

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: _____ Northampton Housing Authority _____ PHA Code: _____ MA-026____ PHA Type: <input type="checkbox"/> Small X High Performing <input type="checkbox"/> Standard <input type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): _____ 07/2012 _____																														
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: 110 (Florence Hgts 50; McDonald Hse 60 with one unit approved as off line) Number of HCV units: 741 (Breakdown as of April 1, 2011: Conventional 365; Enhanced 105; VASH 230; Project Based 41), plus Mod Rehab 32																														
	Submission Type <input type="checkbox"/> 5-Year and Annual Plan X Annual Plan Only <input type="checkbox"/> 5-Year Plan Only																														
4.0	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)																														
	<table border="1"> <thead> <tr> <th rowspan="2">Participating PHAs</th> <th rowspan="2">PHA Code</th> <th rowspan="2">Program(s) Included in the Consortia</th> <th rowspan="2">Programs Not in the Consortia</th> <th colspan="2">No. of Units in Each Program</th> </tr> <tr> <th>PH</th> <th>HCV</th> </tr> </thead> <tbody> <tr> <td>PHA 1:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>PHA 2:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>PHA 3:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program		PH	HCV	PHA 1:						PHA 2:						PHA 3:									
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5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.																														
5.1	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 for the next five years: NA																														
5.2	<ol style="list-style-type: none"> Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan. Expand Assisted Housing Opportunities- a/ Continue progress on expansion of VASH program, including full utilization of those Vouchers, as well as implementing project-basing of vouchers. b/ Continue utilizing Exception Payment Standard to allow voucher holders greater flexibility in the use of their vouchers, and apply for 120% Exception Payment Standard, if justified by need. <u>PROGRESS-</u> We are demonstrating high utilization rates with the VASH program, public housing and Conventional Section 8 program. It was determined that a payment standard of 110% was all our budget allocation could handle. Improve Quality of Assisted Housing- a/ Utilize Capital Fund and ARRA grants for upgrades in accord with Physical Needs Assessment. <u>PROGRESS-</u> Utilized all of our ARRA grant; continued progress employing effective maintenance and management policies to minimize the number of public housing units off-line during vacancies. Higher than normal number if vacancies in state-aided housing may have hampered progress. Collaborate with larger area PHAs to offer Section 8 for homeownership, and self-sufficiency programs. <u>PROGRESS-</u> We refer interested participants to PHAs operating these programs. Improve Cost Efficiency and Resident Satisfaction-a/Produce Lease Orientation Video, and HQS video. b/Reduce energy and utility costs for agency and residents by utilizing energy efficient appliances and fixtures, and upgrading heating plant with high-efficiency boilers, etc. c/Reduce Lease-up time for public housing units. d/Continue innovative Resident Benefit Counseling Program to assure all PHA residents are receiving benefits for which they are entitled. <u>PROGRESS-</u> No progress on (a); great strides on (b) especially at 26-2 where new high efficiency boiler has reduced energy costs, and 26-1 where new hot water tanks are being installed; progress on (c) though largely due to prioritizing federal vacancies; (d) Resident Benefit Counseling Program continues to improve good-will through this program. Improve Community Quality of Life- a/ Continue to utilize CORI and III to better screen applicants, b/Continue to partner with the Northampton Public Schools for after school enrichment programs at 26-1. <u>PROGRESS-</u> (a) All applicants are CORI cleared. (b) After school enrichment program terminated due to lack of City funds, but a private individual has picked up the program with some support from the NHA. 																														
6.0	PHA Plan Update (a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: none (b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. NHA Office For a complete list of PHA Plan elements, see Section 6.0 of the instructions. All Plan elements are present in the public display edition of the Plan.																														
7.0	Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i> NA																														
8.0	Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.																														

8.1	Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> , form HUD-50075.1, for each current and open CFP grant and CFFP financing. Attached
8.2	Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i> , form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan. Attached
8.3	Capital Fund Financing Program (CFFP). <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.
9.0	Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location. Attached

9.1	Strategy for Addressing Housing Needs. Provide a brief description of the PHA’s strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan. (optional) The NHA will continue to monitor rents in the private market and seek a higher exception payment standard, if justified, and if budget allocation will allow without reducing number of voucher holders served. The NHA will continue outreach efforts to landlords to reduce search-time for VASH recipients, and will consider hiring a hiring search specialist to aid assisted VASH participants in an effort to reduce “search time”. The NHA will continue to proceed with development efforts described in 9.0 above, and push for funding of the projects, currently stalled by state bond-cap ceilings. Utilizing data from the Physical Needs Assessment and it’s own internal studies, the NHA will continue to improve its properties. Continue to ensure that residents are receiving non-HUD benefits to which they are entitled through continuation of our Resident Benefit Counseling program.
10.0	Additional Information. Describe the following, as well as any additional information HUD has requested. (a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA’s progress in meeting the mission and goals described in the 5-Year Plan. See 5.2 (b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”

11.0	Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. Note: Faxed copies of these documents will not be accepted by the Field Office. (a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights) (b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only) (f) Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. (g) Challenged Elements (h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only) (i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)
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9.00 Housing Needs

To a large degree, Northampton's success as a diverse, economically vibrant, safe, caring and well-managed small city is as a result of the presence here of a commitment to providing housing opportunities for low-income families, the actual availability of that housing – 11.3% of Northampton's housing stock is considered subsidized -- and a desire to serve the increasing needs of resident to find an affordable place to live. This commitment to an array of housing opportunities has, in some regards, made Northampton a victim of its own success, by attracting additional people to a community that has limited financial ability to meet their needs.

The City has utilized Federal, State and local resources to create an impressive assortment of housing programs for eligible families, and these programs – many of which are the only ones of their kind in the immediate area—have attracted more needy families who attempt to solve their housing needs in Northampton. For example, the City provides local resources for a winter season “cot shelter” which serves individuals from the region, funds housing search and landlord-tenant mediation programs, assists fixed-income elders with a home repair program, and provides subsidies for families living in a pre-paid expiring use development. As other examples, Northampton's Housing Partnership has provided resources to renovate, and return to the market, affordable rental stock, including SRO housing. The Valley Community Development Corporation sponsors counseling, and provides down-payment assistance to first time homebuyers. SoldierOn provides shelter, transitional housing and rehabilitation services for our veteran population on the campus of the Veterans Administration Medical Center.

As the home to the former Northampton State Hospital (NSH), and the locus for most of the community based mental health programs in the area, housing needs are magnified to serve this population. Fully 45% of the 450 “elderly” apartments rented by the NHA are rented to a younger disabled population. Additionally, a disproportionate number of residents of both the Grove St. Inn, a year-round homeless shelter, and the cot shelter program, are extremely young, most former clients of the Department of Youth Services or the Department of Social Services, many with substance abuse histories. Only with extensive and on-going counseling, treatment and skills training, will this needy population truly fit into existing permanent housing programs. Many of these services have been decimated by cuts to Federal and state budgets.

Northampton provides the urban life for the 5 College community (consisting of UMass, Smith College, Mt. Holyoke College, Hampshire College and Amherst College) and its more than 15,000 off-campus students. With its nightlife and safe streets, Northampton has become attractive to this population, which is able to pool resources to rent large numbers of local apartments, thus creating a demand which raises rents greater than those which working families can afford (and which exceed FMRs for the City, which is lumped in with the lower priced Springfield MSA, located 25 miles away).

Northampton's lack of supply of affordable housing is magnified by the demand for it; a demand based on the City's reputation for good schools, as well as its proximity to the VA Medical Center, its location as the hub for mental health services, its notoriety as a community which offers shelter services not available in other local communities, and as a community which values the diversity of its population. The basis for our local economy, and the service sector jobs it has spawned, has led to employment opportunity, but housing opportunity, especially for low-skilled workers, lags dangerously in some measure because, for the most part, the City has been built out, but more ominously because of the failure of federal and state policies to provide for the preservation of existing housing stock, and/or the financing or new affordable housing.

The City is in need of both preserving existing subsidized housing and creating new housing development for low-income families (and individuals), including transitional housing for single individuals with essential mental health or substance abuse needs. Inherent in the creation of additional transitional housing is the need for the multi-faceted services needed to ensure that this housing is, in fact, transitional. Local and state resources have been made available to address these concerns, but the Recession has seriously impacted on budgets to provide those services. Without significant Federal involvement in the form of tax incentives for private housing creation – and a renewed financial commitment to provide social and human services to address deep-rooted social problems faced by participants – Northampton will continue to be an attractive victim of its own success, scratching the surface of its need for affordable housing while other area communities with less will do little to attempt to solve or even recognize the problem.

Northampton can not provide adequate, affordable housing for its residents. As a result, the Northampton Housing Authority determined in 2005 that an affordable housing emergency exists in Northampton. This emergency is verified by multiple data sources, and the threat caused by the emergency takes several forms including:

- the use by HUD of an inaccurate and unreliable FMR for the NHA's jurisdiction which is weighted --in fact, the Springfield MSA was one of only five in the country to have its FMRs lowered in 2000 -- by low-rent apartments in the larger urban core of the MSA;
- regional data which shows that despite a relatively strong economy in terms of unemployment statistics, the poverty rate in the region has increased 40% between 1989 and 1997, creating a growing gap between the "haves" and the "have-nots" which is only exacerbated by escalating rents;
- statewide data showing home prices in Massachusetts increasing 52% since 1995 making it virtually impossible for a moderate income working family to take the first step to home ownership, and leading to Governor Cellucci declaring the lack of affordable housing a "crisis";
- national data indicating that the growth in new multi-family housing utilizing FHA mortgage insurance programs was non-existent during calendar year 2000

The Annual Plan calls for the NHA to take several significant steps in the near future. First, the NHA will seek to increase FMR's above their current level through use of an Exception Payment Standard of 110%, while at the same time continuing to work with other similarly-affected communities to be re-classified from the Springfield MSA. In 2010, HUD reduced the FMR's for Northampton (the Springfield MSA) by 3%. At the same time HUD did not grant a 50% percentile exception in any MSA in Massachusetts, despite rapidly rising rents.

The reduced FMRs have an impact on the ability of new Section 8 participants to find eligible housing in Northampton, and existing participants to find different housing in Northampton and the northern sub-region of the MSA. The effect of the implementation of the new FMR's has been, based on where new voucher holders are finding housing, to further concentrate poverty in the southern sub-region of the MSA, thus contradicting HUD policy established by Congressional mandate in QHWRA.

The current reduced FMRs fly in the face of what we know about rents in the Northampton-Easthampton area (the NHA's jurisdiction) the availability of Section 8-eligible housing here, and the actual experience of Section 8 participants seeking eligible housing. That knowledge is bolstered by a Rent Reasonableness survey conducted in 2010, an informal market survey conducted in 2000, and conversations with area landlords. We believe that while the FMR for this MSA are accurate, the 40th Percentile rents for Northampton are much higher than those used to create the FMR.

The Springfield MSA consists of two distinct geographical sub-regions. The first consists of the City of Springfield and surrounding communities including the cities of Chicopee and Holyoke. This first sub-region is predominated by the heavily-populated urban core of these cities, where rents are, indeed, at the levels suggested by the proposed FMRs. The second sub-region within the MSA is comprised of communities north of the Holyoke Mountain Range, in Hampshire and Franklin Counties, consisting, in part, of the City of Northampton, and the towns of Amherst Easthampton, Hadley, Sunderland and Williamsburg. This sub-region is comprised of smaller, less dense communities. Rents in these communities, which encompass our jurisdictional area, exceed the FMR's.

NHA analysis of HUD's January 2000 Random Digit Dialing (RDD) survey, which formed the basis of the current FMRs, indicates that the sample weight of surveys from the first sub-region --where rents are lower-- drag down the FMRs for the whole MSA, with dramatic impact on the northern sub-region, including the towns of Northampton, Amherst, Sunderland, where rents are higher.

That data showed the average two-bedroom gross rent in the Springfield sub-region is \$619; the 40th percentile rent is \$582. The average two bedroom gross rent in the Northampton sub-region was \$754; the 40th percentile rent was \$717. The gap has only grown since then.

The Northampton Housing Authority has also witnessed a dramatic recent increase in rents in it's jurisdictional community of Easthampton, combined with an equally dramatic, and causal, decrease in available Section 8-eligible housing supply in Northampton. For, example,

new voucher holders are finding moderate difficulty in secure eligible housing in the City of Northampton, and this fact forms the basis for our appealing to HUD to grant a “Success Rate” payment standard exception, above the current 110% payment standard.

Another factor faced by eligible families is the extremely low vacancy rate in Northampton, currently less than 2%. This low vacancy rate contributes to higher rents, rents which are out of the reach of Section 8 participants due to low FMRs.

A further factor faced by Section 8 participants seeking housing in the northern sub-region is competition with college students from the Five College community, where fully 14,000 area college students living off-campus compete for scarce housing resources against working families. These students often use their shared income capacity to meet higher housing costs, whereas Section 8 families are limited by the Extremely-Low and Very Low Income guidelines of HUD.

The NHA believes that the FMR’s for the Springfield MSA are not an accurate reflection of the actual rents in the northern sub-region of the MSA. We will continue to request that the Springfield MSA be re-defined to meet more accurate rental patterns for the northern sub-region, where rents are higher. This will help accomplish HUD compliance with deconcentration of poverty mandates, and is crucial for us to comply with the 75% Extremely Low Income issuance guidelines.

Another serious factor relating to the provision of decent, safe and affordable housing by the NHA comes as a result of the Recession, and decisions relating to financial support public housing authorities, such as the NHA made in Washington and Boston. For four years, the NHA has had its state operating subsidy cut or frozen at 2008 levels. This year, the NHA’s Federal Operating Subsidy was reduced by \$425,000 to zero, resulting in the NHA utilizing Operating Reserves—reserves intended to provide funding for renovations in future years—to function. Additionally, the Capital Fund, the Federal program that provides funding for modernization (and in the NHA’s case that provides funding for establishment of adequate reserve levels to make future modernization programs possible—was cut below previously promised levels. The NHA’s Capital Fund allocation has been cut from \$177,000 in 2000 to \$117,000 in FY-12. These cuts, enacted by Congress and the state legislature must come to an end, especially if both levels of government expect, as the NHA does, that decent, safe and affordable housing will be delivered by this agency. The cut in operating subsidy is particularly painful, as it reduces the NHA’s reserves which were dedicated internally to modernization needs, thus punishing the NHA for responsible management of its funding while providing no means of recovering those funds at a later date.

In conclusion, and as the NHA continues the process of developing housing on property at the NSH granted it by the State Legislature, steps must be taken to address the community housing need. That solution lies with both public sector housing development, and private sector housing development and housing preservation for our eligible populations. A further loss of expiring-use housing in the Community, and in the region, can not be replaced by any development the NHA could construct, or any that is contemplated or encouraged by federal housing policies.

The fact that the City of Northampton, in partnership with the NHA, is one of the few Communities in Massachusetts to exceed 10% affordability in its housing stock demonstrates it’s commitment to creating an economically diverse community. In 2000, recognizing the gravity of the housing crisis in Massachusetts, the Commonwealth created an Affordable Housing Trust Fund to provide communities and agencies with financial resources needed to preserve and build affordable housing. By determining that our situation in Northampton is an emergency, we hope to call attention to the vast needs we face in providing for those families who call Northampton home, who service our local economy, and provide diversity to our Community.

This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA’s operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA’s mission and strategies for serving the needs of low-income and very low-income families. This form is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

Instructions form HUD-50075

Applicability. This form is to be used by all Public Housing Agencies (PHAs) with Fiscal Year beginning April 1, 2008 for the submission of their 5-Year and Annual Plan in accordance with 24 CFR Part 903. The previous version may be used only through April 30, 2008.

1.0 PHA Information

Include the full PHA name, PHA code, PHA type, and PHA Fiscal Year Beginning (MM/YYYY).

2.0 Inventory

Under each program, enter the number of Annual Contributions Contract (ACC) Public Housing (PH) and Section 8 units (HCV).

3.0 Submission Type

Indicate whether this submission is for an Annual and Five Year Plan, Annual Plan only, or 5-Year Plan only.

4.0 PHA Consortia

Check box if submitting a Joint PHA Plan and complete the table.

5.0 Five-Year Plan

Identify the PHA's Mission, Goals and/or Objectives (24 CFR 903.6). Complete only at 5-Year update.

5.1 Mission. A statement of the mission of the public housing agency for serving the needs of low-income, very low-income, and extremely low-income families in the jurisdiction of the PHA during the years covered under the plan.

5.2 Goals and Objectives. Identify quantifiable goals and objectives that will enable the PHA to serve the needs of low income, very low-income, and extremely low-income families.

6.0 PHA Plan Update. In addition to the items captured in the Plan template, PHAs must have the elements listed below readily available to the public. Additionally, a PHA must:

- (a) Identify specifically which plan elements have been revised since the PHA's prior plan submission.
- (b) Identify where the 5-Year and Annual Plan may be obtained by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on its official website. PHAs are also encouraged to provide each resident council a copy of its 5-Year and Annual Plan.

PHA Plan Elements. (24 CFR 903.7)

1. **Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.** Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for maintaining waiting lists for admission to public housing and address any site-based waiting lists.
2. **Financial Resources.** A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.

3. **Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.
4. **Operation and Management.** A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.
5. **Grievance Procedures.** A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants.
6. **Designated Housing for Elderly and Disabled Families.** With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: 1) development name and number; 2) designation type; 3) application status; 4) date the designation was approved, submitted, or planned for submission, and; 5) the number of units affected.
7. **Community Service and Self-Sufficiency.** A description of: (1) Any programs relating to services and amenities provided or offered to assisted families; (2) Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; (3) How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. (**Note: applies to only public housing**).
8. **Safety and Crime Prevention.** For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: (i) A description of the need for measures to ensure the safety of public housing residents; (ii) A description of any crime prevention activities conducted or to be conducted by the PHA; and (iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.
9. **Pets.** A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing.
10. **Civil Rights Certification.** A PHA will be considered in compliance with the Civil Rights and AFFH Certification if: it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction.
11. **Fiscal Year Audit.** The results of the most recent fiscal year audit for the PHA.

- 12. Asset Management.** A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.
- 13. Violence Against Women Act (VAWA).** A description of: **1)** Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; **2)** Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and **3)** Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers

- (a) **Hope VI or Mixed Finance Modernization or Development.**
1) A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and **2)** A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>
- (b) **Demolition and/or Disposition.** With respect to public housing projects owned by the PHA and subject to ACCs under the Act: **(1)** A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and **(2)** A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at: http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm
Note: This statement must be submitted to the extent that **approved and/or pending** demolition and/or disposition has changed.
- (c) **Conversion of Public Housing.** With respect to public housing owned by a PHA: **1)** A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or that the public housing agency plans to voluntarily convert; **2)** An analysis of the projects or buildings required to be converted; and **3)** A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>
- (d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.
- (e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

8.0 Capital Improvements. This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.

8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report. PHAs must complete the *Capital Fund Program Annual Statement/Performance and Evaluation Report* (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:

- (a) To submit the initial budget for a new grant or CFFP;
- (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
- (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

- 1. At the end of the program year; until the program is completed or all funds are expended;
- 2. When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
- 3. Upon completion or termination of the activities funded in a specific capital fund program year.

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

8.3 Capital Fund Financing Program (CFFP). Separate, written HUD approval is required if the PHA proposes to pledge any portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm>

9.0 Housing Needs. Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. (**Note:** Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).

9.1 Strategy for Addressing Housing Needs. Provide a description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. (**Note:** Standard and Troubled PHAs complete annually; Small

and High Performers complete only for Annual Plan submitted with the 5-Year Plan).

and (i) shall be submitted electronically as an attachment to the PHA Plan.

10.0 Additional Information. Describe the following, as well as any additional information requested by HUD:

- (a) **Progress in Meeting Mission and Goals.** PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).**
- (b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition of “significant amendment” and “substantial deviation/modification”. **(Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)**
- (c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. **(Note: Standard and Troubled PHAs complete annually).**

11.0 Required Submission for HUD Field Office Review. In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h)

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*
- (d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*
- (f) Resident Advisory Board (RAB) comments.
- (g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.1.
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.2.

Resolution 1076, amending the Public Housing Admissions and Continued Occupancy Plan (ACOP) and the Section 8 Administrative Plan

2012 Amendments to the NHA's previously approved:

PUBLIC HOUSING – ADMISSIONS & CONTINUED OCCUPANCY PLAN

- Amend Chapter 1- **STATEMENT OF POLICIES AND OBJECTIVES**, Section D on Page 1- 3, by inserting in the list at the end of the first paragraph, the following:

The Violence Against Women Act of 2005, as amended.

- Amend Chapter 1- **STATEMENT OF POLICIES AND OBJECTIVES**, Section D on Page 1- 4, by inserting after the words “ ~~or~~ , sexual orientation” in the second paragraph, the following: “or gender identity”.

- Amend Chapter 1- **STATEMENT OF POLICIES AND OBJECTIVES**, Section D on Page 1- 4, by striking the next to last paragraph and replacing it with the following:

The NHA shall not, on account of actual or perceived race, color, sex, religion, familial status, disability, national origin, marital status, sexual orientation or gender identity:

- Deny to any family the opportunity to apply for housing, nor deny to any qualified applicant the opportunity to participate in the public housing program
- Provide housing that is different from that provided to others
- Subject anyone to segregation or disparate treatment
- Restrict anyone's access to any benefit enjoyed by others in connection with the housing program
- Treat a person differently in determining eligibility or other requirements for admission
- Steer an applicant or tenant toward or away from a particular area based on any of these factors
- Deny anyone access to the same level of services
- Deny anyone the opportunity to participate in a planning or advisory group that is an integral part of the housing program
- Discriminate in the provision of residential real estate transactions
- Discriminate against someone because they are related to or associated with a

member of a protected class

- Publish or cause to be published an advertisement or notice indicating the availability of housing that prefers or excludes persons who are members of a protected class.

- Nor shall the NHA inquire about an applicant or occupant's sexual orientation or gender identity for the purpose of determining eligibility or otherwise making housing opportunities available.

- Amend Chapter 1- **STATEMENT OF POLICIES AND OBJECTIVES**, Section E on Page 1- 5, by inserting after the sub-section entitled "**Federal Americans with Disabilities Act of 1990**" the following new sub-section:

Request of an Accommodation

If an applicant or participant indicates that an exception, change, or adjustment to a rule, policy, practice, or service is needed because of a disability, HUD requires that the NHA treat the information as a request for a reasonable accommodation, even if no formal request is made. {See: Joint Statement of the Departments of HUD and Justice: Reasonable Accommodations under the Fair Housing Act}.

The family must explain what type of accommodation is needed to provide the person with the disability full access to the NHA's programs and services.

If the need for the accommodation is not readily apparent or known to the NHA, the family must explain the relationship between the requested accommodation and the disability.

The NHA will encourage the family to make its request in writing using a reasonable accommodation request form. However, the NHA will consider the accommodation any time the family indicates that an accommodation is needed whether or not a formal written request is submitted. In the absence of a written request, NHA staff shall note the request in the tenant file, including information as to the accommodation requested and the name of the verifier of the need for the accommodation.

- Amend Chapter 1- **STATEMENT OF POLICIES AND OBJECTIVES**, Section E on Page 1- 6, by inserting at the beginning of the sub-section entitled "**Verification of a Request of Accommodation**" the following sentence:

If a person's disability is obvious or otherwise known to the PHA, and if the need for the requested accommodation is also readily apparent or known, no further verification will be required.

- Amend Chapter 2 – **ELIGIBILITY FOR ADMISSION**, Section B on page 2-2 by striking the text of the sub-section entitled “Definition of Family” and substituting in its place the following:

Definition of Family

The applicant must qualify as a Family. *Family* includes, but is not limited to, the following, regardless of actual or perceived sexual orientation, gender identity, or marital status:

(1) A single person, who may be an elderly person, displaced person, disabled person, near-elderly person, or any other single person; or

(2) A group of persons residing together, and such group includes, but is not limited to:

(i) A family with or without children (a child who is temporarily away from the home because of placement in foster care is considered a member of the family);

(ii) An elderly family;

(iii) A near-elderly family;

(iv) A disabled family;

(v) A displaced family; and

(vi) The remaining member(s) of a tenant family when the Head of Household or another member leaves the lease (formerly called Residue of Family). Note: The remaining Head of Household of a tenant household must be over 18 or determined by Massachusetts Law to be an emancipated minor. A family including two or more individuals who are not related by blood, marriage, adoption, or other operation of law, must demonstrate that they have lived together previously or certify that each individual’s income and other resources will be available to meet the needs of the family.

Disabled family means a family whose head (including co-head), spouse, or sole member is a person with a disability. It may include two or more persons with disabilities living together, or one or more persons with disabilities living with one or more live-in aides.

Elderly family means a family whose head (including co-head), spouse, or sole member is a person who is at least 62 years of age. It may include two or more persons who are at least 62 years of age living together, or one or more persons who are at least 62 years of age living with one or more live-in aides.

The temporary absence of a child(ren) from the home due to placement in foster care shall not be considered in determining the family composition and family size, provided that the NHA receives notice from the Massachusetts Department of Children and Families that the child(ren) will be reunified with the family.

The temporary absence of a family member for reasons of hospitalization, duty assignment, temporary employment assignment or school attendance in another location shall not be considered in determining family composition and family size.

- Amend Chapter 4 - **TENANT SELECTION AND ASSIGNMENT PLAN**, Section I on Page 4-8 by inserting the word “accept” in the second sentence so that it reads as follows:

“However, if the Section 8 waiting list is open when the applicant applies for public housing, the NHA must accept a Section 8 application from the family.”

- Amend Chapter 4 - **TENANT SELECTION AND ASSIGNMENT PLAN**, Section P, “**REFUSAL OF OFFER**” on Page 4-10 by substituting the text, as follows:

“If the unit offered is inappropriate for the applicant due to a disability, or other good cause, or the applicant demonstrates that acceptance of the offer would cause undue hardship, the family will retain their position on the waiting list. “Good cause” is an administrative determination for reasons that might include, but is not limited to, fear for the family’s safety due to VAWA considerations, or an unwillingness to move immediately due to a child’s special education program at an existing school. Notwithstanding the above, the offer may be refused either in writing, or verbally. If the unit is refused verbally the family will be notified in writing of their removal from the waiting list.”

- Amend the Appendix to Chapter 6 by adding the following:
 - (u) Kinship, Kin-GAP or similar state guardianship care payments. (See PIH 2012-1)

- Amend Chapter 7, **VERIFICATION PROCEEDURES**, Section A, by inserting the following as a first paragraph:

“As required by HUD Regulations {as most recently promulgated in PIH Notice 2012-10} the NHA shall utilize HUD’s EIV system at every initial determination, and redetermination of income (interim or annual), and maintain the Income Report provided by EIV in the Tenant File. However, if the income report does not contain employment data for the family, the NHA shall accept {See PIH Notice 2010-19} the following sources as forms of verification, utilizing the following hierarchy:

6 Upfront Income Verification (UIV) using HUD’s Enterprise Income Verification (EIV) system (Mandatory)

5 Upfront Income Verification UIV) - Non-HUD (Optional)

4 Written Third Party Verification (Mandatory to supplement EIV-reported income sources and when EIV has no data; Mandatory for non-EIV reported income sources; Mandatory when tenant disputes EIV-reported employment and income information **and** is unable to provide acceptable documentation to support dispute)

3 Written Third Party Verification Form (Mandatory if written third party verification documents are not available or rejected by the NHA; and when the applicant or tenant is unable to provide acceptable documentation)

2 Oral Third Party Verification (Mandatory if written third party verification is not available)

1 Sworn Tenant Declaration (Use as a last resort)

Third Party Verification shall be considered stale if it is dated more than 60-days prior to the request for documentation. Tenant provided documents, when provided when higher-tiered verification is unavailable, are to be considered acceptable as Third-Party Verification. Third party written documents now includes, but are not limited to: acceptable tenant-provided documentation (generated by a third party source) such as pay stubs, a payroll summary report, employer notice/letter of hire/termination, SSA benefit verification letter, bank statements, child support payment stubs, welfare benefit letters and/or printouts, and unemployment monetary benefit notices, etc. The NHA may, at its

discretion, reject any tenant-provided documents and follow up directly with the source to obtain necessary verification of information. If using pay stubs as a form of verification, the NHA is required to obtain at a minimum, two current and consecutive pay stubs for determining annual income from wages. For new income sources or when two pay stubs are not available, the NHA should project income based on the information from a traditional written third party verification form or the best available information.

- Amend Chapter 8- **TRANSFERS**, in the sub-section entitled **Emergency and Medical Transfers**, by striking the third paragraph and substituting the following language :

“The resident has a compelling and documented medical impairment which could be substantially improved by transfer to another unit, and the resident has provided a verified a reasonable accommodation by the medical professional that the transfer would substantially improve the residents condition.”

- Amend Chapter 8- **TRANSFERS**, by adding a new the sub-section H. **RESPONSIBILITY FOR DELAYS IN MOVING:**

“Residents will be allowed seven calendar days from the date of receipt of keys to their new apartment to move, and return their keys to their old apartment to the office. A residents taking longer to move shall be responsible to pay a per diem cost equal to the per diem cost of their rent for any excess days in moving.”

- Amend Chapter 14 – **FAMILY DEBTS TO THE NHA**, Section B, **DEBTS DUE TO FRAUD or NON-REPORTING OF INFORMATION** by striking the first clause of **Payment Procedures for Program Fraud**, and inserting the following after the second clause:

“Except at the request of the tenant, after this initial lump sum payment of 50% of the amount owed, a Payment Agreement shall not require the tenant to pay more than more than 40% of their monthly total family income toward a combination of their Total Tenant Payment and repayment of the debt owed. “

- Amend Chapter 14 – FAMILY DEBTS TO THE NHA, Section C, **WRITING OFF DEBTS** by striking the last sentence and substituting the following:

“Debts will be written-off in accordance with appropriate financial and budget guidelines, as adopted by Resolution (NHA Policy on Vacated Balances and Write-Off of Uncollectible Debts).”

Amendments to:

SECTION 8 ADMINISTRATIVE PLAN

- Amend Chapter 1- Statement of Policies and Objectives, Section G on Page 1- 5, by inserting after the words “ ~~or~~ , sexual orientation” in the second paragraph, the following: “or gender identity”.

- Amend Chapter 1- Statement of Policies and Objectives, Section G on Page 1- 5, by striking the next to last paragraph and replacing it with the following:

The NHA shall not, on account of actual or perceived race, color, sex, religion, familial status, disability, national origin, marital status, sexual orientation or gender identity:

- Deny to any family the opportunity to apply for housing, nor deny to any qualified applicant the opportunity to participate in the public housing program
- Provide housing that is different from that provided to others
- Subject anyone to segregation or disparate treatment
- Restrict anyone's access to any benefit enjoyed by others in connection with the housing program
- Treat a person differently in determining eligibility or other requirements for admission
- Steer an applicant or tenant toward or away from a particular area based on any of these factors
- Deny anyone access to the same level of services
- Deny anyone the opportunity to participate in a planning or advisory group that is an integral part of the housing program
- Discriminate in the provision of residential real estate transactions
- Discriminate against someone because they are related to or associated with a member of a protected class
- Publish or cause to be published an advertisement or notice indicating the availability of housing that prefers or excludes persons who are members of a protected class.
- Nor shall the NHA inquire about an applicant or occupant's sexual orientation or gender identity for the purpose of determining eligibility or otherwise making housing opportunities available.

- Amend Chapter 1- **STATEMENT OF POLICIES AND OBJECTIVES**, Section H on Page 1- 6, by inserting after the sub-section entitled “**Federal Americans with Disabilities Act of 1990**” the following new sub-section:

“Request of an Accommodation

If an applicant or participant indicates that an exception, change, or adjustment to a rule, policy, practice, or service is needed because of a disability, HUD requires that the NHA treat the information as a request for a reasonable accommodation, even if no formal request is made. {See: Joint Statement of the Departments of HUD and Justice: Reasonable Accommodations under the Fair Housing Act}.

The family must explain what type of accommodation is needed to provide the person with the disability full access to the NHA’s programs and services.

If the need for the accommodation is not readily apparent or known to the NHA, the family must explain the relationship between the requested accommodation and the disability.

The NHA will encourage the family to make its request in writing using a reasonable accommodation request form. However, the NHA will consider the accommodation any time the family indicates that an accommodation is needed whether or not a formal written request is submitted. In the absence of a written request, NHA staff shall note the request in the tenant file, including information as to the accommodation requested and the name of the verifier of the need for the accommodation.”

- Amend Chapter 1- **STATEMENT OF POLICIES AND OBJECTIVES**, Section H on Page 1- 7, by inserting at the beginning of the sub-section entitled “**Verification of a Request of Accommodation** ” the following sentence:

“If a person’s disability is obvious or otherwise known to the PHA, and if the need for the requested accommodation is also readily apparent or known, no further verification will be required.”

- Amend Chapter 2 – **ELIGIBILITY FOR ADMISSION**, Section B on page 2-2 by striking the text of the sub-section entitled “**DEFINITION OF FAMILY**” and substituting in its place the following:

“The applicant must qualify as a Family. *Family* includes, but is not limited to, the following, regardless of actual or perceived sexual orientation, gender identity, or marital status:

(1) A single person, who may be an elderly person, displaced person, disabled person, near-elderly person, or any other single person; or

(2) A group of persons residing together, and such group includes, but is not limited to:

(i) A family with or without children (a child who is temporarily away from the home because of placement in foster care is considered a member of the family);

(ii) An elderly family;

(iii) A near-elderly family;

(iv) A disabled family;

(v) A displaced family; and

(vi) The remaining member(s) of a tenant family when the Head of Household or another member leaves the lease (formerly called Residue of Family). Note: The remaining Head of Household of a tenant household must be over 18 or determined by Massachusetts Law to be an emancipated minor.

A family including two or more individuals who are not related by blood, marriage, adoption, or other operation of law, must demonstrate that they have lived together previously or certify that each individual’s income and other resources will be available to meet the needs of the family.

Disabled family means a family whose head (including co-head), spouse, or sole member is a person with a disability. It may include two or more persons with disabilities living together, or one or more persons with disabilities living with one or more live-in aides.

Elderly family means a family whose head (including co-head), spouse, or sole member is a person who is at least 62 years of age. It may include two or more persons who are at least 62 years of age living together, or one or more persons who are at least 62 years of age living with one or more live-in aides.

The temporary absence of a child(ren) from the home due to placement in foster care shall not be considered in determining the family composition and family size, provided that the NHA receives notice from the Massachusetts Department of Children and Families that the child(ren) will be reunified with the family.

The temporary absence of a family member for reasons of hospitalization, duty assignment, temporary employment assignment or school attendance in another location shall not be considered in determining family composition and family size.

- Amend Chapter 6, **FACTORS RELATED TO TOTAL TENANT PAYMENT AND FAMILY SHARE DETERMINATION - SECTION 8 PROGRAM** on Page 6-2 by striking the **NOTE** at the end of Section A **INCOME AND ALLOWANCES** and adding the following at the end of Section A whose Title shall now be:

“A. INCOME, ALLOWANCES & EXCLUSIONS” :

Excluded Income as defined at 5.609(c) –HUD provides for the exclusion of certain types and sources of income. Among the most common forms of income to be excluded from Annual Income are:

1. Income from employment of children under age 18
2. Payments received for the care of foster children (or foster adults)
3. Lump-Sum Receipts as described in Section J.
4. Amounts received for the payment of medical expenses.
5. Income of a live-in aide
6. Student financial aid awards, with the exception of any portion of an athletic scholarship that is available for housing costs, or amounts received as part of an approved PASS (Plan to Attain Self-Sufficiency) program.
7. Combat or “hostile fire” pay for a member of the military.
8. Sporadic gifts or income (as received for one-time, short-term, temporary, non-recurring employment lasting less than 2 weeks.)

Staff should refer to the Appendix at the end of this Chapter for a full list of all Exclusions.”

- Amend the Appendix to Chapter 6 by adding the following exclusion:

(u) Kinship, Kin-GAP or similar state guardianship care payments. (See PIH 2012-1)

- Amend Chapter 7, **VERIFICATION**, Section C, by inserting the following after the first paragraph:

As required by HUD Regulations {as most recently promulgated in PIH Notice 2012-10} the NHA shall utilize HUD's EIV system at every initial determination, and redetermination of income (interim or annual), and maintain the Income Report provided by EIV in the Tenant File. If the income report does not contain employment data for the family, the NHA shall accept {See PIH Notice 2010-19} the following sources as forms of verification, utilizing the following hierarchy:

6 -Upfront Income Verification (UIV) using HUD's Enterprise Income Verification (EIV) system (Mandatory)

5 -Upfront Income Verification UIV) - Non-HUD (Optional)

4 -Written Third Party Verification (Mandatory to supplement EIV-reported income sources and when EIV has no data; Mandatory for non-EIV reported income sources; Mandatory when tenant disputes EIV-reported employment and income information **and** is unable to provide acceptable documentation to support dispute)

3 -Written Third Party Verification Form (Mandatory if written third party verification documents are not available or rejected by the NHA; and when the applicant or tenant is unable to provide acceptable documentation)

2 -Oral Third Party Verification (Mandatory if written third party verification is not available)

1 -Sworn Tenant Declaration (Use as a last resort)

Third Party Verification shall be considered stale if it is dated more than 60-days prior to the request for documentation. Tenant provided documents, when

provided when higher-tiered verification is unavailable, are to be considered acceptable as Third-Party Verification. Third party written documents now includes, but are not limited to: acceptable tenant-provided documentation (generated by a third party source) such as pay stubs, a payroll summary report, employer notice/letter of hire/termination, SSA benefit verification letter, bank statements, child support payment stubs, welfare benefit letters and/or printouts, and unemployment monetary benefit notices, etc. The NHA may, at its discretion, reject any tenant-provided documents and follow up directly with the source to obtain necessary verification of information. If using pay stubs as a form of verification, the NHA is required to obtain at a minimum, two current and consecutive pay stubs for determining annual income from wages. For new income sources or when two pay stubs are not available, the NHA should project income based on the information from a traditional written third party verification form or the best available information.

- Amend Chapter 14 – **OWNER OR FAMILY DEBTS TO THE NHA**, Section E, on Page 18-4, **WRITING OFF DEBTS** by striking the last sentence and substituting the following:

“Debts will be written-off in accordance with appropriate financial and budget guidelines, as adopted by Resolution (NHA Policy on Vacated Balances and Write-Off of Uncollectible Debts).”

- Amend Chapter 20, **SPECIAL HOUSING TYPES**, at **Title III- Veterans Affairs Supportive Housing- (VASH)**, at Page 20-18 by striking the sixth paragraph of the **INTRODUCTION**, and substituting the following:

“It is intended that HUD-VASH vouchers in use will remain available for homeless veterans upon turnover, and no funds or vouchers provided by HUD for this program shall be spent or issued for any other purpose. Additionally, it is intended that participants who no longer require services provided by Veterans Administration staff would be eligible for consideration for receipt of a voucher under the NHA’s regular allocation of HCV program vouchers, as a Special Admission, provided that the VA provide written confirmation of their approval of the termination of services for the veteran. “

- Amend Chapter 20, **SPECIAL HOUSING TYPES**, at **Title III- Veterans Affairs Supportive Housing- (VASH)**, sub-section A. **SPECIAL RULES** at Page

20-19 adding a new third sentence in the third paragraph of **“1. Family eligibility and selection”**, as follows:

“ It is the NHA’s general policy to require birth certificates and Social Security cards as verification, and will ask that they be provided by VASH participants. If the Applicant or VA case manager indicates that they can not provide of a birth certificate and/or Social Security card, a DD-214 or a signed copy of VA Form 10-10EZ provided by the VA case worker shall be accepted in its/their place.”

- Amend Chapter 20, **SPECIAL HOUSING TYPES**, at **Title III- Veterans Affairs Supportive Housing- (VASH)**, sub-section **A. SPECIAL RULES** at Page 20-21 adding a new third paragraph of **“7. Mobility and Portability”**, as follows:

“If the receiving PHA does not administer a HUD-VASH program, it must always bill the NHA as the initial PHA. If the receiving PHA does administer HUD-VASH vouchers, it may only absorb the family if a HUD-VASH voucher is available and case management can be provided through a VA facility that partners with the receiving PHA. In all cases of portability within the same catchment area, the initial VA facility must make the determination regarding which VA facility will provide the family with case management. This determination may ultimately decide whether portability will apply, or whether the NHA will choose to continue to administer the voucher. The NHA shall use Form HUD-52665 to track Portability for this program”

- Amend Chapter 20, **SPECIAL HOUSING TYPES**, at **Title III- Veterans Affairs Supportive Housing- (VASH)**, sub-section **A. SPECIAL RULES** at Page 20-24 adding the following as **“8. Discretionary Authority and Severability”**, as follows:

“8. Discretionary Authority and Severability

“In the absence of HUD regulations or requirements to the contrary, the NHA’s discretionary policies as described in this Administrative Plan, and its general management procedures as practiced in its management of the Housing Choice Voucher Program shall govern the administration of this Title.

In the event of changes required to this Title because of future rulemaking concerning the VASH program, the NHA will take all reasonable steps to comply with new rules without jeopardizing actions previously taken that are consistent with HUD's Initial Guidance and previously promulgated regulations.

If any portion of this Title is determined to be in non-compliance with existing regulatory requirements, all other portions, not specifically so determined, shall remain in effect.”

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

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

Part I: Summary		FFY of Grant: 2009	
PHA Name: Northampton Housing Authority	Grant Type and Number Capital Fund Program Grant No: MA06FP02650109 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant Approval:	

Line	Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/2011	Reserve for Disasters/Emergencies <input type="checkbox"/>	Revised Annual Statement (revision no:1) <input checked="" type="checkbox"/> Final Performance and Evaluation Report		Total Actual Cost ¹
			Original	Total Estimated Cost Revised ²	
1	Total non-CFP Funds				
2	1406 Operations (may not exceed 20% of line 21) ³		28,840	28,067	28,067
3	1408 Management Improvements		5,000	5,000	5,000
4	1410 Administration (may not exceed 10% of line 21)		13,448	13,448	13,448
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures		96,910	96,930	66,412
11	1465.1 Dwelling Equipment—Nonependable				
12	1470 Non-dwelling Structures				
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495.1 Relocation Costs				
17	1499 Development Activities ⁴				

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

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

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

Part I: Summary		FFY of Grant: 2009	
PHA Name: Northampton Housing Authority		Grant Type and Number Capital Fund Program Grant No.: MA06P02650109 Replacement Housing Factor Grant No.: Date of CFFP:	
		FFY of Grant Approval:	

Line	Type of Grant	Performance and Evaluation Report for Period Ending: 12/31/2010	Original Annual Statement		Revised Annual Statement (revision no: 1)	
			Summary by Development Account	Reserve for Disasters/Emergencies	Final Performance and Evaluation Report	Final Performance and Evaluation Report
			Total Estimated Cost	Obligated	Total Actual Cost ¹	Expended
18a		1501 Collateralization or Debt Service paid by the PHA				
18ba		9000 Collateralization or Debt Service paid Via System of Direct Payment				
19		1502 Contingency (may not exceed 8% of line 20)				
20		Amount of Annual Grant:: (sum of lines 2 - 19)	144,198	143,445	143,445	112,927
21		Amount of line 20 Related to LBP Activities				
22		Amount of line 20 Related to Section 504 Activities				
23		Amount of line 20 Related to Security - Soft Costs				
24		Amount of line 20 Related to Security - Hard Costs				
25		Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director <i>[Signature]</i>			Date 7/10/12	Signature of Public Housing Director		Date

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

Part II: Supporting Pages		PHA Name: Northampton Housing Authority	Grant Type and Number Capital Fund Program Grant No: MA06P02650109 CFFP (Yes/No): Replacement Housing Factor Grant No:		Federal FFY of Grant: 2009		Status of Work	
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost	Total Actual Cost			
				Original	Revised ¹	Funds Obligated ²	Funds Expended ²	
26-2 McDonald House	Replace Roof and Insulation	1460		96,910	0	0	0	In progress
26-2 McDonald House	Elevator Improvements	1460		0	32,768	32,768	17,627	Complete
HA Wide	Operations	1406		28,840	28,067	28,067	28,067	Complete
HA Wide	Computer Server Upgrade, HAB Training	1408		5,000		5,000	5,000	Complete
HA Wide	Administration	1410		13,448		13,448	13,448	Ongoing
26-1 Florence Heights	Replace Fencing	1450			19,937	19,937	19,937	Complete
26-2 McDonald House	Upgrade Fire Alarm Panel	1460			24,850	24,850	24,850	Complete
26-1 Florence Heights	Install Hot Water Heaters	1460	25		19,375	19,375	19,375	Complete

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.

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

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

Part III: Implementation Schedule for Capital Fund Financing Program
 PHA Name: Northampton Housing Authority

Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates ¹
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
26-2, HA Wide	09/14/2011	08/30/2011	09/14/2013		

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

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

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

Part I: Summary					
PHA Name: Northampton Housing Authority		Grant Type and Number Capital Fund Program Grant No: MA06P026501-10 Replacement Housing Factor Grant No: Date of CFFP:		FYE of Grant: 2010 FFY of Grant Approval: 2010	

Line	Type of Grant <input type="checkbox"/> Original Annual Statement <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/2011	Reserve for Disasters/Emergencies <input type="checkbox"/>	Revised Annual Statement (revision no:)		Final Performance and Evaluation Report	
			Original	Revised ²	Obligated	Total Actual Cost ¹ Expended
1	Total non-CFP Funds			0		0
2	1406 Operations (may not exceed 20% of line 21) ³					
3	1408 Management Improvements			42,915		12,870
4	1410 Administration (may not exceed 10% of line 21)			14,296		0
5	1411 Audit					
6	1415 Liquidated Damages					
7	1430 Fees and Costs					
8	1440 Site Acquisition					
9	1450 Site Improvement					
10	1460 Dwelling Structures			100,074		
11	1465.1 Dwelling Equipment—Nonexpendable					
12	1470 Non-dwelling Structures					
13	1475 Non-dwelling Equipment					
14	1485 Demolition					
15	1492 Moving to Work Demonstration					
16	1495.1 Relocation Costs					
17	1499 Development Activities ⁴					

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

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

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

Part I: Summary		FFY of Grant: 2010	
PHA Name: Northampton Housing Authority	Grant Type and Number Capital Fund Program Grant No: MA06P026501-10 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant Approval: 2010	

Type of Grant Original Annual Statement Reserve for Disasters/Emergencies
 Performance and Evaluation Report for Period Ending: 12/31/2011 Revised Annual Statement (revision no:)
 Final Performance and Evaluation Report

Line	Summary by Development Account	Original	Total Estimated Cost Revised ²	Obligated	Total Actual Cost ¹	Expended
18a	1501 Collateralization or Debt Service paid by the PHA					
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment					
19	1502 Contingency (may not exceed 8% of line 20)					
20	Amount of Annual Grant:: (sum of lines 2 - 19)	142,963		42,916	12,870	
21	Amount of line 20 Related to LBP Activities					
22	Amount of line 20 Related to Section 504 Activities					
23	Amount of line 20 Related to Security - Soft Costs					
24	Amount of line 20 Related to Security - Hard Costs					
25	Amount of line 20 Related to Energy Conservation Measures					

Signature of Executive Director _____ Date ~~09/07/11~~ 04/10/12 Signature of Public Housing Director _____ Date _____

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

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

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

Part II: Supporting Pages		Grant Type and Number			Federal FFY of Grant: 2010			Status of Work
PHA Name: Northampton Housing Authority		Capital Fund Program Grant No: MA06P026501-10			CFPP (Yes/No):			
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost	Total Actual Cost	Funds Obligated²	Funds Expended²	
HA Wide	Phone System Upgrade	1408		Original 6,139		6,139	6,139	Complete
HA Wide	HAB Training	1408		4,490		4,490	4,490	Complete
HA Wide	Computer Hardware/Software Upgrades	1408		2,241		2,241	2,241	Complete
HA Wide	Other Management Improvements	1408		15,723		0	0	Planning
HA Wide	Administration	1410		14,296		0	0	Ongoing
26-1 Florence Heights	Replace Flooring	1460		3,164		0	0	Complete
26-2 McDonald House	Replace Roof and Insulation	1460		66,864		0	0	Planning
26-2 McDonald House	Elevator Upgrades	1460		30,046		30,046		

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.

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

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

Part III: Implementation Schedule for Capital Fund Financing Program
 PHA Name: Northampton Housing Authority

Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
MA026 1 & 2	07/14/2012		07/14/2014		

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

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

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

Part I: Summary		FFY of Grant: 2011	
PHA Name: Northampton Housing Authority		FFY of Grant Approval:	
Grant Type and Number Capital Fund Program Grant No: MA06FP02650111 Replacement Housing Factor Grant No: Date of CFFP:			

Line	Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/2011	Reserve for Disasters/Emergencies <input type="checkbox"/>	Revised Annual Statement (revision no:) <input type="checkbox"/> Final Performance and Evaluation Report		Total Actual Cost ¹	
			Original	Total Estimated Cost Revised ²	Obligated	Expended
1	Total non-CFP Funds					
2	1406 Operations (may not exceed 20% of line 21) ³		23,607			
3	1408 Management Improvements					
4	1410 Administration (may not exceed 10% of line 21)		11,803			
5	1411 Audit					
6	1415 Liquidated Damages					
7	1430 Fees and Costs					
8	1440 Site Acquisition					
9	1450 Site Improvement					
10	1460 Dwelling Structures		82,625			
11	1465.1 Dwelling Equipment—None expendable					
12	1470 Non-dwelling Structures					
13	1475 Non-dwelling Equipment					
14	1485 Demolition					
15	1492 Moving to Work Demonstration					
16	1495.1 Relocation Costs					
17	1499 Development Activities ⁴					

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

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

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

Part I: Summary		FFY of Grant: 2011	
PHA Name: Northampton Housing Authority	Grant Type and Number Capital Fund Program Grant No.: MA06P02650111 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant Approval:	

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant:: (sum of lines 2 - 19)	118,035			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures	82,625			
Type of Grant <input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/2011 <input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Final Performance and Evaluation Report		Signature of Executive Director		Signature of Public Housing Director	
		Date: 04/10/12 04/10/12		Date	

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

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

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

Part I: Summary			
PHA Name: Northampton Housing Authority	Grant Type and Number Capital Fund Program Grant No: MA06P026501-12 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant: 2012 FFY of Grant Approval:	

Line	Type of Grant <input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending:	Reserve for Disasters/Emergencies <input type="checkbox"/>	Revised Annual Statement (revision no:) <input type="checkbox"/> Final Performance and Evaluation Report	Total Estimated Cost		Total Actual Cost ¹	
				Original	Revised ²	Obligated	Expended
1	Total non-CFP Funds						
2	1406 Operations (may not exceed 20% of line 21) ³			82,246			
3	1408 Management Improvements			23,499			
4	1410 Administration (may not exceed 10% of line 21)			11,750			
5	1411 Audit						
6	1415 Liquidated Damages						
7	1430 Fees and Costs						
8	1440 Site Acquisition						
9	1450 Site Improvement						
10	1460 Dwelling Structures						
11	1465.1 Dwelling Equipment—Nonexpendable						
12	1470 Non-dwelling Structures						
13	1475 Non-dwelling Equipment						
14	1485 Demolition						
15	1492 Moving to Work Demonstration						
16	1495.1 Relocation Costs						
17	1499 Development Activities ⁴						

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

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

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

Part I: Summary		FFY of Grant: 2012	
PHA Name: Northampton Housing Authority	Grant Type and Number Capital Fund Program Grant No: MA06P026501-12 Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant Approval:	

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

Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost ¹	
		Original	Revised ²	Obligated	Expended
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of lines 2 - 19)	117,495			
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				
Signature of Executive Director		Date	Signature of Public Housing Director		Date

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

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

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

Part II: Supporting Pages		Grant Type and Number			Federal FFY of Grant: 2012	
PHA Name: Northampton Housing Authority		Capital Fund Program Grant No: MA06P026501-12				
		CFPP (Yes/No):				
		Replacement Housing Factor Grant No:				
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost	Total Actual Cost	Status of Work
PHA Wide	Operations	1406		Original 82,246		
PHA Wide	Computer & Software Upgrades	1408		23,499		
PHA Wide	Administrative	1410		11,750		
				Revised ¹	Funds Obligated ²	Funds Expended ²

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.

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

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

Part III: Implementation Schedule for Capital Fund Financing Program
 PHA Name: Northampton Housing Authority

Development Number Name/PHA-Wide Activities	All Fund Obligated (Quarter Ending Date)		All Funds Expended (Quarter Ending Date)		Reasons for Revised Target Dates ¹
	Original Obligation End Date	Actual Obligation End Date	Original Expenditure End Date	Actual Expenditure End Date	
PHA Wide	03/11/2014		03/11/2016		

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

Capital Fund Program—Five-Year Action Plan

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 Expires 4/30/20011

I: Summary

Northampton Housing Authority MA026		Northampton, Hampshire, MA			Original 5-Year Plan	<input checked="" type="checkbox"/> Revision No: 2
A. Development Number and Name	Work Statement for Year 1 FFY 2010	Work Statement for Year 2 FFY 2011	Work Statement for Year 3 FFY 2012	Work Statement for Year 4 FFY 2013	Work Statement for Year 5 FFY 2014	
B. PHA Wide	Annual Statement:	82,625		82,625	82,625	
B. Physical Improvements Subtotal			23,499			
C. Management Improvements						
D. PHA-Wide Non-dwelling Structures and Equipment						
E. Administration		11,803	11,750	11,263	11,263	
F. Other						
G. Operations		23,607	82,246	23,607	23,607	
H. Demolition						
I. Development						
J. Capital Fund Financing – Debt Service						
K. Total CFP Funds						
L. Total Non-CFP Funds						
M. Grand Total		118,035	117,495	117,495	117,495	

**PHA Certifications of Compliance
with PHA Plans and Related
R e g u l a t i o n s**

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

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

1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA certifies that there has been no change, significant or otherwise, to the Capital Fund Program (and Capital Fund Program/Replacement Housing Factor) Annual Statement(s), since submission of its last approved Annual Plan. The Capital Fund Program Annual Statement/Annual Statement/Performance and Evaluation Report must be submitted annually even if there is no change.
4. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consulted with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). 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 these recommendations.
5. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 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.
6. The PHA certifies that it 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.
7. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
8. For PHA Plan that includes a policy for site based waiting lists:
 - The PHA regularly submits required data to HUD's 50058 PIC/IMS Module in an accurate, complete and timely manner (as specified in PIH Notice 2006-24);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant 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 such 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 903.7(c)(1).
9. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
10. 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.
11. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
12. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.

13. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
14. The PHA will provide the responsible entity or HUD any documentation that the responsible entity or HUD needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58 or Part 50, respectively.
15. 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.
16. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
17. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act, the Residential Lead-Based Paint Hazard Reduction Act of 1992, and 24 CFR Part 35.
18. 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), 2 CFR Part 225, and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
19. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.
20. 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 additional requirements 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 at least at the primary business office of the PHA.
21. The PHA provides assurance as part of this certification that:
 - (i) The Resident Advisory Board had an opportunity to review and comment on the changes to the policies and programs before implementation by the PHA;
 - (ii) The changes were duly approved by the PHA Board of Directors (or similar governing body); and
 - (iii) The revised policies and programs are available for review and inspection, at the principal office of the PHA during normal business hours.
22. The PHA certifies that it is in compliance with all applicable Federal statutory and regulatory requirements.

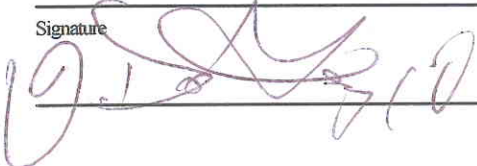
Northampton (MA)
 PHA Name

MA026
 PHA Number/HA Code

5-Year PHA Plan for Fiscal Years 20 - 20

Annual PHA Plan for Fiscal Years 2012-20

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

Name of Authorized Official Joseph DeFazio	Title Chairperson
Signature 	Date 4/9/12

Civil Rights Certification

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 Expires 4/30/2011

Civil Rights Certification**Annual Certification and Board Resolution**

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 Commissioner, I approve the submission of the Plan for the PHA of which this document is a part and make the following certification and agreement with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

The PHA certifies that it will carry out the public housing program of the agency 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, and will affirmatively further fair housing.

Northampton

MA 026

 PHA Name

 PHA Number/HA Code

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

Name of Authorized Official	Joseph DeFazio	Title	Chairperson
		Chairperson	
Signature		Date	4/9/12

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Northampton Housing Authority

Program/Activity Receiving Federal Grant Funding

Annual Plan Reporting for Public Housing and Section 8 Programs

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements 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 awareness 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. Employers of convicted employees must provide notice, including position title, 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 30 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.

2. **Sites for Work Performance.** The Applicant shall list (on separate pages) the site(s) 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.)

49 Old South St, Northampton, MA 01060 - Hampshire County- Public Housing

One Roundhouse Plaza, Northampton, MA 01060 - Hampshire County-Section 8

Florence Heights Apartments, 178 Florence Rd, Florence, MA 01062 - Hampshire County-Public Housing

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 accompaniment herewith, is true and accurate.
Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.

(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

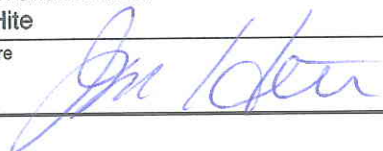
Name of Authorized Official

Jon Hite

Title

Executive Director

Signature



Date

April 9, 2012

X

Certification of Payments to Influence Federal Transactions

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

Applicant Name

Northampton Housing Authority

Program/Activity Receiving Federal Grant Funding

Public Housing, Section 8

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 entering into of any cooperative agreement, and 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 subcontracts, 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 this 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 accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Jon Hite

Title

Executive Director

Signature



Date (mm/dd/yyyy)

04/09/2012



Previous edition is obsolete

form HUD 50071 (3/98)
ref. Handbooks 7417.1, 7475.13, 7485.1, & 7485.3

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

Approved by OMB
0348-0046

1. Type of Federal Action: <input checked="" type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input checked="" type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Northampton Housing Authority 49 Old South St Northampton, MA 01060 Congressional District, if known: 4c MA 2	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Northampton Housing Authority 49 Old South St Northampton, MA 01060 Congressional District, if known: MA2	
6. Federal Department/Agency: Department of Housing & Urban Development	7. Federal Program Name/Description: Public Housing Capital Fund CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$ \$117,495	
10. a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI): NONE	b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): 	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature:  Print Name: Jon Hite Title: Executive Director Telephone No.: 413-584-4030 Date: 4/9/12	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

ANALYSIS OF IMPEDIMENTS TO FAIR HOUSING

On an ongoing basis, the Northampton Housing Authority reviews its programs to determine whether there are impediments to fair housing choice within its programs and to state what actions it has taken, or would like to take, to reduce or eliminate those impediments. This review is conducted within the context of Impediments to Fair Housing identified by the City of Northampton.

Impediment # 1 Low fair market rents narrow the choices available to Section 8 recipients. We continue to identify the disparity between actual rents in the southern tier (including Springfield, Chicopee, and Holyoke) of the Springfield MSA and the northern tier of communities (including Amherst, Northampton, and Sunderland) as the primary impediment to choice of quality apartments within our region. For example, this year's FMR's were lowered, a phenomenon that bears little relationship to actual rents in the northern tier, where most of our voucher holders rent. Despite efforts over the last decade to seek Congressional action to separate the MSA, this problem remains at the heart of our agency's impediments to fair housing. The NHA has raised its payments its standards to 110% of the FMR, an action that has mitigated the problem, to some degree budgetary pressures on the NHA, as a result of our Annual Section 8 budget allocation have led to a decision not to seek an Exception Payment Standard of up to 120% from HUD. Rather, we have incorporated the fact that Section 8 recipients might need additional search time into our Section 8 Administrative Plan, and this has seemed to allow sufficient search time.

Impediment # 2 Discrimination based on receipt of Section 8 Vouchers The City of Northampton has identified this as an impediment in its most recent analysis. We have not identified this as a problem for our voucher holders. The NHA, during its Recipient Voucher Orientation spends time and provides information to educate recipients as to this issue, and provides them with referral to the appropriate Fair Housing agencies.

Impediment # 3 Adequate housing for persons with disabilities The NHA has failed to complete the terms of a voluntary compliance agreement with the Office of Fair Housing related to the construction of two barrier free apartments, to be built with State funds as the State budget crisis has put funding on hold for this project; funding is now available and the NHA expects to seek permitting in 2012 and construction in 2013.

Impediment # 4 Addressing homelessness among our veteran population The location of the Veterans Administration Hospital in Leeds and the focus of their work with substance abusing veterans has been identified by the NHA as an impediment to housing opportunities by an eligible population. Accordingly, the NHA has played an active role in seeking Veterans Administration Supportive Housing Vouchers. We have received 230 vouchers in three increments with all but the last increment being fully utilized and housed by September 2012.

RESIDENT ADVISORY BOARD

The Executive Director met with the residents constituting the Resident Advisory Board to discuss proposed amendments to the Annual Plan, Management Policies of the Housing Authority as they relate to changes in the Admission & Continued Occupancy Policy and Section 8 Administrative Plan, to discuss use of Capital Fund monies and to listen to tenant concerns about management of the Authority and modernization needs residents desire.

The Executive Director explained the most significant changes to the ACOP and Admin Plan and residents had no objection. Residents were pleased that the Authority was creating a more manageable payment schedule for debts owed to the Authority. Several questions were raised about the new definition of family HUD has proposed, and they were clarified.

The Executive Director explained that Capital Fund monies were being placed in Operating funds as there were no new major renovation projects slated for the coming year. He explained that Capital Funds from the FY11 allocation were being used for an Energy Efficiency project at Florence Heights involving the replacement of gas boilers that provide both heat and hot water to the apartments. He explained that the installation of new energy efficiency boilers in each apartment would reduce the tenant cost of utilities and save them money.

The residents at McDonald House expressed a need for a bike rack in front of the building.

The residents of Florence Heights indicated that they would like the parking spaces re-painted. The residents of Florence Heights indicated that they would like a new shipment of bark-mulch for the playground.

The Executive Director indicated that all three items would be accomplished this year.

The Executive Director also reported that there were plans for additional power-assist door at McDonald House to assist residents entering the Community Room.

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VAWA ATTACHMENT

The NHA has amended its Policies and Administrative Plans to reflect the provisions of VAWA, so as to address acts of domestic violence on its properties which affect its residents and voucher holders. The NHA receives immediate reports from police agencies of incidents of domestic violence, and changes resident locks immediately, without charge. NHA Staff, including a retired female police officer, assist families with referral to Safe Passage, our local domestic violence advocacy agency. We assist applicants who are fearful that our screening processes might inadvertently identify them to their abuser by utilizing another housing authority (located in the eastern part of Massachusetts) to conduct landlord and character references on our behalf. The NHA provides notification of the provisions of VAWA to all HCV participants and to property owners. NHA staff has received training about the protections afforded by VAWA and are alert to the various circumstances in which participants may need to be reminded of their possible VAWA protections.