development consists of 104 rental units in an elevator building. The projected subsidy mix is 46 Public Housing, 32 Project-based Section 8, and 26 market rate. The unit mix is one and two bedroom units, including 11 UFAS accessible units.

The development cost for William T. Rowe is $36.1 million. In addition to the $2,399,440 in RHF Funds for which reprogramming was requested and approved, the following resources were utilized: $7.6 million in Equity from the 4% Low Income Housing Tax Credits; $760,096 Developer loan; $10 million in CFRC; $893,374 HANH Loan; $593,584 HANH COCC; $5 million HANH MTW funds; $4 million in City of New Haven; $4.7 million in Permanent Mortgage.

HANH developed the William T. Rowe as part of a Swap Agreement with Yale New Haven Hospital (YNHH). The Authority will transfer the property to YNHH after completion of demolition. The newly redeveloped William T. Rowe development is substantially completed.

Brookside Phase 1 Rental:
FY2011:
Early Start 9/17/10
Closing 6/27/11
Construction Completion - FY2012

William T. Rowe:
FY2011:
Closing 07/31/10
Construction Completion - FY2012

122 Wilmot Road development:

The Authority has purchased a site at 122 Wilmot that is slightly more than one acre. The site had a deteriorated structure that was approximately 8,987 square feet. The structure has been demolished. The Authority plans to redevelop the site as a mixed use facility with 9,186 square feet of commercial and community space, 47 residential units with 26 ACC designated elderly; 13 project based units and 6 mixed population accessible units. The agency contemplated financing a portion of the cost of this project under the Capital Fund Financing Program (CFFP), private financing and MTW funds. However, as a result of receiving 9% LIHTC, CFFP was no longer needed for this development. This initiative will develop quality affordable low –income housing for seniors with supportive services and will develop commercial space providing much needed amenities for the community and job opportunities in a remote area of the City that services four public housing developments.

William T. Rowe Redevelopment:

William T. Rowe at 904 Howard Ave. is a 172 unit, high rise development that houses elderly and disabled residents. Having determined its obsolescence, HANH has undertaken a redevelopment effort for this property. Construction started in FY 2010 and was completed ahead of schedule during FY2011. All ACC affordable units were leased during FY2011. The remaining affordable units will be leased during FY2012. HANH plans to demolish the original building in the Spring of FY2012 and dispose of the property to Yale New Haven Hospital pursuant to the Swap Agreement.

Implement Phase III of Quinnipiac Terrace:

HANH has completed construction of Phase III during FY2011 which consists of 17 ACC units and 16 project based voucher units. All units were leased.

Develop Long Term Viability Plan for Valentina Macri, 109 Frank Street:

HANH conducted a feasibility study on this property. Based on the study, HANH has determined it is better to dispose of the property rather than invest any future funds for this project as the extent of repairs required are excessive and the potential revenue generated will not cover the operating costs. A General Information Notice was issued to residents along with a Notice of Eligibility for Relocation Assistance during FY 2011; HANH began discussions with residents and Columbus House to transfer ownership. During FY 2012, HANH will dispose of the property which has 17 units consisting of zero and one bedroom units. We expect relocation of residents and HUD disposition approval to occur during FY 12.

Supportive Housing in Mixed Population Developments:

HANH's Mixed Population developments increasingly serve persons with behavioral health disabilities, including serious mental health problems often combined with substance abuse. In the absence of services, many residents have difficulties maintaining lease compliance and living independently and effectively in their public housing communities. This has implications for HANH's ability to manage the property effectively and, most importantly, for the quality of life of fellow residents. HANH believes that our ability to effectively manage our large Mixed Population developments depends upon our ability to provide intensive, on-site services.

Current programs exist at Ruoppolo Manor (116 units), Charles T. McQueeney Towers (150 units) and Robert T. Wolfe (93 units) and Crawford Manor (109 units). During FY 2010 these four programs continued to serve residents. During 2011, 110 residents were provided intensive case management services. Eighteen participants have achieved two (2) years sobriety and remain actively involved. Forty-five (45) residents have been referred to FSS and continue participation. A total of One Hundred- twenty-nine residents were referred to Legal during 2011. Due to supportive housing staff intervention, one hundred and twelve (112) resolved non-compliance issues and remained housed with only seventeen (17) evicted.

Section Eight Homeownership Program Capital Improvement program.

HANH launched the Capital Improvement program during FY2010 and continued implementation during FY2011. The program supports SEHOP homeowners saving for needed capital improvements that occur during homeownership. HANH escrowed an amount equal to 1% of the purchase price annually. This money can be accessed after the homeowner has owned their home for three years and for expenses that exceed $500. No funds have been drawn down to date. During FY11, fourteen homeowners established an escrow account and the cost to HANH was $17,939.25.

HANH received approval from HUD to implement under Section 24/9 a Brookside Section 8 Homeownership program for 10 units. Construction completion is scheduled for FY2012.

LIPH Preference for Re-Entry Population Pilot Program:

HANH is working with the City of New Haven and other Community groups and social organizations to develop a comprehensive program for the increasing prison re-entry population. Individuals returning to the community are often ill equipped for successful re-entry due to the challenges of poverty, lack of support services, inadequate job skills and difficulty obtaining housing. HANH will limit admissions to 12 new residents during the pilot years. $33,000 in MTW flexible funds supports a portion of the salary for the Project Manager responsible for the case management of this population. During FY 2010, 11 individuals were housed. During FY2011, fourteen (14) residents were supported under this initiative. Two residents were non-compliance with re-entry lease addendum and were evicted; six (6) attained employment. Of the six, two (2) were laid off secondary downsizing of companies; six (6) are enrolled in employment skill training programs; one (1) of the six are attending GED classes.

Business Development Support Program:

HANH will provide educational training, financial management and administrative support services to start up resident owned businesses to enhance their internal capacity and ability to procure both public and private competitive contracts. HANH's goal is to create five new resident businesses during FY 2011/2012. $100,000 in MTW flexible funds will be dedicated to the back office support program.

HANH provides a revolving loan fund to which resident businesses may apply for up to $25,000 by submitting a bona fide business plans and letter of intent for a pending contract option. Only HANH resident can apply for loans. Applications are reviewed by a HANH loan committee. Loan repayments are scheduled over a 12 month period. $250,000 in MTW flexible funds are dedicated to the Revolving Loan Fund...

During FY2011, only one new resident owned business was created due to an insurmountable work load of unexpected work items being given priority consideration over resident owned business activities. HANH presently have a total of six resident businesses. These businesses have secured over $9,078,372 in HANH related contracts, with another $1,590,690 in contracts pending.

Specialized Training Opportunities for HANH's FSS Clients:

HANH proposes to provide specialized training programs in areas where there are employment opportunities such as healthcare, computer technology, auto mechanics, retail sales, entry level banking positions, and customer service. To provide this training, HANH will partner with area trade schools, the local community college, local banks, and other agencies that can provide trainings. HANH will also work to develop relationships with employers in the New Haven community to provide full time employment opportunities to residents who successfully complete the training programs.

FSS will select clients who are employment ready i.e. have a high school diploma or equivalent , have completed the employment training program or have a work history. FSS staff will provide case management services while residents are in training. $60,350 in MTW flexible funds are dedicated to this initiative.

During FY2011, three (3) residents were approved to participate for a total of five (5) residents at a cost of $ 0 annually Residents must follow-through with acceptance and enrollment into a community college or vocational school.

Additional Funding

HANH has obtained and 100% obligated its ARRA funding for received for the Brookside, Quinnipiac Terrace Phase 3 in FY 2010 and expended over 60% of the funds in 2011. HANH also obtained funding from the City of New Haven for Brookside and Rowe. In FY2011, the Authority received CFFP Approval for Brookside phase I Rental. While HANH did contemplate using a supplemental indenture for the 122 Wilmot Development, it was determined to be unnecessary to proceed as the development was awarded 9% LIHTCs. Additionally, Brookside Phase 2 Rental was awarded LIHTCs and the Authority applied for LIHTCs for the Rockview Rental development. Brookside Phase 2 and 122 Wilmot Road also received private financing.

Three Year Capital Plan

HANH has developed a rolling Three Year Capital Plan to guide the expenditure of capital funds. This plan is informed by the Project Needs Assessments completed during FY2010.

VIII. Administrative

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

Voluntary Compliance Agreement
HANH executed the Voluntary Compliance Agreement (VCA) regarding Fair Housing and Equal Opportunity in June 2007 and has designated a Reasonable Accommodations Coordinator and the Accessible-Unit Construction/Rehabilitation Coordinator. Throughout FY2011 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. All of the visits have recognized significant progress made by HANH in meeting the goals outlined. At this point, HANH is focused on development of the planned UFAS units and common area modifications.

B. Results of Agency Directed Evaluations of Demonstration

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

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

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

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

Grant	Total Grant Amount	Increment	New Obligation Deadline	New Expenditure Deadline
CT26R00450107	$541,850	1st	10/12/10	10/12/12
CT26R00450207	$568,890	2ND	10/12/10	12/12/12
CT26R00450108	$871,883	1st	10/12/10	12/12/12
CT26R00450208	$177,216	2nd	10/12/10	10/12/12
CT26R00450109	$896,759	1st	09/14/12	09/14/14
CT26R00450209	$154,619	2nd	09/14/11	09/14/13
CT26R00450409	$403,299	3rd	04/01/12	04/01/14
Total	**$3,614,516**			

William T. Rowe

The Authority will be demolishing the current 172- unit development and replacing it with a 104 unit Mixed Finance project a pro-rata of these units will be assisted with HUD Capital Fund Recovery Competition (CFRC) funds. Up to 46 of these units will be ACC units with an additional 26 being unassisted and the remaining 32 units will be project based voucher units. The FY 2007, 2008 and 2009 RHF funds will be used to finance the development of the new ACC replacement units. The new units will be built on land that is currently owned by Yale New Haven Hospital (YNHH), but the Authority has an exclusive option to obtain these parcels via a Swap Agreement with YNHN. In addition to the 104 residential units the site will also include about 2,000 square of commercial space, as well supportive services for the elderly and disabled households.

The agency contemplates financing a portion of the cost this project using an accumulation of Replacement Housing Funds to leverage other funds or using these funds under the CFFP. Additional funds will come from $5,032,685 of excess Section 8 funds, $7,671,726 in proceeds from Low Income Housing Tax credits, $4,000,000 from the City of New Haven, $4,790,000 in permanent first mortgage, $10,000,000 of CFRC financing, $893,374 of HANH Deferred Loan, $410,096 of Developer Loan and a Deferred Fees of $ 350,000 and the proceeds of revenue bonds secured Replacement Housing Funds.

HANH has partnered with Trinity Financial, the developer of its Quinnipiac Terrace HOPE VI, to redevelop William T. Rowe.

The projected development schedule for Rowe as follows:

- **Architect Hired**
- **Plans and Specifications -Completed**
- **Development Proposal Submission - Completed**
- **Closing - Completed**
- **Construction Start - Completed**
- **Construction Completion - 12/31/2011**

Brookside Phase I Description

The phase for which RHF funds will be used is Brookside Phase I. The phase will consist of 101 family units in two-story townhouse structures. The projected subsidy mix is 50% Public Housing and 50% Project-based Section 8, with all units also being Low Income Housing Tax Credit units under Section 42. The units will be a mix of one-, two- three and four-bedroom units, including 14 UFAS-accessible units.

The projected cost of the phase is approximately $45.6 million. In addition to the RHF for which reprogramming is been approved , approximate projected sources for the redevelopment include $12,633,372 in 4% Low Income Housing Tax Credits proceeds, $2,528,978 in Section 8 funds under our MTW Agreement, $3,000,000 in CFRC funds, $3,500,000 in funds from the City of New Haven, $6,052,000 in permanent mortgage financing, and $201,257 in deferred developer fees.

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

The Brookside site is vacated and the demolition is completed. The projected development schedule for Brookside Phase I is as follows:

- **Architect Hired**
- **Plans and Specification- - Completed**
- **Development Proposal Submission - Completed**
- **Closing - Completed**
- **Construction Start - Completed**
- **Construction Completion - 6/30/2012**

HANH has completed construction drawings for the project and has received all approvals needed to start this phase 1. An application for 4% tax credits has been approved to the Connecticut Housing Finance Authority. HANH has secured the tax exempt bond financing and has received HUD's approval on the CFFP proposal. HANH sold the CFFP issuance during FY2011 for approximately $11.9 million.

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

A. Initial Incomes of Families Assisted by MTW

At 90.99%, HANH has significantly exceeded the 75% requirement that families assisted be below 50% of AMI.

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						
Number of families with incomes below 50% of area median	332	310	322	387	394						
Percentage of families with incomes below 50% of area median	96.50%	94.22%	93.60%	91.06%	90.99%						

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

Baseline number of families to be served (total number of families)[1]	4,093
Total number of families served this fiscal year (HCV:2,918; LIPH: 2,079)	4,997
Numerical Difference	+904
Percentage Difference	+ 22%

HANH has served considerably more families since achieving MTW status primarily through its modernization and redevelopment efforts made possible by MTW flexibility. During FY11 HANH served 22% more families than at baseline.

[1] Based upon agreed upon baseline calculation discussions with HUD (September 2011)

C. Baseline for the Mix of Family Sizes to Be Served

	1 person	2 people	3 people	4 people	5 people	6+ people	Total
Baseline percentages of family sizes to be maintained	32.01%	24.05%	19.97%	12.95%	6.07%	4.95%	100%
Number of families served by family size this fiscal year	1,939	1,131	929	571	266	159	4,995
Percentage of families served by family sizes this fiscal year	38.82%	22.64%	18.60%	11.43%	5.33%	3.18%	100%
Percentage Difference	+6.81%	+1.41%	-1.37%	-1.52%	-0.74%	-1.77%	

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

Attachment A

Board Resolution Approving This FY 2011 MTW Annual Report

To: Board of Commissioners

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

Date: December 29, 2011

RE: Approval of MTW Annual Report for FY 2011

ACTION:	Recommend that the Board of Commissioners adopt Resolution Number 12-260/11-S
TIMING:	Immediately.
DISCUSSION:	As a Moving to Work (MTW Agency, in lieu of the five year and annual plans required of other agencies, HANH is required to submit to HUD an annual MTW Plan and an Annual MTW Report. The MTW Annual Report is prepared at the end of each fiscal year. It reports HANH's progress and challenges in achieving the objectives established in the Annual Plan for the year. The MTW Annual Report must be submitted to HUD within 90 days after the end of the fiscal year (by December 31th). Attached is a copy of HANH's proposed MTW Annual Report for Fiscal Year 2011. 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 2011, and all required and related certifications, documents and HUD forms.
STAFF:	Karen DuBois-Walton, Ph.D. Executive Director

Housing Authority of the City of New Haven

Resolution Number 12-260/11-S

APPROVING THE SUBMISSION OF HANH'S
MTW REPORT FOR FY 2011

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 2011, 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 29, 2011.

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

____
Date

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

By: ____
Rolan Joni Young, Esq.
A Partner

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

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the Annual Moving to Work Report for the PHA fiscal year beginning October 1, 2009, hereinafter referred to as "the Report", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

The PHA made the proposed Report and all information relevant to the public hearing available for public inspection at least 30 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Report and invited public comment.
The PHA will carry out the Report in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
The PHA will comply with the Architectural Barriers Act of 1968 and 24CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
The PHA will comply with the requirements of Section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low- or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
The PHA has submitted with the Report a certification with regard to a drug free workplace required by CFR Part 24, Subpart F.
The PHA has submitted with the Report a certification with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Amendment and implementing regulations at 49 CFR Part 24.
The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
The PHA will provide HUD or the responsible entity any documentation that the Department needs to carry out its review under the National Environmental Policy Act and other related authorities. In accordance with 24 CFR Part 58.
With respect to public housing, the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
The PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments) and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the Moving to Work Agreement and Statement of Authorizations and included in its Plan.
All attachments to the Report have been and will continue to be available at all times and all locations that the Report is available for public inspection. All required supporting documents have been made available for public inspection along with the plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its Plan and will continue to be made available at least at the primary business office of the PHA.

_Housing Authority New Haven_________	CT004____________________________
PHA Name	PHA Number/HA Code

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

Name of Authorized Official Title

J. Lawrence Turner Chairman

Signature___________________________ Date_____________

December 29, 2011

APPENDIX A

DOCUMENTATION OF PUBLIC HEARING AND PUBLIC COMMENT PERIOD

HANH's MTW Annual Report was made available for public comment on November 15, 2011. A copy of the notice placed in the New Haven Register is attached.

A Public Hearing was conducted on December 6, 2011 at 5:00 P.M. at 358 Orange Street.
22 individuals were in attendance.
No comments were received.

The Report was approved by the Board of Commissioners on December 29, 2011 via Resolution Number #12-260/11-S.

Appendix C

Local Asset Based Management:

Under the First Amendment to the MTW Agreement 10-15-08, HANH is permitted to design and implement its own Local Asset Based Management Program so long as the HANH and HUD agree that the principles and understanding outlined in the Amendment are adhered to. HANH developed a program wherein Excess Operating Reserves are funded from the General Fund Account and will be used to cover deficits through a journal voucher once per year to ensure that the transfer of funds from the General Fund to a project to cover any operating deficits are reflected on the income and expense statement of the project. HANH used property level management accounting and budgeting for direct costs incurred by each property. Each project is charged a management fee of $63.29 per unit per month, bookkeeping fee of $7.50 per unit per month, asset management fee of $10 per unit per month and other fees that are reasonable and appropriate for services carried out by the Central Office Cost Center. The cost of vacant unit turnovers will be charged to projects based on the fee schedule for turnovers set forth in the third party unit turnover contract which was obtained through competitive procurement. Cost of legal services will be fee for service basis by charging the project for actual services performed by staff and outside counsel for direct services. An indirect cost approach is used for the cost of implementing the CFP; leasing; centralized wait list; resident services supervisory staff and rent collection all of which are pro rated based upon the number of ACC units. Security costs will be allocated based upon fee schedule set forth in the third party security contract. Proceeds from the CFP, energy performance contracts and other similar sources to support project operations are not reflected in the operating statements for each project. The COCC operates on the allowable fees and other permitted reimbursements from its LIPH and HCV programs, as well as revenues generated from non-public housing programs. HANH systematically reviews information regarding the financial, physical and management performance of each project and identifies non-performing assets. All non-performing assets will have a management plan that includes a set of measurable goals to address. During FY2009, HANH conducted an updated Physical Needs Assessment for each project. The work was completed in FY2010 and will be fully reported in the FY10 report. Finally, HANH has implemented a Risk Management Program in accordance with §990.270.

APPENDIX 1

HUD APPROVED ALTERNATE TOTAL DEVELOPMENT COST LIMITS

HANH's local total development cost (TDC) limits as approved by HUD on July 2, 2010. The following pages detail HANH's Alternate TDCs.

APPENDIX 2

RESEARCH AND EVALUATION

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

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