

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

PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004
Annual Plan for Fiscal Year 2000

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN ACCORDANCE WITH
INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

PHA Plan Agency Identification

PHA Name: Lowell Housing Authority

PHA Number: NY 433 (Original Field Office for this project)

PHA Fiscal Year Beginning: 10/2000

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting:
(select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices
- Main administrative office of the local government
- Main administrative office of the County government
- Main administrative office of the State government
- Public library
- PHA website
- Other (list below)

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- Main business office of the PHA
- PHA development management offices
- Other (list below)

5-YEAR PLAN
PHA FISCAL YEARS 2000 - 2004

[24 CFR Part 903.5]

A. Mission

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction. (select one of the choices below)

- The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.
- The PHA's mission is: (state mission here)

The Lowell Housing Authority, working in partnership with other housing providers, local government and the authority's own clients, provides the highest level of safe sanitary and affordable housing and a variety of programs to the end that residents will strive to achieve the highest level of self sufficiency.

B. Goals

HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.

- PHA Goal: Expand the supply of assisted housing
Objectives:
 - Apply for additional rental vouchers:
 - In general
 - For homeownership
 - For project based development of special needs housing for disabled
 - For welfare to work demonstration
 - Reduce public housing vacancies: (No vacancy problem at this time)
 - Leverage private or other public funds to create additional housing opportunities through use of partnerships, bonding and asset pledging.
 - Acquire or build units or developments through non-profit partners including LHA subsidiaries
 - Other:

- PHA Goal: Improve the quality of assisted housing
Objectives:
 - Improve public housing management: (PHAS score)
 - Improve voucher management: (SEMAP score)
 - Increase customer satisfaction.

- Change marketing to attract a mix of households.
- Change preferences and improve screening to ensure a proper mix of households in Section 8 and public housing.
- Continue renovation and modernization of federal and state public housing units.
- Demolish or dispose of a portion of one public housing development.
- Provide replacement public housing for demolished portion of one development.
- Provide replacement vouchers for those making this housing choice.
- Other:
 - Redevelop the Julian Steele State Public Housing project using a variety of financing techniques.

- PHA Goal: Increase assisted housing choices
 - Objectives:
 - Provide voucher mobility counseling:
 - Conduct outreach efforts to potential voucher landlords
 - Increase voucher payment standards
 - Study and implement pilot voucher homeownership program:
 - Expand other homeownership programs:
 - Implement a pilot public housing site-based waiting list and marketing program:
 - Convert public housing to vouchers:
 - Other: Working with the City to increase assisted living choices for the elderly.

HUD Strategic Goal: Improve community quality of life and economic vitality

- PHA Goal: Provide an improved living environment
 - Objectives:
 - Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
 - Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
 - Implement public housing security improvements:
 - Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
 - Designate elderly only housing
 - Provide set-aside of vouchers for small project based developments for disabled populations utilizing experienced not-for-profit organizations
 - Other:
 - Develop assisted living opportunities for elderly either within existing developments or by creating replacement developments or by partnering with assisted living developers for mixed income developments.

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals

- PHA Goal: Promote self-sufficiency and asset development of assisted households
- Objectives:
 - Increase the number and percentage of employed persons in assisted families:
 - Provide or attract supportive services to improve assistance recipients' employability:
 - Provide or attract supportive services to increase independence for the elderly or families with disabilities.
 - Other:
 - Expand Family Self-Sufficiency program to public housing residents.

HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing
- Objectives:
 - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:
 - Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
 - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
 - Other:
 - Expand opportunities for low and moderate income households in the region surrounding Lowell

Other PHA Goals and Objectives: (list below)

- Reduce dependency of the LHA on federal operating subsidies through increasing resident incomes.

**Annual PHA Plan
PHA Fiscal Year 2000**

[24 CFR Part 903.7]

Annual Plan Type:

Standard Plan

Streamlined Plan:

- High Performing PHA**
 Small Agency (<250 Public Housing Units)
 Administering Section 8 Only

[Note: This plan includes much of the information required for the Standard Plan, even though the LHA is high performing agency and is eligible to file a streamlined plan].

Troubled Agency Plan

1. Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

[**Note:** Even though PIH Notice 99-51 eliminates the requirement for an Executive Summary the LHA has included one].

The major goals of the agency are to continue initiatives which address the need to attract and retain working families with decent incomes and enable non-working or under employed residents to benefit from LHA programs; and to continue to pursue plans for creating a better living environment for the elderly, especially frail elderly and the disabled, focusing on those with disabilities requiring extensive and intensive supportive services. These plans include designation of developments for elderly only, development of assisted living, more intensive supportive service programs for special needs groups of the elderly, single non-elderly persons and families and the allocation of Section 8 certificates to not-for-profits who can provide superior services for certain disabled sub-populations by the creation of small project based developments.

In addition, the agency intends to address the need to expand the regional effort to provide affordable housing rather than increase the supply within Lowell itself. One of the strategies to be further developed is to expand the homeownership program through the use of the Section 8 Certificate Homeownership option.

Finally, the agency will continue efforts to redevelop the state aided Julian Steele development which affects the operations of the agency and thus the federal programs.

Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

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Attachments

Required Attachments:

- Admissions Policy for Deconcentration.
 [Note: As PHA Notice 99-51 has put on hold the requirements of Section 3 (a) (6), some of the deconcentration approaches being developed by the LHA are not included in the Admissions Policy at this time].
- FY 2000 Capital Fund Program Annual Statement
- Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

Optional Attachments:

- PHA Management Organizational Chart [Attached at the end of the document]

- FY 2000 Capital Fund Program 5 Year Action Plan
- Public Housing Drug Elimination Program (PHDEP) Plan
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- FORMCHECKBOX Other (List below, providing each attachment name)

Supporting Documents Available for Review

| List of Supporting Documents Available for Review | | |
|--|--|--|
| Applicable & On Display | Supporting Document | Applicable Plan Component |
| v | PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations | 5 Year and Annual Plans |
| v | State/Local Government Certification of Consistency with the Consolidated Plan | 5 Year and Annual Plans |
| v | Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement. | 5 Year and Annual Plans |
| v | Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction | Annual Plan: Housing Needs |
| v | Most recent board-approved operating budget for the public housing program | Annual Plan: Financial Resources; |
| v | Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP] | Annual Plan: Eligibility, Selection, and Admissions Policies |
| v | Section 8 Administrative Plan | Annual Plan: Eligibility, Selection, and Admissions Policies |

| List of Supporting Documents Available for Review | | |
|--|--|--|
| Applicable & On Display | Supporting Document | Applicable Plan Component |
| v | Public Housing Deconcentration and Income Mixing Documentation: a. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 Quality Housing and Work Responsibility Act Initial Guidance; Notice and any further HUD guidance) and b. Documentation of the required deconcentration and income mixing analysis | Annual Plan: Eligibility, Selection, and Admissions Policies |
| v | Public housing rent determination policies, including the methodology for setting public housing flat rents _ FORMCHECKBOX _ check here if included in the public housing A & O Policy | Annual Plan: Rent Determination |
| | Schedule of ceiling rents offered at each public housing development _ FORMCHECKBOX _ check here if included in the public housing A & O Policy | Annual Plan: Rent Determination |
| v | Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan | Annual Plan: Rent Determination |
| v | Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation) | Annual Plan: Operations and Maintenance |
| v | Public housing grievance procedures <input checked="" type="checkbox"/> check here if included in the public housing A & O Policy | Annual Plan: Grievance Procedures |
| v | Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan | Annual Plan: Grievance Procedures |
| v | The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year | Annual Plan: Capital Needs |
| | Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant | Annual Plan: Capital Needs |
| v | Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option) | Annual Plan: Capital Needs |
| | Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing | Annual Plan: Capital Needs |

| List of Supporting Documents Available for Review | | |
|--|---|---|
| Applicable & On Display | Supporting Document | Applicable Plan Component |
| v | Approved or submitted applications for demolition and/or disposition of public housing | Annual Plan: Demolition and Disposition |
| | Approved or submitted applications for designation of public housing (Designated Housing Plans) | Annual Plan: Designation of Public Housing |
| | Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act | Annual Plan: Conversion of Public Housing |
| | Approved or submitted public housing homeownership programs/plans | Annual Plan: Homeownership |
| | Policies governing any Section 8 Homeownership program <input checked="" type="checkbox"/> check here if included in the Section 8 Administrative Plan | Annual Plan: Homeownership |
| | Any cooperative agreement between the PHA and the TANF agency | Annual Plan: Community Service & Self-Sufficiency |
| v | FSS Action Plan/s for public housing and/or Section 8 | Annual Plan: Community Service & Self-Sufficiency |
| v | Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports | Annual Plan: Community Service & Self-Sufficiency |
| v | The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan) | Annual Plan: Safety and Crime Prevention |
| v | The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings | Annual Plan: Annual Audit |
| | Troubled PHAs: MOA/Recovery Plan | Troubled PHAs |
| | Other supporting documents (optional) (list individually; use as many lines as necessary) | (specify as needed) |
| | | |

1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being "no impact" and 5 being "severe impact." Use N/A to indicate that no information is available upon which the PHA can make this assessment.

| Housing Needs of Families in the Jurisdiction by Family Type | | | | | | | |
|---|-------------------|-----------------------------|--------|-------------------|-------------------|------|--------------|
| Family Type | Overall [1990] | Afford ability [1990] | Supply | Quality [1990] | Accessi bility | Size | Locati on |
| Income <= 30% of AMI | 8,751 | 5 | 3 | 3 | 1 | 1 | 1 |
| Income >30% but <=50% of AMI | 4,529 | 4 | 3 | 3 | 1 | 1 | 1 |
| Income >50% but <80% of AMI | 5,254 | 4 | 3 | 3 | 1 | 1 | 1 |
| Elderly | 8,095 | 2 | 3 | 3 | 3 | 1 | 1 |
| Families with Disabilities | 2,750 | 3 | 2 | 3 | 2 | 1 | 1 |
| Hispanic | | | | | | | |
| African American | | | | | | | |
| Asian | | | | | | | |
| Frail Elderly | 2,705 | 4 | 4 | 3 | 3 | 1 | 1 |

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- Consolidated Plan of the Jurisdiction/s
Indicate year: 2000
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data
Indicate year:
- Other housing market study
Indicate year: 1998
- Other sources: (list and indicate year of information)

B. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists

| |
|--|
| Housing Needs of Families on the Waiting List |
|--|

| Housing Needs of Families on the Waiting List | | | |
|--|---------------|---------------------|-----------------|
| Waiting list type: (select one) | | | |
| <input type="checkbox"/> Section 8 tenant-based assistance <input checked="" type="checkbox"/> Federal Public Housing <input type="checkbox"/> Combined Section 8 and Public Housing <input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional) | | | |
| If used, identify which development/subjurisdiction: | | | |
| | # of families | % of total families | Annual Turnover |
| Waiting list total | 1241 | | 12.38% |
| Extremely low income <=30% AMI | 1119 | 90% | |
| Very low income (>30% but <=50% AMI) | 111 | 9% | |
| Low income (>50% but <80% AMI) | 11 | 1% | |
| Families with children | 607 | 49% | |
| Elderly families | 213 | 17% | |
| Disabled Elderly | 405 | 33% | |
| Non-Elderly Families with Physical Disabilities | 40 | 4% | |
| Non-Elderly Families with Other Disabilities | | | |
| White | 495 | 40% | |
| Black | 59 | 5% | |
| Hispanic | 523 | 42% | |
| Asian | 164 | 13% | |
| Characteristics by Bedroom Size (Public Housing Only) | | | |
| 1BR | 634 | 51% | |
| 2 BR | 349 | 28% | |
| 3 BR | 125 | 10% | |
| 4 BR | 111 | 9% | |
| 5 BR | 22 | 2% | |
| 5+ BR | 0 | 0% | |

| Housing Needs of Families on the Waiting List |
|---|
| Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/> Yes [Note: 3 and 4 bedroom lists are closed, the others are open]. If yes: How long has it been closed (# of months)? 48 months Does the PHA expect to reopen the list in the PHA Plan year? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes |

| Housing Needs of Families on the Waiting List | | | |
|---|---------------|---------------------|-----------------|
| Waiting list type: (select one) <input checked="" type="checkbox"/> Section 8 tenant-based assistance <input type="checkbox"/> Federal Public Housing <input type="checkbox"/> Combined Section 8 and Public Housing <input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional) If used, identify which development/subjurisdiction: | | | |
| | # of families | % of total families | Annual Turnover |
| Waiting list total | 916 | | 6.5% |
| Extremely low income <=30% AMI | 816 | 89% | |
| Very low income (>30% but <=50% AMI) | 93 | 10% | |
| Low income (>50% but <80% AMI) | 7 | 1% | |
| Families with children | 736 | 80% | |
| Elderly families | 87 | 10% | |
| Elderly families with disabilities | 93 | 10% | |
| Non-elderly Families with Disabilities | | | |
| White | 335 | 37% | |
| Black | 68 | 7% | |
| Hispanic | 431 | 47% | |
| Asian | 82 | 9% | |

Housing Needs of Families on the Waiting List

Is the waiting list closed (select one)? No Yes

If yes:

How long has it been closed (# of months)? 72mos

Does the PHA expect to reopen the list in the PHA Plan year? No Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed? No Yes

C. Strategy for Addressing Needs

The key strategy is to ensure that a maximum number of units are occupied. The other strategy is to encourage and participate in development of low and moderate income housing opportunities for households in surrounding towns. In this respect the major tool has to be certificates and vouchers including homeownership instruments.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations in the region

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units
- Reduce time to renovate public housing units
- Seek replacement of public housing units lost to the inventory through mixed finance development
- Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)

Strategy 2: Increase the number of affordable housing units in the region by:

- Apply for additional Section 8 units should they become available
- Leverage affordable housing resources in the regional community through the creation of mixed - finance housing
- Pursue housing resources other than public housing or Section 8 tenant-based assistance in the region.
- Other: (list below)

Need: Specific Family Types: Families at or below 30% of median

Strategy 1: Target available assistance to families at or below 30 % of AMI

Select all that apply

- Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing outside of Lowell
- Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance outside of Lowell
- Employ admissions preferences aimed at families with economic hardships
- Adopt rent policies to support and encourage work
- Other: (list below)

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

Select all that apply

- Employ admissions preferences aimed at families who are working
- Adopt rent policies to support and encourage work
- Other:
 - Develop a new outreach or marketing program aimed at working families
 - Create a pilot program for decentralized marketing and management
 - Use skipping to ensure a growth in the number of families in this income range, living in public housing but by monitoring monthly, avoiding admitting less than 40% of families with median incomes less than 30%.
 - Use skipping to ensure a growth in the number of families in this income range, utilizing Section 8/Vouchers but by monitoring monthly, avoiding admitting less than 75% of families with median incomes less than 30%.

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

- Seek designation of public housing for the elderly
- Apply for special-purpose vouchers targeted to the elderly, should they become available
- Other:
 - Develop assisted living for the elderly

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- Affirmatively market to local non-profit agencies that assist families with disabilities
- Other:
 - Create opportunities for special purpose project based Section 8 development for disabled populations in need of a supportive service housing environment who currently living in public housing, by setting aside a number of Section 8 certificates for not-for-profits.

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- Other: (list below)

Strategy 2: Conduct activities to affirmatively further fair housing

- Counsel Section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units, especially outside of the City of Lowell.
- Market the section 8 program to owners outside of areas of poverty /minority concentrations, especially outside of the City of Lowell.
- Other: (list below)

Other Housing Needs & Strategies: (list needs and strategies below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:

- Funding constraints
- Staffing constraints
- Limited availability of sites for assisted housing
- Extent to which particular housing needs are met by other organizations in the community
- Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- Influence of the housing market on PHA programs
- Community priorities regarding housing assistance
- Results of consultation with local or state government
- Results of consultation with residents and the Resident Advisory Board
- Results of consultation with advocacy groups
- Other:
 - Specialized housing studies

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

| Financial Resources: Planned Sources and Uses | | |
|---|-------------------|---------------------|
| Sources | Planned \$ | Planned Uses |
| 1. Federal Grants (FY 2000 grants) | | |
| 1. Public Housing Operating Fund | 3,822,058 | |
| 2. Public Housing Capital Fund | 3,858,217 | |
| 3. HOPE VI Revitalization | 0 | |
| 4. HOPE VI Demolition | 0 | |
| 5. Annual Contributions for Section 8 Tenant-Based Assistance | 9,191,300 | |
| 6. Public Housing Drug Elimination Program (including any Technical Assistance funds) | 360,262 | |
| 7. Resident Opportunity and Self-Sufficiency Grants | 339,113 | |

| Financial Resources: Planned Sources and Uses | | |
|---|-------------------|---|
| Sources | Planned \$ | Planned Uses |
| 8. Community Development Block Grant | 80,000 | <ul style="list-style-type: none"> · Youth Sports · Assessment of State Public Housing 200-1 · Site Improvements adjacent to North Common Public Housing |
| 9. HOME | 0 | |
| Other Federal Grants (list below) | 0 | |
| | | |
| 2. Prior Year Federal Grants (unobligated funds only) (list below) | | |
| Comprehensive Grant Program | 4,773,836 | See attached 5 and 1 year plans |
| Drug Elimination grant | 52,816 | See attached DEG Plan |
| | | |
| 3. Public Housing Dwelling Rental Income | | |
| Federal Low Rent Public Housing | 4,269,087 | Operations |
| | | |
| 4. Other income (list below) | | |
| Investment Income (Federal) | 103,587 | Operations |
| Fraud Recovery | 13,993 | Operations |
| Unrestricted Investment Income (State) | 32,201 | Operations |
| Other Income | 22,088 | Operations |
| 4. Non-federal sources (list below) | | |
| State Low Rent Public Housing | 2,967,501 | Operations |
| | | |
| | | |
| Total resources | 29,886,059 | |
| | | |
| | | |

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- When families are within a certain number of being offered a unit: (state number)
- When families are within a certain time of being offered a unit:
 - No verification, other than mail notification of placement on the waiting list, is made at initial application for waiting lists which are open.
 - Within six months of an applicant likely to receive an offer of a unit, an applicant will be notified in writing to schedule an appointment to commence the final application process including verification
- Other:

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- Criminal or Drug-related activity
- Rental history
- Housekeeping
- Other:
 - Verification of preference claims or status

c. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

The agency is in the process of securing authorization to check federal records.

(2)Waiting List Organization

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- The LHA will continue to use a community-wide list
- Sub-jurisdictional lists
- The LHA intends to study the use of site-based waiting lists
- Other (describe)

b. Where may interested persons apply for admission to public housing?

- PHA main administrative office
- The LHA intends to study the use of site-based management
- Other (list below)

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year?

Perhaps there will be one pilot or demonstration site

2. Yes No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists? To be designed

3. Yes No: May families be on more than one list simultaneously?
If yes, how many lists?
To be designed

• Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- PHA main administrative office
- All PHA development management offices
- Management offices at developments with site-based waiting lists
- At the development to which they would like to apply
- Other:

To be designed

(3) Assignment

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- One
- Two
- Three or More
- Other:

For family applicants there is one offer only (verified medical exceptions are made).
 For elderly applicants there can be three offers made.
 In all cases anyone claiming a status priority preference and refusing the first offer, shall be placed into the non-preference (time and date) location on the waiting list.

- b. Yes No: Is this policy consistent across all waiting list types?
- c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

a. Income targeting:

- Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

The LHA already houses more than 87.85% of households with total household income of less than 30% of median. 86.4% of the applicants on the LRP waiting list are below 30% of median. The intent of the agency is to increase the incomes of its residents now living in the developments through self-sufficiency programs, through a change in the preferences to encourage and support household applications which exceed 30% of median and through skipping in wait list selection enable up to 60% of new placements in public housing to have incomes greater than 30% of median.

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- Emergencies
- Overhoused
- Underhoused
- Medical justification
- Administrative reasons determined by the PHA (e.g., to permit modernization work)
- Resident choice: (state circumstances below)
- Other:

There are three classes of transfers – Administrative or emergency situations; over/under housed; and good cause. Good cause or tenant choice must be evaluated and approved. Emergency transfers have only one offer. All others can have two offers. Medical reasons are an exception to the limitation on offers. In addition, residents of Julian Steele Apartments and of other developments being modernized, will be given preference.

1. Preferences

1. Yes No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection **(5) Occupancy**)

1. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

[Note: The following preferences are being approved by the Board after the requisite public hearing on this Plan and as of the date of this submission.]

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s)
 - Involuntarily displaced from a dwelling unit in the municipality of Lowell
 - Residents of Julian Steele Apartments
 - Residents required to move because of modernization.

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

All Date and Time

Plus the following ranked priorities

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other Ranked preference(s):
 - #1. Involuntarily displaced from a dwelling unit in the municipality of Lowell
 - #2. Working head of household or working spouse (who has averaged 20 hours of work a week for at least six months), or person 62 years old or older or a person unable to work because of the extent of their disability
 - #3. A legal resident of Lowell or a person working in Lowell an average of 20 hours a week or more or a person with a job offer to work in Lowell with a minimum of 20 hours a week of work
 - #4. A veteran as verified by the Department of Veteran Affairs

4. Relationship of preferences to income targeting requirements:

- The PHA will apply preferences within income tiers utilizing skipping patterns
- Not applicable:

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- The PHA-resident lease
- The PHA's Admissions and (Continued) Occupancy policy
- The LHA intends to develop a briefing seminars and other visual and written materials for applicants
- Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- At an annual reexamination and lease renewal
- Any time family composition changes
- At family request for revision
- Other (list)

(6) Deconcentration and Income Mixing

[**Note:** In accordance with PIH Notice 99-51, this section will be ignored by HUD. However, the LHA is making known its planning in this area by its completion].

a. Yes No: Did the PHA’s analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. Yes No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

Adoption of site-based waiting lists
This is proposed a pilot demonstration at this time, in order to work out procedures and measure results.

Employing waiting list “skipping” to achieve deconcentration of poverty or income mixing goals at targeted developments

The agency is going to explore this option this year and determine if it could be applied successfully.

Employing new admission preferences at targeted developments
If selected, list targeted developments below:

North Common (I-1), George Flanagan (I-2), Temple Street (I-7), Scattered Sites (I-12, I-14)

Other (list policies and developments targeted below)

d. Yes No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- Additional targeted marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments

- Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
- Other:

The most important step is to change the preferences.

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

All the family developments have an over concentration of extremely low income households and thus all of these will be targeted. These include North Common (I-1), George Flanagan (I-2), Temple Street (I-7), Scattered Sites (I-12, I-14).

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

B. Section 8

(1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

- Criminal or drug-related activity only to the extent required by law or regulation
- Criminal and drug-related activity, more extensively than required by law or regulation
- More general screening than criminal and drug-related activity (list factors below)
- Other
 - Rental history
 - Verification of preference claims or status

b. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

c. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)
The agency is in the process of securing authorization to check federal records.

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

- Criminal or drug-related activity
- Other
 - Tenant's Current Address
 - Name and Address of the Current Landlord
 - Name and Address of the Tenant's prior Landlord

(2) Waiting List Organization

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

- None
- Federal public housing
- Federal moderate rehabilitation
- Federal project-based certificate program
- Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

- PHA main administrative office
- Other (list below)

(3) Search Time

a. Yes No: Does the PHA give extensions on standard 60-day period to search for a unit?

Extensions take into account whether the family has made due diligence in finding a unit, whether there are medical or other circumstances which have affected the family's ability to find a unit, a reasonable expectation that an extension will result in success, and whether a family has requested an extension previously.

(4) Admissions Preferences

a. Income targeting

- Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

At this time 50% of section 8 recipients have household incomes below 30% of median income. In addition, 92% of the applicants on the Section 8 waiting list are below 30% of median. Through the use of skipping the LHA will seek to admit up to 25% of applicants with incomes above 30% of median.

b. Preferences

1. Yes No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)
2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

[Note: The following preferences are being proposed but have not been approved as of the date of this submission.]

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s)
 - Involuntarily displaced from a dwelling unit in the municipality of Lowell
 - Residents of Julian Steele Apartments

Residents required to move because of modernization.

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

All Date and Time

Plus the following ranked priorities

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other Ranked preference(s):
 - #1. Involuntarily displaced from a dwelling unit in the municipality of Lowell
 - #2. Working head of household or working spouse (who has averaged 20 hours of work a week for at least six months), or person 62 years old or older or a person unable to work because of the extent of their disability
 - #3. A legal resident of Lowell or a person working in Lowell an average of 20 hours a week or more or a person with a job offer to work in Lowell with a minimum of 20 hours a week of work
 - #4. A veteran as verified by the Department of Veteran Affairs

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- Date and time of application
- Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for “residents who live and/or work in the jurisdiction” (select one)

- This preference has previously been reviewed and approved by HUD
- The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- The PHA will apply preferences within income tiers through the use of skipping
 Not applicable:

(5) Special Purpose Section 8 Assistance Programs

a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- The Section 8 Administrative Plan
 Briefing sessions and written materials
 Other (list below)

1. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- Through published notices
 Other (list below)

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

(1) Income Based Rent Policies

a. Use of discretionary policies: (select one)

- The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- \$0
- \$1-\$25
- \$26-\$50

Currently it is set at \$50.

2. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

1. Rents set at less than 30% than adjusted income

1. Yes No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?

2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

For the earned income of a previously unemployed household member

For increases in earned income

Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

Fixed percentage (other than general rent-setting policy)

If yes, state percentage/s and circumstances below:

For household heads

For other family members

For transportation expenses

For the non-reimbursed medical expenses of non-disabled or non-elderly families

Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

- Yes for all developments
- Yes but only for some developments
- No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- For all developments
- For all general occupancy developments (not elderly or disabled or elderly only)
- For specified general occupancy developments
- For certain parts of developments; e.g., the high-rise portion
- For certain size units; e.g., larger bedroom sizes
- Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- Market comparability study
- Fair market rents (FMR)
- 95th percentile rents
- 75 percent of operating costs
- 100 percent of operating costs for general occupancy (family) developments
- Operating costs plus debt service
- The "rental value" of the unit
- Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- Never
- At family option
- Any time the family experiences an income increase
- Any time a family experiences an income increase above 10%
- Other:

If at a subsequent period in time it is discovered that there was an unreported increase in income, there will be a retroactive calculation of the rent.

g. Yes No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month

disallowance of earned income and phasing in of rent increases in the next year?

Initially the focus will be on exploring the idea and then if feasible and desired, it will be implemented.

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- The section 8 rent reasonableness study of comparable housing
- Survey of rents listed in local newspaper
- Survey of similar unassisted units in the neighborhood
- Other (list/describe below)

B. Section 8 Tenant-Based Assistance

(1) Payment Standards

Funds are reserved in the ACC using the payment standard in effect when the LHA's application for a funding increment is approved. There is one payment standard for each fair market rent area within its jurisdiction, based on bedroom size. It is not less than 80% of the published FMRs (when payment standard is adopted) and not more than the FMR and the community wide accepted rent. The standards in effect in September 1999 (when adopted) are \$634 (1BR), \$766 (2BR), \$960 (3BR), \$1,073 (4BR), \$1,234 (5+ BR). They can be adjusted by Affordability Adjustments which are developed annually.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR
- Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional families by lowering the payment standard
- Reflects market or submarket
- Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for families
- Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- Annually
- Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- Success rates of assisted families
- Rent burdens of assisted families
- Other:

(2) Minimum Rent

a. What amount best reflects the PHA's minimum rent? (select one)

- \$0
- \$1-\$25
- \$26-\$50

It is set at \$50 currently

b. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

5. Operations and Management

[24 CFR Part 903.7 9 (e)]

Note: Even as a high performer, the LHA is choosing to provide information in this section.

A. PHA Management Structure

Describe the PHA's management structure and organization.

(select one)

- An organization chart showing the PHA's management structure and organization is attached.
- A brief description of the management structure and organization of the PHA follows:

As is common in Massachusetts, the Lowell Housing Authority manages both Federal and State funded and regulated housing developments. As much as permitted by regulation, the agency has combined regulations and operating procedures. The major areas in which procedures differ concern modernization (there is no formula funding of modernization for state aided developments) and changes issuing from the Quality Housing and Work Responsibility Act of 1998, such as preferences in admission.

The agency has a five member Board of Commissioners, with one appointed by the Governor and the other four appointed by the City Manager of Lowell with City Council concurrence. There is an Executive and Assistant Director and five Departments. The Departments are Finance, Management, Maintenance, Leasing and Occupancy, Design and Construction.

B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use “NA” to indicate that the PHA does not operate any of the programs listed below.)

| Program Name | Units or Families Served at Year Beginning | Expected Turnover |
|---|---|--------------------------|
| Federal Public Housing | 1639 | 12.38% |
| State Public Housing | 539 | 11.31% |
| Section 8 Vouchers | 986 | 6.5% |
| Section 8 Certificates | Combined with Vouchers | N/A |
| Section 8 Mod Rehab | 0 | N/A |
| Special Purpose Section 8 Certificates/Vouchers (list individually) | 0 | N/A |
| Public Housing Drug Elimination Program (PHDEP) | 1639 | N/A |
| Other Federal Programs(list individually) | N/A | N/A |

C. Management and Maintenance Policies

(1) Public Housing Maintenance and Management Documents and Manuals:

- Equal Opportunity Housing Plan
- Collective Bargaining Agreement
- Pet Policy
- Grievance Procedure
- Criminal Offender Record Information Policy

- Annual Reexamination Review for Federal Projects
- Model Safety Policy
- Rent Collection Policy
- Investment Policy
- Waterbed Policy
- Eviction Procedure
- Fire Damaged Apartment Policy
- Employee Privacy Policy
- Disposition Policy
- Capitalization Policy
- Procurement Policy
- Personnel Policy
- By-Laws of the Authority
- Inventory Control Policy
- Rental and Occupancy Policy

- (2) Section 8 Management Documents and Manuals:
- Section 8 Administrative Plan
 - Family Self-Sufficiency Action Plan

6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)]

A. Public Housing

1. Yes No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)
- PHA main administrative office
 - PHA development management offices
 - Other (list below)

B. Section 8 Tenant-Based Assistance

1. Yes No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- PHA main administrative office
 Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.79 (g)]

A. Capital Fund Activities

(1) Capital Fund Program Annual Statement

Select one:

The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment 1 Annual Plan Statement

-or-

The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

(2) Optional 5-Year Action Plan

a. Yes No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)

b. If yes to question a, select one:

The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment 2 Five Year Plan

-or-

The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)

- Yes No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
 b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:

2. Development (project) number:

3. Status of grant: (select the statement that best describes the current status)

- Revitalization Plan under development
- Revitalization Plan submitted, pending approval
- Revitalization Plan approved
- Activities pursuant to an approved Revitalization Plan underway

Yes No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?

If yes, list development name/s below:

Yes No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?

If yes, list developments or activities below:

Note: The LHA has developed a mixed financing plan for a State-aided public housing development which anticipates use of some Federal resources including relocation resources.]

Yes No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?

If yes, list developments or activities below:

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. Yes No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

2. Activity Description

Yes No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

| Demolition/Disposition Activity Description |
|--|
| 1a. Development name: 82-116 Lewis Street, Lowell 1b. Development (project) number: MA06P001001 |
| 2. Activity type: Demolition <input checked="" type="checkbox"/> Disposition <input checked="" type="checkbox"/> |
| 3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/> |
| 4. Date application approved, submitted, or planned for submission: <u>(2/1/01)</u> |
| 5. Number of units affected: 18 |
| 6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development |
| 7. Timeline for activity: a. Actual or projected start date of activity: Summer 2001 b. Projected end date of activity: Summer 2002 |

1. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

[24 CFR Part 903.7 9 (i)]

1. Yes No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

2. Activity Description

Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

| |
|---|
| Designation of Public Housing Activity Description |
|---|

| |
|--|
| 1a. Development name: Bishop Markham Village |
| 1b. Development (project) number: MA 1-3 |
| 3. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> 4 of 9 Buildings Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input checked="" type="checkbox"/> 5 of 9 Buildings |
| 4. Application status (select one) Approved; included in the PHA's Designation Plan <input type="checkbox"/> Submitted, pending approval <input checked="" type="checkbox"/> Planned application <input type="checkbox"/> |
| 4. Date this designation approved, submitted, or planned for submission: <u>(5/4/99)</u> |
| 5. If approved, will this designation constitute a (select one) <input checked="" type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan? |
| 6. Number of units affected: 399 |
| 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development |

Designation of Public Housing Activity Description

| |
|---|
| 1a. Development name: Faulkner Street |
| 1b. Development (project) number: MA 1-4 |
| 8. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> 1 DU available for elderly/non-elderly disabled Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/> |
| 9. Application status (select one) Approved; included in the PHA's Designation Plan <input type="checkbox"/> Submitted, pending approval <input checked="" type="checkbox"/> Planned application <input type="checkbox"/> |
| 4. Date this designation approved, submitted, or planned for submission: <u>(5/4/99)</u> |
| 10. If approved, will this designation constitute a (select one) <input checked="" type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan? |
| 11. Number of units affected: 27 |
| 12. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development |

Designation of Public Housing Activity Description

| |
|---|
| 1a. Development name: Father Norton Manor |
| 1b. Development (project) number: MA 1-5 |

| |
|--|
| 13. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/> |
| 14. Application status (select one) Approved; included in the PHA's Designation Plan <input type="checkbox"/> Submitted, pending approval <input checked="" type="checkbox"/> Planned application <input type="checkbox"/> |
| 4. Date this designation approved, submitted, or planned for submission: <u>(5/4/99)</u> |
| 15. If approved, will this designation constitute a (select one) <input checked="" type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan? |
| 16. Number of units affected: 112 17. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development |

| Designation of Public Housing Activity Description |
|---|
| 1a. Development name: Francis Gatehouse Mill 1b. Development (project) number: MA 1-11 |
| 18. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> 9 DU available for non-elderly disabled Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input checked="" type="checkbox"/> |
| 19. Application status (select one) Approved; included in the PHA's Designation Plan <input type="checkbox"/> Submitted, pending approval <input checked="" type="checkbox"/> Planned application <input type="checkbox"/> |
| 4. Date this designation approved, submitted, or planned for submission: <u>(5/4/99)</u> |
| 20. If approved, will this designation constitute a (select one) <input checked="" type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan? |
| 21. Number of units affected: 90 22. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development |

| Designation of Public Housing Activity Description |
|--|
| 1a. Development name: Archambault Towers 1b. Development (project) number: MA 1-6 |

| |
|--|
| 23. Designation type: Occupancy by only the elderly <input type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input checked="" type="checkbox"/> |
| 24. Application status (select one) Approved; included in the PHA's Designation Plan <input type="checkbox"/> Submitted, pending approval <input checked="" type="checkbox"/> Planned application <input type="checkbox"/> |
| 4. Date this designation approved, submitted, or planned for submission: <u>(5/4/99)</u> |
| 25. If approved, will this designation constitute a (select one) <input checked="" type="checkbox"/> New Designation Plan <input type="checkbox"/> Revision of a previously-approved Designation Plan? |
| 26. Number of units affected: 189 27. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development |

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. Yes No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

| |
|--|
| Conversion of Public Housing Activity Description |
| 1a. Development name: |
| 1b. Development (project) number: |

| |
|---|
| <p>2. What is the status of the required assessment?</p> <p><input type="checkbox"/> Assessment underway</p> <p><input type="checkbox"/> Assessment results submitted to HUD</p> <p><input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question)</p> <p><input type="checkbox"/> Other (explain below)</p> |
| <p>3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)</p> |
| <p>4. Status of Conversion Plan (select the statement that best describes the current status)</p> <p><input type="checkbox"/> Conversion Plan in development</p> <p><input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY)</p> <p><input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY)</p> <p><input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway</p> |
| <p>5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one)</p> <p><input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: _____)</p> <p><input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____)</p> <p><input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____)</p> <p><input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent</p> <p><input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units</p> <p><input type="checkbox"/> Other: (describe below)</p> |

B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937

[Note: The Lowell Housing Authority intends to set aside a portion of its Section 8 certificates for the creation of project based developments serving certain special needs sub-populations of the disabled. In designing this program, there may be a voluntary conversion of some of the public housing of the agency, although at this time that is not expected to happen.]

C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

1. Yes No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

| Public Housing Homeownership Activity Description (Complete one for each development affected) |
|--|
| 1a. Development name: 1b. Development (project) number: |
| 2. Federal Program authority: <input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99) |
| 3. Application status: (select one) <input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application |
| 4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY) |

**Public Housing Homeownership Activity Description
(Complete one for each development affected)**

- Number of units affected:
- 6. Coverage of action: (select one)
- Part of the development
- Total development

B. Section 8 Tenant Based Assistance

1. Yes No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

- Yes No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- 25 or fewer participants
- 26 - 50 participants
- 51 to 100 participants
- more than 100 participants

b. PHA-established eligibility criteria

- Yes No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria? If yes, list criteria below:

These will be developed as the program is designed.

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (l)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

- Yes No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? DD/MM/YY

The LHA intends to pursue a cooperative agreement in the coming year.

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- Client referrals
- Information sharing regarding mutual clients (for rent determinations and otherwise)
- Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- Jointly administer programs
- Partner to administer a HUD Welfare-to-Work voucher program
- Joint administration of other demonstration program
- Other:

The LHA intends to explore additional avenues of cooperation in the coming year.

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas?

(select all that apply)

- Public housing rent determination policies
- Public housing admissions policies
- Section 8 admissions policies
- Preference in admission to section 8 for certain public housing families
- Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- Preference/eligibility for public housing homeownership option participation
- Preference/eligibility for section 8 homeownership option participation
- Other policies:
 - The LHA intends to pursue a waiver with HUD to permit a set aside of LHA Section 8 certificates for public housing households who wish to

become homeowners and thus of the regulations and procedures being used for allocation of Section 8 certificates and vouchers.

b. Economic and Social self-sufficiency programs

Yes No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If “yes”, complete the following table; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

| Services and Programs - Ongoing | | | | |
|--|----------------|--|--|---|
| Program Name & Description (including location, if appropriate) | Estimated Size | Allocation Method (waiting list/random selection/specific criteria/other) | Access (development office / PHA main office / other provider name) | Eligibility (public housing or section 8 participants or both) |
| Dept of Transitional Assistance (Support Services) | | As needed | Off site | FSS |
| Office of Employment and Training (Job Training) | | As needed | Off site | FSS |
| Middlesex Community College (Degree and Certificate Programs) | | As needed | Off site | FSS |
| University of MA at Lowell (Degree Programs) | | As needed | Off site | FSS |
| Lowell Adult Education (ESL and GED Programs) | | As needed | Off Site | FSS |
| YWCA (Child Care) | | As needed | Off site | FSS |
| CTI Family Life Services (Child Care) | | As needed | Off site | FSS |
| Center for Family Development (Counseling) | | As needed | Off site | FSS |
| Headstart Program (Child care) | | As needed | Off site | FSS |
| Access to Jobs (Transportation) | | As needed | Off site | FSS |
| Suitability (Business Clothing) | | As needed | Off site | FSS |
| New Beginnings (Computer Training and Budgeting) | | As needed | Off site | FSS |
| Project Genesis Home Buyer Training Program (Merrimack Valley Housing Partnership) | 10-20 | As needed | Off site | |
| Homebuyer Assistance (Residents First Development Corporation) | 10-20 | As needed | LHA Office | |

| Services and Programs – (Completed but may be repeated) | | | | |
|---|----------------|--|--|---|
| Program Name & Description (including location, if appropriate) | Estimated Size | Allocation Method (waiting list/random selection/specific criteria/other) | Access (development office / PHA main office / other provider name) | Eligibility (public housing or section 8 participants or both) |
| Parenting Skills (Center for Family Development) | 10-20 | Voluntary | Mercier Center | FSS |
| Money Management (Enterprise Bank) | 10-20 | Voluntary | Mercier Center | FSS |
| Budgeting of Income | 10-20 | Voluntary | Mercier Center | FSS |
| Understanding Depression (Fran Souza LSW) | 10-20 | Voluntary | Mercier Center | FSS |
| Credit Establishment and Repair (Consumer Credit Counseling Service of Massachusetts) | 10-20 | Voluntary | Mercier Center | FSS |
| General health and Nutrition (Lowell General Hospital) | 10 to 20 | Voluntary | Mercier Center | FSS |
| Women’s Health Issues (Nancy Hurwitz, Nurse Practitioner) | 10-20 | Voluntary | Mercier Center | FSS |
| Money Management (Jeanne D’Arc Credit Union) | 10-20 | Voluntary | LHA Office | FSS |
| Individual Financial Analysis (Enterprise Bank) | 10-20 | Voluntary | LHA Office | FSS |
| Domestic Abuse (Alternative House) | 10-20 | Voluntary | LHA Office | FSS |
| Personal Strategies for Managing Stress (Middlesex Community College) | 10-20 | Voluntary | Mercier Centre | FSS |
| Career Planning (Middlesex Community College) | 10-20 | Voluntary | LHA Office | |
| Interviewing Techniques (Middlesex Community College) | 10 -20 | Voluntary | LHA Office | |
| Effective Office Practices (Middlesex Community College) | 10-20 | Voluntary | LHA Office | |
| Developing Self Confidence (Middlesex Community College) | 10-20 | Voluntary | LHA Office | |
| Getting Results with Time Management (Middlesex Community College) | 10-20 | Voluntary | LHA Office | |
| Motivational Skills and Tactics (Middlesex Community College) | 10-20 | Voluntary | LHA Office | |
| Effective Employee Practices (Middlesex Community College) | 10-20 | Voluntary | LHA Office | |

(2) Family Self Sufficiency program/s

c. Participation Description

| Family Self Sufficiency (FSS) Participation | | |
|--|--|--|
| Program | Required Number of Participants (start of FY 2000 Estimate) | Actual Number of Participants (As of: 1/2/2000) |
| Public Housing | 0 | 0 |
| Section 8 | 50 | 44 |

- b. Yes No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size? If no, list steps the PHA will take below:

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

The LHA is submitting a PHDEP plan with this PHA Plan

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- Residents fearful for their safety and/or the safety of their children
- Observed lower-level crime, vandalism and/or graffiti
- People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- Other:
There are a few perceived problems in one family development and two elderly developments

2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).

- Safety and security survey of residents
- Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- Analysis of cost trends over time for repair of vandalism and removal of graffiti
- Resident reports
- PHA employee reports
- Police reports
- Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- Other (describe below)

2. Which developments are most affected? (list below)

North Common, Bishop Markham, Archambault Towers, George Flanagan

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- Contracting with outside and/or resident organizations for the provision of crime-and/or drug-prevention activities
- Crime Prevention Through Environmental Design
- Activities targeted to at-risk youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program
- Other

- Police Substation
- Private Investigators

2. Which developments are most affected? (list below)

North Common, Bishop Markham, Archambault Towers

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- Police provide crime data to housing authority staff for analysis and action
- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- Police regularly testify in and otherwise support eviction cases
- Police regularly meet with the PHA management and residents
- Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- Other activities
Fingerprinting

2. Which developments are most affected? (list below)

North Common, George Flanagan, Bishop Markham, Archambault Towers, Scattered Sites

D. Additional information as required by PHDEP/PHDEP Plan

- Yes No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- Yes No: Has the PHA included the PHDEP Plan for FY 2000 in this PHA Plan?
- Yes No: This PHDEP Plan is an Attachment. (Attachment Filename: PHDEP2000.doc)

14. Pet Policy

[24 CFR Part 903.7 9 (n)]

The LHA Pet Policy is to permit household pets not requiring exercise or the utilization of outdoor activities, in all units. Pets requiring exercise or allowed outdoors are only permitted in units with attached private and fenced yards. No pets with a profile of aggression

(Doberman Pinchers, Rotweilers etc.) or a danger to others (such as poisonous snakes etc.) are permitted at all in any units.

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

1. Yes No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?
(If no, skip to component 17.)
2. Yes No: Was the most recent fiscal audit submitted to HUD?
3. Yes No: Were there any findings as the result of that audit?
4. Yes No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? _____
5. Yes No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)?

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

1. Yes No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?

• What types of asset management activities will the PHA undertake? (select all that apply)

- Not applicable
- Private management
- Development-based accounting for all sites
- Comprehensive stock assessment
- Other:
 - Assessments of sub-population markets and neighborhood markets.
 - Not-for-Profit management of disabled developments using Section 8 certificates in a project based new development.
 - Supportive service contracts to third party providers for on site service programs and development of neighborhood service centers within developments.

- Consolidation of all financial accounting under GAAP and the development of asset value of LHA holdings and the potential leverage of these for development of new affordable housing.
- Development of personnel assets through tuition credits and reimbursements, training opportunities and through increasing skill standards for new hires.

3. Yes No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)

Attached below Resident Meeting Minutes

Provided below:

No formal comments were received as the RAB was intimately involved in the development of the plan. Members of the RAB attending the Public Hearing noted how satisfied they were with the process and the final document, which they stated reflected their deliberations faithfully.

3. In what manner did the PHA address those comments? (select all that apply)

Considered comments, but determined that no changes to the PHA Plan were necessary.

The PHA changed portions of the PHA Plan in response to comments
List changes below:

Other: They were used to develop the plan

B. Description of Election process for Residents on the PHA Board

1. Yes No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)

2. Yes No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

The resident councils at each development submit one but no more than three names and these are then forwarded to the City Manager who after interviews, selects a resident who is then approved by City Council.

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

- Candidates were nominated by resident and assisted family organizations
- Candidates could be nominated by any adult recipient of PHA assistance
- Self-nomination: Candidates registered with the PHA and requested a place on ballot
- Other: (describe)

b. Eligible candidates: (select one)

- Any recipient of PHA assistance
- Any head of household receiving PHA assistance
- Any adult recipient of PHA assistance
- Any adult member of a resident or assisted family organization
- Other (list)

c. Eligible voters: (select all that apply)

- All adult recipients of PHA assistance (public housing only)
- Representatives of all PHA resident and assisted family organizations
- Other (list)

C. Statement of Consistency with the Consolidated Plan

1. Consolidated Plan jurisdiction: City of Lowell

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.

- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- Developing assisted living opportunities for the elderly
 - Expanding affordable housing opportunities in the region
 - Deconcentrating poverty concentrations, reducing poor housing conditions, especially in the Acre, where the LHA has its largest public housing concentrations.
 - Supporting the development of alternative housing opportunities with specialized services for the disabled through project based Section 8 programs

Other: (list below)

3. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

- Allocation of CDBG funds to assist the LHA in the Julian Steele Reinvention Plan
- Use of HOME and CDBG funds to expand the supply of affordable housing in the region
- Use of CDBG funds to partner with the LHA in the development of Project Based Section 8 housing
- Use of CDBG and HOME funds to partner with the LHA in the provision of supportive services and housing opportunities for persons of extremely low income
- Use of CDBG funds to operate youth programs with the LHA
- Coordination of CDBG funding for Lead Based Paint removal and remediation
- Use of CDBG and HOME funds to transform (stabilize) the neighborhoods in which there is an excessive concentration of poverty, including some in which there are LHA developments

D. Other Information Required by HUD

Use this section to provide any additional information requested by HUD.

1. Follow-up plan to the Resident Survey and Satisfaction Survey

The LHA intends to implement the following actions to address issues raised in the survey conducted in FY 1999.

- Work with Resident Councils to conduct meetings/surveys to ascertain areas of concern/dissatisfaction
- Weekly development tours will be conducted by management staff to identify and address problem areas such as common areas, parking areas, yards, etc.
- Continue and maintain the present pest control procedure

- Purchase additional equipment to combat graffiti throughout the developments
- Aggressively recruit residents for employment on our landscape and grounds crews, to address/improve curb appeal for our developments, i.e., trash, litter and landscaping
- In addition to in-house labor, pursue the services of the Middlesex County Community Work Program to improve curb appeal and exterior/interior building conditions
- Develop and implement a Fence Policy to standardize the use of exterior fencing
- Develop and implement an Air Conditioner Policy common to all developments to address safety and well-being of residents
- Increase frequency of parking lot tours to address abandoned and/or illegally parked vehicles
- Aggressively pursue eviction of lease violation of resident responsibilities.

2. Follow-up plan for Security and Safety

The LHA intends to implement the following actions to address security and safety issues and raise the visibility of its Community Policing program.

- Request that Resident Councils invite the LHA Housing Police officers to regularly scheduled meetings
- Publicize and increase efforts in drug sweeps
- Initiate, train and support Neighborhood Watch patrols
- Initiate “officer friendly” program where LHA police knock on 10 resident doors daily to introduce themselves and offer assistance. If residents are not home, officers will leave a packet of information and a business card
- Begin phone bank with Public Safety staff, making day and evening phone calls to our residents, gather information for surveys and explain Public Safety programs.

Attachments

Use this section to provide any additional attachments referenced in the Plans.

- Attachment 1: Annual Plan for Comprehensive Grant
- Attachment 2: Five Year Plan for Comprehensive Grant
- Attachment 3: Drug Elimination Grant Application
- Attachment 4: Definition of 'substantial deviation' and 'significant amendment or modification'
- Attachment 5: Certifications

Annual Statement/Performance and Evaluation Report
 Comprehensive Grant Program (CGP) **Part I: Summary**

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

| | | |
|--------------------------------------|---|--------------------------------|
| HA Name: Lowell Housing Authority | Comprehensive Grant Number: MA 06P00170799 | FFY of Grant Approval: 1999 |
|--------------------------------------|---|--------------------------------|

Original Annual Statement
 Reserve for Disasters/Emergencies
 Revised Annual Statement/Revision Number
 Performance and Evaluation Report for Program Year Ending

Final Performance and Evaluation Report

| Line No. | Summary by Development Account | Total Estimated Cost | | Total Actual Cost 2 | |
|----------|---|----------------------|-------------|---------------------|----------|
| | | Original | Revised (1) | Obligated | Expended |
| 1 | Total Non-CGP Funds | 0 | | | |
| 2 | 1406 Operations (May not exceed 10% of line 19) | | | | |
| 3 | 1408 Management Improvements | 350,000 | | | |
| 4 | 1410 Administration | 385,821 | | | |
| 5 | 1411 Audit | 0 | | | |
| 6 | 1415 Liquidated Damages | 0 | | | |
| 7 | 1430 Fees and Costs | 200,000 | | | |
| 8 | 1440 Site Acquisition | 100,000 | | | |
| 9 | 1450 Site Improvement | 100,000 | | | |
| 10 | 1460 Dwelling Structures | 2,577,000 | | | |
| 11 | 1465.1 Dwelling Equipment--Nonexpendable | 0 | | | |
| 12 | 1470 Nondwelling Structures | 0 | | | |
| 13 | 1475 Nondwelling Equipment | 95,396 | | | |
| 14 | 1485 Demolition | 0 | | | |
| 15 | 1490 Replacement Reserve | 0 | | | |
| 16 | 1495.1 Relocation Costs | 50,000 | | | |
| 17 | 1498 Mod Used for Development | 0 | | | |
| 18 | 1502 Contingency (may not exceed 8% of line 19) | 0 | | | |
| 19 | Amount of Annual Grant (Sum of lines 2-18) | 3,858,217 | | | |
| 20 | Amount of line 19 Related to LBP Activities | | | | |
| 21 | Amount of line 19 Related to Section 504 Compliance | | | | |
| 22 | Amount of line 19 Related to Security | | | | |
| 23 | Amount of line 19 Related to Energy Conservation Measures | | | | |

| | |
|--|--|
| Signature of Executive Director & Date: X | Signature of Public Housing Director/Office of Native American Programs Administrator & Date: X |
|--|--|

6/16/99

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

form **HUD-52837**

**Annual Statement/
Performance and Evaluation Report
Part II: Supporting Pages
Comprehensive Grant Program (CGP)**

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

| Development Number/Name LHA-Wide Activities | General Description of Major Work Categories | Development Account Number | Quantity | Total Estimated Cost | | Total Actual Cost | | Status of Proposed Work (2) |
|--|--|----------------------------|----------|----------------------|-------------|---------------------|--------------------|-----------------------------|
| | | | | Original | Revised (1) | Funds Obligated (2) | Funds Expended (2) | |
| LHA-wide | Fees/Costs (M99-1) | 1430 | N/A | 200,000 | | | | |
| | Non-Dwelling Equipment (M99-2) | 1475 | N/A | 95,396 | | | | |
| | Administrative (M99-3) | 1410 | N/A | 385,821 | | | | |
| | Management Improvements (M99-4) | 1408 | N/A | 350,000 | | | | |
| 1001 North Common Village | Window Repairs/Replacement (M99-5) | 1460 | | 300,000 | | | | |
| | Lead Abatement (M99-6) | 1460 | | 300,000 | | | | |
| | Tub Repairs/Replacement (M99-7) | 1460 | | 150,000 | | | | |
| | Site Acquisition (M99-8) | 1440 | N/A | 100,000 | | | | |
| | Site Improvements (M99-9) | 1450 | N/A | 50,000 | | | | |

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

(2) To be completed for the Performance and Evaluation Report.

Signature of Executive Director and Date

Signature of Public Housing Director/Office of Native American Programs Administrator and Date

6/16/99

**Annual Statement/
Performance and Evaluation Report
Part II: Supporting Pages
Comprehensive Grant Program (CGP)**

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

| Development Number/Name LHA-Wide Activities | General Description of Major Work Categories | Development Account Number | Quantity | Total Estimated Cost | | Total Actual Cost | | Status of Proposed Work (2) |
|---|---|----------------------------|----------|----------------------|-------------|---------------------|--------------------|-----------------------------|
| | | | | Original | Revised (1) | Funds Obligated (2) | Funds Expended (2) | |
| 1003 Bishop Markham Village | Window Repairs/Replacement (M99-10) | 1460 | | 100,000 | | | | |
| 1006 Dewey G. Archambault Towers | Replace Apartment Sliding Doors (M99-11) | 1460 | | 300,000 | | | | |
| | Replace Hallway/Office Carpeting (M99-12) | 1460 | | 75,000 | | | | |
| | Hallway Ventilation (M99-13) | 1460 | N/A | 100,000 | | | | |
| | Repave Parking Lots (M99-14) | 1450 | | 50,000 | | | | |
| | Install Water Bubblers (M99-15) | 1460 | 1 | 2,000 | | | | |
| 1007 Harold Hartwell Court | Re-Design Roofs/ Replace Siding/ Site Work (M99-16) | 1460 | | 900,000 | | | | |

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

(2) To be completed for the Performance and Evaluation Report.

Signature of Executive Director and Date

Signature of Public Housing Director/Office of Native American Programs Administrator and Date

6/16/99

**Annual Statement/
Performance and Evaluation Report
Part II: Supporting Pages
Comprehensive Grant Program (CGP)**

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

| Development Number/Name LHA-Wide Activities | General Description of Major Work Categories | Development Account Number | Quantity | Total Estimated Cost | | Total Actual Cost | | Status of Proposed Work (2) |
|---|---|----------------------------|----------|----------------------|-------------|---------------------|--------------------|-----------------------------|
| | | | | Original | Revised (1) | Funds Obligated (2) | Funds Expended (2) | |
| 1011 Francis Gatehouse Mill | Masonry Repairs (M99-17) | 1460 | N/A | 50,000 | | | | |
| 1012 Scattered Sites | Unit Refurbishment, including New Kitchens/Baths (M99-18) | 1460 | | 100,000 | | | | |
| | Temporary Relocation (M99-19) | 1495.1 | N/A | 20,000 | | | | |
| 1014 Scattered Sites | Unit Refurbishment, including New Kitchens/Baths (M99-20) | 1460 | | 200,000 | | | | |
| | Temporary Relocation (M99-21) | 1495.1 | N/A | 30,000 | | | | |

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

(2) To be completed for the Performance and Evaluation Report.

Signature of Executive Director and Date

Signature of Public Housing Director/Office of Native American Programs Administrator and Date

6/16/99

Five-Year Action Plan

Part I: Summary

Comprehensive Grant Program (CGP)

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

| HA Name: Lowell Housing Authority | | Locality: (City/County & State) Lowell/Middlesex, Massachusetts | | | <input checked="" type="checkbox"/> Original <input type="checkbox"/> Revision No: _____ | |
|--|---|--|--|---|--|-----------|
| A. Development Number/Name | Work Statement for Year 1 FFY: <u>99</u> | Work Statement for Year 2 FFY: <u>2000</u> | Work Statement for Year 3 FFY: <u>2001</u> | Work Statement for Year 4 FFY: <u>2002</u> | Work Statement for Year 5 FFY: <u>2003</u> | |
| MA 1-1/North Common Village | See Annual Statement | 942,396 | 0 | 500,000 | 1,250,000 | |
| MA 1-2/George Flanagan Development | | 0 | 0 | 500,000 | 500,000 | |
| MA 1-3/Bishop Markham Village | | 0 | 0 | 500,000 | 0 | |
| MA 1-4/Faulkner St. Development | | 1,680,000 | 225,000 | 225,000 | 0 | |
| MA 1-5/Fr. Norton Manor | | 0 | 0 | 500,000 | 0 | |
| MA 1-6/Dewey Archambault Towers | | 0 | 0 | 0 | 0 | |
| MA 1-7/Harold Hartwell Court | | 0 | 0 | 0 | 0 | |
| MA 1-11/Francis Gatehouse Mill | | 0 | 197,396 | 150,000 | 0 | |
| MA 1-12/Scattered Sites | | 0 | 200,000 | 172,396 | 0 | |
| MA 1-14/Scattered Sites | | | | | | |
| B. Physical Improvements Subtotal | | | 2,622,396 | 622,396 | 2,622,396 | 1,750,000 |
| C. Management Improvements | | | 350,000 | 350,000 | 350,000 | 350,000 |
| D. HA-Wide Nondwelling Structures | | | 0 | 2,000,000 | 0 | 872,396 |
| E. Administration | | | 385,821 | 385,821 | 385,821 | 385,821 |
| F. Other | | 500,000 | 500,000 | 500,000 | 500,000 | |
| G. Replacement Reserve | | 0 | 0 | 0 | 0 | |
| H. Total CGP Funds | | 3,858,217 | 3,858,217 | 3,858,217 | 3,858,217 | |
| I. Total Non-CGP Funds | | 0 | 0 | 0 | 0 | |
| J. Grand Total | | | | | | |
| Signature of Executive Director: | | Date: 6/16/99 | Signature of Public Housing Director/Office of Native Programs Administrator Howard Schindler | | Date: 9/28/99 | |

LOWELL HOUSING AUTHORITY

Five-Year Action Plan

Part II: Supporting Pages
 Physical Needs Work Statement(s)
 Comprehensive Grant Program (CGP)

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

| Work Statement for Year 1 FFY: 99 | Work Statement for Year 2 FFY: 2000 | | | Work Statement for Year 3 FFY: 2001 | | |
|--|--|----------|----------------|--|----------------------------|----------------|
| | Development Number/Name/General Description of Major Work Categories | Quantity | Estimated Cost | Development Number/Name/General Description of Major Work Categories | Quantity | Estimated Cost |
| See Annual Statement | MA 1-1/North Common Village Phase I/Heating System Conversion | | 942,396 | Administrative Office Building | 15,000 sq. ft. | 2,000,000 |
| | MA 1-2 George W. Flanagan Development | | -0- | MA 1-2/George W. Flanagan Development | | -0- |
| | MA 1-3/Bishop Markham Village | | -0- | MA 1-3/Bishop Markham Village | | -0- |
| | MA 1-4/Faulkner Street Development | | -0- | MA 1-4/Faulkner Street Development | | -0- |
| | MA 1-5/Fr. Martin Norton Manor Kitchens/Baths | 112 | 1,680,000 | MA 1-5/Fr. Martin Norton Manor Heating System Replacement | | 225,000 |
| | MA 1-6/Dewey G. Archambault Towers | | -0- | MA 1-6/Dewey G. Archambault Towers | | -0- |
| | MA 1-7/Harold Hartwell Court | | -0- | MA 1-7/Harold Hartwell Court | | -0- |
| | MA 1-11/Francis Gatehouse Mill | | -0- | MA 1-11/Francis Gatehouse Mill | | -0- |
| | Subtotal of Estimated Cost | | | 2,622,396 | Subtotal of Estimated Cost | |

LOWELL HOUSING AUTHORITY

Five-Year Action Plan

Part II: Supporting Pages
 Physical Needs Work Statement(s)
 Comprehensive Grant Program (CGP)

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

| Work Statement for Year 1 FFY: 99 | Work Statement for Year 2 FFY: 2000 | | | Work Statement for Year 3 FFY: 2001 | | |
|--|--|----------|----------------|--|----------|----------------|
| | Development Number/Name/General Description of Major Work Categories | Quantity | Estimated Cost | Development Number/Name/General Description of Major Work Categories | Quantity | Estimated Cost |
| See Annual Statement | MA 1-12 Scattered Sites | | -0- | MA 1-12 Scattered Sites Exterior Repairs (building) | | 197,396 |
| | MA 1-14 Scattered Sites | | -0- | MA 1-14 Scattered Sites Exterior Repairs (building) | | 200,000 |
| Subtotal of Estimated Cost | | | -0- | Subtotal of Estimated Cost 397,396 | | |

LOWELL HOUSING AUTHORITY

Five-Year Action Plan

Part II: Supporting Pages
 Physical Needs Work Statement(s)
 Comprehensive Grant Program (CGP)

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

| Work Statement for Year 1 FFY: 99 | Work Statement for Year 4 FFY: 2002 | | | Work Statement for Year 5 FFY: 2003 | | |
|--|--|----------|--------------------------------------|--|----------|----------------|
| | Development Number/Name/General Description of Major Work Categories | Quantity | Estimated Cost | Development Number/Name/General Description of Major Work Categories | Quantity | Estimated Cost |
| See Annual Statement | MA 1-1/North Common Village | | | MA 1-1/North Common Village | | |
| | Roof Re-design/Replacement (final) | 2 | 250,000 | Install Buzzer/Intercom System | | 250,000 |
| | Site Work/Trash Area Reconfiguration | | 250,000 | Heating System Replacement (Phase 2) | | 1,000,000 |
| | George W. Flanagan Development (MA 1-2) | | | George W. Flanagan Development (MA 1-2) | | |
| | Heating System Replacement/Phase I | | 500,000 | Heating System Replacement/Phase II | | 500,000 |
| | Bishop Markham Village (MA 1-3) | | | Bishop Markham Village (MA 1-3) | | |
| | Heating System Upgrade | | 500,000 | | | -0- |
| Faulkner Street Development (MA 1-4) | | | Faulkner Street Development (MA 1-4) | | | |
| Window Replacement | | 35,000 | | | | |
| Floor Replacement | | 40,000 | | | -0- | |

| | | | | |
|--|----------------------------------|-----------|----------------------------------|-----------|
| | Fr. Martin Norton Manor (MA 1-5) | | Fr. Martin Norton Manor (MA 1-5) | |
| | Roof Replacement | 100,000 | | |
| | Exterior Building Painting | 125,000 | | -0- |
| | Subtotal of Estimated Cost | 1,800,000 | Subtotal of Estimated Cost | 1,750,000 |

form HUD-52834

LOWELL HOUSING AUTHORITY

Five-Year Action Plan

Part II: Supporting Pages
 Physical Needs Work Statement(s)
 Comprehensive Grant Program (CGP)

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

| Work Statement for Year 1 FFY: 99 | Work Statement for Year 4 FFY: 2002 | | | Work Statement for Year 5 FFY: 2003 | | |
|--|--|----------|----------------|--|----------|----------------|
| | Development Number/Name/General Description of Major Work Categories | Quantity | Estimated Cost | Development Number/Name/General Description of Major Work Categories | Quantity | Estimated Cost |
| See Annual Statement | MA 1-6/Dewey G. Archambault Towers Building Reconfiguration (asst. living/ common areas) | | 500,000 | MA 1-6/Dewey G. Archambault Towers | | -0- |
| | MA 1-7/Harold Hartwell Court | | -0- | MA 1-7/Harold Hartwell Court | | -0- |
| | MA 1-11/Francis Gatehouse Mill | | -0- | MA 1-11/Francis Gatehouse Mill | | -0- |
| | MA 1-12 Scattered Sites | | | MA 1-12 Scattered Sites | | |
| | Roof Replacement | | 150,000 | Youth Sports/Activities Center | | 872,396 |

| | | | | |
|----------------------------|-------------------------|---------|------------------------------------|-----|
| | MA 1-14 Scattered Sites | | MA 1-14 Scattered Sites | |
| | Roof Replacement | 172,396 | | -0- |
| Subtotal of Estimated Cost | | 822,396 | Subtotal of Estimated Cost 872,396 | |

form HUD-52834

Public Housing Drug Elimination Program Plan

Annual PHDEP Plan Table of Contents:

1. General Information/History
2. PHDEP Plan Goals/Budget
3. Milestones
4. Certifications

Section 1: General Information History

10. Amount of PHDEP Grant \$360,362

11. Eligibility Type N1 N2 R

12. FFY in which funding is requested 2000

Executive Summary of Annual PHDEP Plan

The Lowell Housing Authority (LHA) will undertake a PHDEP Program that will include: employment of private security guards, community policing dispatcher, crime investigator to improve the overall security of the LHA developments. Programs will also be initiated to include youth activities to at-risk youth and a Family Resource Program to provide services to at-risk families. These programs are intended to reduce the incidence of drug and criminal activity on LHA property.

Target Areas

| PHDEP Target Areas | Total # of Units within the PHDEP Target Areas | Total Population to be Served within the PHDEP Target Area |
|--|--|--|
| LHA federal developments of Mass 1-1, 1-2, 1-3, 1-4, 1-5, 1-6, 1-7, 1-11, 1-12, 1-14 | 1,638 | 3,079 |

Duration of Program

6 months 12 months 18 months 24 months Other

PHDEP Program History

| FY of funding | PHDEP Funding Received | Grant # | Fund Balance as of Date of this submission | Grant Extension or Waiver | Anticipated Completion Date |
|---------------|------------------------|----------------|--|---------------------------|-----------------------------|
| FY 1995 | 417,250 | MA06DEP0010195 | 0 | GE | 2/28/98 |
| FY 1996 | 413,750 | MA06DEP0010196 | 0 | GE | 9/30/98 |
| FY 1997 | 430,040 | MA06DEP0010197 | 0 | GE | 4/30/00 |
| FY 1998 | 427,440 | MA06DEP0010198 | 234,842 | n/a | 1/8/01 |
| FY 1999 | 360,262 | MA06DEP0010199 | 319,550 | n/a | 12/31/00 |

Section 2: PHDEP Plan Goal and Budget

A. PHDEP Plan Summary The Lowell Housing Authority will undertake drug and crime prevention and intervention strategies that will reduce the incidences of crime and increase the level of safety and security in our federal developments. The LHA will contract with a security firm to provide guards who will patrol our developments with the goal of improving security, particularly in elderly developments. A dispatcher will be hired by the LHA with the goal of improving response time by quickly dispatching and routing resident calls for police and security guards. An investigator will be hired to uncover incidences of drug trafficking, fraud, etc. with the goal of reducing these activities at LHA sites. Drug prevention programs will be implemented which will seek to involve at-risk youth in recreational and computer related training activities that will provide alternatives to involvement in drug related activities. A Family Resource Program will be implemented to involve at-risk families in a variety of supportive activities. All plan partners including contracted vendors and LHA employees hired under PHDEP will be involved in regular meetings

to prepare strategies to develop, implement, and provide on-going evaluation of the effectiveness of the various programs included in the PHDEP Plan.

13. PHDEP Budget Summary

FY 2000 Budget Summary

| Budget Line Item | Total Funding |
|----------------------------------|------------------|
| 9120 Security Personnel | \$155,891 |
| 9130 Employment of Investigators | \$15,000 |
| 9160 Drug Prevention | \$189,371 |
| Total PHDEP Funding | \$360,262 |

14. PHDEP Plan Goals and Activities

| 9120 – Security Personnel | | | | Total PHDEP Funding \$ 155,891 | | | |
|---------------------------|---------------------|-------------------|------------|---|---------------|-------------------------------|------------------------|
| Goal # 1 | | | | Improve safety of LHA Developments | | | |
| Objective # 1 | | | | Employ security guards and dispatch them to LHA sites | | | |
| Proposed Activity | # of Persons Served | Target Population | Start Date | Expected completion Date | PHDEP Funding | Other Funding (Amount/Source) | Performance Indicators |
| Employ Security Guards | | | 1/1/01 | 12/31/01 | 130,541 | 0 | |
| Employ Dispatcher | | | 1/1/01 | 12/31/01 | 25,350 | 0 | |

| 9130 – | | | | Total PHDEP Funding \$ 15,000 | | | |
|---------------------|---------------------|-------------------|------------|---|---------------|-------------------------------|------------------------|
| Goal # 1 | | | | Uncover incidences of fraud and criminal activity | | | |
| Objective # 1 | | | | Conduct investigations of alleged criminal activity | | | |
| Proposed Activity | # of Persons Served | Target Population | Start Date | Expected completion Date | PHDEP Funding | Other Funding (Amount/Source) | Performance Indicators |
| Employ Investigator | | | 1/1/01 | 12/31/01 | 15,000 | 0 | |

| 9160 – | | | | Total PHDEP Funding \$ 189,371 | | | |
|---|---------------------|-------------------|------------|---|---------------|-------------------------------|------------------------|
| Goal # 1 | | | | Prevent crime and drug involvement for at-risk populations | | | |
| Objective # 1 | | | | Implement alternative activities for at-risk youth and families | | | |
| Proposed Activity | # of Persons Served | Target Population | Start Date | Expected completion Date | PHDEP Funding | Other Funding (Amount/Source) | Performance Indicators |
| 1. Contract for a Family Resource Program | 1,655 | families | 1/1/01 | 12/31/01 | 87,780 | 0 | |
| 2. Hire Youth Program Staff and develop program | 815 | youth | 1/1/01 | 12/31/01 | 76,091 | 0 | |
| 3. Contract for Computer Training Program | 815 | youth | 1/1/01 | 12/31/01 | 25,500 | 0 | |

Section 3: Expenditure/Obligation Milestones

| Budget Line Item # | 25% Expenditure of Total Grant Funds by Activity # | Total PHDEP Funding Expended (sum of activities) | 50% Obligation of Total Grant Funds by Activity # | Total PHDEP Funding Obligated (sum of the activities) |
|---------------------------|---|---|--|--|
| 9120 | #1 | 130,541 | #1 | 130,541 |
| 9120 | #2 | 25,350 | #2 | 25,350 |
| 9130 | #1 | 15,000 | #1 | 15,000 |
| 9160 | #1 | 87,780 | #1 | 87,780 |
| 9160 | #2 | 76,091 | #2 | 76,091 |
| 9160 | #3 | 25,500 | #3 | 25,500 |
| Total | | \$360,262 | | \$360,262 |

Attachment 4: Definition of ‘substantial deviation’ and ‘significant amendment or modification’

The Lowell Housing Authority has determined that any changes to the ‘Rental and Occupancy Policy’ which contains its Waiting List procedures, its admissions criteria and procedures and its continued occupancy procedures and which reflect policies in the Public Housing Agency Plan, will not be considered to be a substantial deviation or significant amendment or modification.

Also the Lowell Housing Authority has determined that any changes to the ‘Section 8 Administrative Plan’ which contains its Waiting List procedures, its admissions criteria and procedures and other related procedures and which reflect policies in the Public Housing Agency Plan, will not be considered to be a substantial deviation or significant amendment or modification.

Also the Lowell Housing Authority has determined that any changes to the Capital Budgets less than 20% of the total budget and which reflect policies in the Public Housing Agency Plan, will not be considered to be a substantial deviation or significant amendment or modification.

Also the Lowell Housing Authority has determined that any changes to the demolition, disposition, designation and homeownership programs and which reflect policies in the Public Housing Agency Plan, will not be considered to be a substantial deviation or significant amendment or modification.

Attachment 5: Certifications

Certification of Payments to Influence Federal Transactions

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

Applicant Name

Lowell Housing Authority

Program/Activity Receiving Federal Grant Funding

Capital Fund--Public Housing Drug Elimination Program

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the making of any cooperative agreement, the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subawards, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into the transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompanying narrative, is true and accurate.
Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 4910, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Thomas P. Hagan

Title

Chairman

Signature



Date

June 14, 2000

Do not add additional sheets

Form HUD-20011 (2000)
ref. Handbook 7417-1, 7475-1, 7495-1, & 7499-3

**Certification of Consistency
With the Consolidated Plan**

**U.S. Department of Housing
and Urban Development**

I certify that the proposed activities/projects in the application are consistent with the jurisdiction's current, approved Consolidated Plan. (Type or clearly print the following information.)

Applicant Name: Lowell Housing Authority
Project Name: Public Housing Agency Plan
Location of the Project: 300 Moody Street
Lowell, Massachusetts 01854
Name of the Federal
Program to which the
Applicant is applying: Public Housing Agency
Name of
Certifying Jurisdiction: Lowell, Massachusetts
Certifying Official
Of the Jurisdiction: Brian J. Martin
Title: City Manager
Signature: 
Date: July 7, 2000

**Certification for
a Drug-Free Workplace**

U.S. Department of Housing
and Urban Development

Applicant Name

Lowell Housing Authority

Responsible Housing Federal Grant Funding

Capital Fund—Public Housing Drug Elimination Program

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certification and agreement to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free assistance program to inform employees —

(1) The dangers of drug abuse in the workplace;

(2) The Applicant's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will —

(1) Abide by the terms of the statement, and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employees of covered employees must provide copies, including postage paid, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 15 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted —

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

I. Sites for Work Performance. The Applicant shall list (on separate pages) the sites for the performance of work done in connection with the HUD funding of the program/activity shown above. Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.

Check here if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompanying forecasts, is true and correct.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal penalties and penalties under 42 U.S.C. 1061, 1075, 1076, 1114-S-C, 2026, 2027.

| | |
|--|-----------------------|
| Name of Authorized Official Thomas P. Hayes | Title Chairman |
| Signature <i>Thomas P. Hayes</i> | Date June 15, 2000 |

Form HUD-8887(1/97)
and Handbook 7417.3, 7478.13, 7488.1 & 3

Certification for a Drug-Free Workplace

2. Sites for Work Performance:

| Development | City | County | State | Zip Code |
|----------------------------|--------|-----------|---------------|----------------|
| North Common Village | Lowell | Middlesex | Massachusetts | 01854 |
| George Finogun Development | Lowell | Middlesex | Massachusetts | 01851 |
| Bishop Markham Village | Lowell | Middlesex | Massachusetts | 01852 |
| Lawrence Street | Lowell | Middlesex | Massachusetts | 01852 |
| Father Norton Manor | Lowell | Middlesex | Massachusetts | 01852 |
| Dewey Archambault Towers | Lowell | Middlesex | Massachusetts | 01854 |
| Harold Harwell Court | Lowell | Middlesex | Massachusetts | 01851 |
| Francis Gasbouse Mill | Lowell | Middlesex | Massachusetts | 01854 |
| Scattered Sites | Lowell | Middlesex | Massachusetts | 01850-51-52-54 |

**PIA Certifications of Compliance with the PIA Plans
and Related Regulations
Board Resolution to Accompany the PIA 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 5-Year Plan and Annual Plan, for PHA fiscal year beginning 10/1/00, hereinafter referred to as the Plan of which this document is a part and make the following certifications and agreements with the Department of Housing Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. The Plan is consistent with the applicable comprehensive housing affordability strategy for any plan incorporating such strategy for the jurisdiction in which the PHA is located.
2. The PHA obtains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents residing in the PHA, created with it is Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 983.114). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses those recommendations.
4. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 15 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
5. The PHA will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
6. 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 those analyses and actions.
7. For PHA Plan that includes a policy for site-based waiting list:
 - The PHA regularly submits required data to HUD's IHTCS in an accurate, complete and timely manner (as specified in PHA Notice 99-13).
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the date dependent on which to create, including basic information about available sites; and an estimate of the period of time the applicants would likely have to wait to be admitted to units of different sizes and types at each site;
 - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - The PHA shall take reasonable measures to assure that each waiting list is consistent with affirmatively furthering fair housing;
 - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 983.7(c)(11).

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8. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1967.
9. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
10. The PHA will comply with the requirements of section 5 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 125.
11. The PHA has submitted with the Plan a certification with regard to a drug-free workplace required by 24 CFR Part 24, Subpart F.
12. The PHA has submitted with the Plan a certification with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Anticorruption and Implementing regulations at 49 CFR Part 24.
13. For PHA Plans that include a PHIDEP Plan as specified in 24 CFR 761.21: The PHIDEP Plan is consistent with and conforms to the "Plan Requirements" and "Grantee Performance Requirements" as specified in 24 CFR 761.21 and 761.23 respectively and the PHA will maintain and have available for review/inspection (at all times), records or documentation of the following:
 - Baseline law enforcement services for public housing developments assisted under the PHIDEP plan;
 - Consortium agreements between the PHAs participating in the consortium and a copy of the payment agreement between the consortium and HUD applicable only to PHAs participating in a consortium as specified under 24 CFR 761.12;
 - Partnership agreements (including specific technical support) with agencies/organizations providing funding, services or other in-kind resources for PHIDEP-funded activities;
 - Coordination with other law enforcement efforts;
 - Written agreements with local law enforcement agencies (receiving any PHIDEP funds); and
 - All crime statistics and other relevant data (including Part I and special Part II crimes) that establish need for the public housing crime control under the PHIDEP Plan.
14. The PHA will comply with inspection 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.
15. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
16. 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 activities in accordance with 24 CFR Part 58.
17. 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.
18. The PHA will keep records in accordance with 24 CFR 81.20 and facilitate an effective audit to determine compliance with program requirements.
19. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 31.
20. 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).
21. 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 allowable under the regulations and included in its Plan.

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

Lowell Housing Authority
PHA Name

85-433
PHA Number



Signed/Date by PHA Board Chair or other authorized PHA official
Thomas P. Moran, Chairman
June 14, 2000

