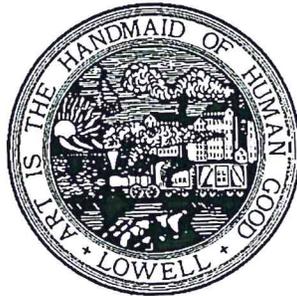


**City of Lowell, Massachusetts**  
**Consolidated Annual Performance**  
**and Evaluation Report**  
**(CAPER)**

**for the HUD**  
**CDBG, ESG, HOME and HOPWA Programs**

**2015-2016 Program Year**



**Office of the City Manager**  
**Department of Planning and Development**  
**JFK Civic Center, 50 Arcand Drive**  
**Lowell, MA 01852**  
**978-674-4252**

September 2016

**Draft**

## CR-05 - GOALS AND OUTCOMES

Progress the jurisdiction has made in carrying out its strategic plan and its action plan.

### 91.520(a)

This could be an overview that includes major initiatives and highlights that were proposed and executed throughout the program year. The goals and objectives for the 2015-16 reporting period are based on HUD's priority needs identified in the 2015-2020 Five Year Consolidated Plan. The Five-Year Plan provided the guidelines for selecting projects and activities to fund during each subsequent program year. The goals identified in the plan, and the anticipated funds available are summarized in the table below.

#### FY 2015-2020 Consolidated Plan Priority Needs

GOAL A: HOMELESS/HIV/AIDS	\$3,640,000	16%
GOAL B: NONHOMELESS SPECIAL NEEDS	\$227,500	1%
GOAL C: RENTAL HOUSING	\$4,095,000	18%
GOAL D: OWNER-OCCUPIED HOUSING	\$5,005,000	22%
GOAL E: PUBLIC FACILITIES	\$3,640,000	16%
GOAL F: INFRASTRUCTURE	\$1,820,000	8%
GOAL G: ECONOMIC DEVELOPMENT	\$2,730,000	12%
GOAL H: PUBLIC SERVICES	\$1,592,500	7%

Source: City of Lowell, Five-Year Consolidated Plan FY 2010-2015

The City of Lowell distributed more than \$3.3M in Consolidated Plan funds to more than 90 projects during the 2015-2016 reporting period. The following table outlines how funds were distributed among the priority need areas identified in the City's Consolidated Plan and FY 15-16 Annual Action Plan. Specific outcomes and accomplishments are provided in more detail in the section below.

#### Expenditures by Five-Year Plan Priority Needs

Priority Need	Consolidated Plan		Actual Expenditures	
	Five-Year Budget	Five-Year Proportion	2014-15 Expenditures	2014-15 Proportion
Homeless/HIV/AIDS	\$3,640,000	16%	\$232,669	31%
Non-homeless Special Needs	\$227,500	1%	\$28,000	2%
Affordable Housing	\$9,100,000	40%	\$597,950	27%
Public Facilities	\$3,640,000	16%	\$441,502	18%
Infrastructure	\$1,820,000	8%	\$60,548	4%
Economic Development	\$2,730,000	12%	\$256,459	11%
Public Services	\$1,592,500	7%	\$187,568	7%

Source: IDIS Reports PR06, 10/9/2015

\*Percentages may not equal 100 due to rounding

**Comparison of the proposed versus actual outcomes for each outcome measure submitted with the consolidated plan and explain, if applicable, why progress was not made toward meeting goals and objectives. 91.520(g)**

Categories, priority levels, funding sources and amounts, outcomes/objectives, goal outcome indicators, units of measure, targets, actual outcomes/outputs, and percentage completed for each of the grantee's program year goals.

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete
DH-1.1	Affordable Housing		Rental units constructed	Household Housing Unit	50	0	0.00%
DH-1.1	Affordable Housing		Homeowner Housing Added	Household Housing Unit	50	0	0.00%
DH-1.2	Affordable Housing	HOPWA: \$471144	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted		313	
DH-1.2	Affordable Housing	HOPWA: \$471144	Public service activities for Low/Moderate Income Housing Benefit	Households Assisted	1720	0	0.00%
DH-1.2	Affordable Housing	HOPWA: \$471144	Tenant-based rental assistance / Rapid Rehousing	Households Assisted		11	
DH-1.2	Affordable Housing	HOPWA: \$471144	Homelessness Prevention	Persons Assisted		7	
DH-1.2	Affordable Housing	HOPWA: \$471144	Jobs created/retained	Jobs		0	
DH-1.2	Affordable Housing	HOPWA: \$471144	HIV/AIDS Housing Operations	Household Housing Unit		0	
DH-1.3	Affordable Housing	CDBG: \$42500	Housing Code Enforcement/Foreclosed Property Care	Household Housing Unit	7200	0	0.00%
DH-1.4	Affordable Housing	CDBG: \$6000	Public service activities for Low/Moderate Income Housing Benefit	Households Assisted	400	47	11.75%

DH-1.4	Affordable Housing	CDBG: \$6000	Direct Financial Assistance to Homebuyers	Households Assisted		47	
DH-2.1	Affordable Housing	HOME: \$255000	Direct Financial Assistance to Homebuyers	Households Assisted	175	0	0.00%
DH-2.2	Affordable Housing	CDBG: \$30000 / HOME: \$435000	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted		5	
DH-2.2	Affordable Housing	CDBG: \$30000 / HOME: \$435000	Rental units rehabilitated	Household Housing Unit	87	0	0.00%
DH-2.2	Affordable Housing	CDBG: \$30000 / HOME: \$435000	Homeowner Housing Rehabilitated	Household Housing Unit	88	0	0.00%
DH-2.3	Affordable Housing	CDBG: \$7500 / ESG: \$147500	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted		104	
DH-2.3	Affordable Housing	CDBG: \$7500 / ESG: \$147500	Public service activities for Low/Moderate Income Housing Benefit	Households Assisted	225	0	0.00%
DH-2.4	Non-Homeless Special Needs	HOPWA: \$151337	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted		36	
DH-2.4	Non-Homeless Special Needs	HOPWA: \$151337	Public service activities for Low/Moderate Income Housing Benefit	Households Assisted	140	0	0.00%
DH-2.4	Non-Homeless Special Needs	HOPWA: \$151337	Tenant-based rental assistance / Rapid Rehousing	Households Assisted		10	
DH-2.4	Non-Homeless Special Needs	HOPWA: \$151337	Homelessness Prevention	Persons Assisted		18	
DH-2.4	Non-Homeless Special Needs	HOPWA: \$151337	Jobs created/retained	Jobs		0	

DH-2.4	Non-Homeless Special Needs	HOPWA: \$151337	Housing for People with HIV/AIDS added	Household Housing Unit		0	
DH-2.5	Affordable Housing Homeless	HOME: \$60000	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	10	0	0.00%
EO-1.1	Non-Housing Community Development Economic Development	CDBG: \$53963	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	765	55	7.19%
EO-1.1	Non-Housing Community Development Economic Development	CDBG: \$53963	Homeless Person Overnight Shelter	Persons Assisted		0	
EO-1.1	Non-Housing Community Development Economic Development	CDBG: \$53963	Jobs created/retained	Jobs		0	
EO-1.1	Non-Housing Community Development Economic Development	CDBG: \$53963	Businesses assisted	Businesses Assisted		28	
EO-1.2	Economic Development	CDBG: \$30000	Facade treatment/business building rehabilitation	Business		0	
EO-1.2	Economic Development	CDBG: \$30000	Businesses assisted	Businesses Assisted	95	22	23.16%
EO-1.3	Economic Development	CDBG: \$175000	Businesses assisted	Businesses Assisted	500	0	0.00%
SL-1.1	Non-Housing Community Development LMI Youth	CDBG: \$81500	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	3570	419	11.74%

SL-1.2	Non-Homeless Special Needs Elderly	CDBG: \$63800	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted		31	
SL-1.2	Non-Homeless Special Needs Elderly	CDBG: \$63800	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	32100	1243	3.87%
SL-1.2	Non-Homeless Special Needs Elderly	CDBG: \$63800	Homeless Person Overnight Shelter	Persons Assisted		0	
SL-1.3	Homeless Non-Housing Community Development	CDBG: \$68000 / ESG: \$62500	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	37510	2216	5.91%
SL-1.3	Homeless Non-Housing Community Development	CDBG: \$68000 / ESG: \$62500	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	0	0	
SL-1.3	Homeless Non-Housing Community Development	CDBG: \$68000 / ESG: \$62500	Homeless Person Overnight Shelter	Persons Assisted	0	0	
SL-1.3	Homeless Non-Housing Community Development	CDBG: \$68000 / ESG: \$62500	Overnight/Emergency Shelter/Transitional Housing Beds added	Beds	0	0	
SL-1.3	Homeless Non-Housing Community Development	CDBG: \$68000 / ESG: \$62500	Homelessness Prevention	Persons Assisted	0	0	
SL-1.4	Non-Housing Community Development Public Facilities for LMI Persons	CDBG: \$376463	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	15	788	5,253.33%
SL-2.1	Non-Housing Community Development	CDBG: \$10000	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	825	69	8.36%

SL-2.1	Non-Housing Community Development	CDBG: \$10000	Public service activities for Low/Moderate Income Housing Benefit	Households Assisted		0	
SL-3.1	Public Facilities/Infrastructure	CDBG: \$190000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted		101403	
SL-3.1	Public Facilities/Infrastructure	CDBG: \$190000	Other	Other	5	0	0.00%
SL-3.2	Public Facilities	CDBG: \$31000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted		101318	
SL-3.2	Public Facilities	CDBG: \$31000	Other	Other	160	0	0.00%
SL-3.3	Affordable Housing	CDBG: \$338000	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted		0	
SL-3.3	Affordable Housing	CDBG: \$338000	Buildings Demolished	Buildings	10	0	0.00%

Table 1 - Accomplishments – Program Year & Strategic Plan to Date

**Assess how the jurisdiction’s use of funds, particularly CDBG, addresses the priorities and specific objectives identified in the plan, giving special attention to the highest priority activities identified.** All projects supported with Consolidated Plan program funds during the reporting period met the statutory goals of providing decent housing and a suitable living environment and expanded economic opportunities, principally for low- income and moderate-income persons.

During the 2015-16 reporting period, CDBG funds were distributed among the HUD-priority needs identified in the 2015-2020 Consolidated Plan. A breakdown of proposed and actual CDBG expenditures during the FY 15-16 is provided in the table below.

	2015-2016 Funding Resources and Expenditure				Total
	CDBG	HOME	H-ESG	HOPWA	
Total Funds Received	1,937,144.00	\$519,813.00	\$175,784.00	\$1,087,727.00	\$3,720,468.00
Total Funds Expended					
Expenditure Rate					

**2015-16 Distribution by CDBG Funds**

The actual expenditures for each priority need during program year 2015-16 were fairly consistent with those proposed in the Annual Action Plan. Affordable housing and infrastructure projects are often initiated during one program year but span multiple reporting periods, thus not funds are expended during a reporting period. Public Facility expenditures were higher than proposed due in large part to the draw down of funds that were originally allocated during previous program years. Many CDBG funded projects will continue through the next fiscal year when additional funds will be expended. Progress and expenditures on these activities will be reported in future CAPERs.

**CR-10 Racial and Ethnic composition of families assisted**

Describe the families (including the racial and ethnic status of families assisted).

91.520(a)

	CDBG	HOME	HOPWA
White	5,108	34	46
Black or African American	286	6	32
Asian	504	17	2
American Indian or American Native	4	0	0
Native Hawaiian or Other Pacific Islander	2	1	0
Hispanic	905	7	21
Not Hispanic	3,999	31	19

**Table 2 – Table of Assistance to racial and ethnic populations by source of Funds**

**Narrative**

According to the 2010 Census more than 42% of Lowell’s population is a minority race or Hispanic. The City and the Citizens Advisory Committee is mindful in the selection of programs for funding, that services, especially those available in multiple languages, are made available to Lowell’s minority populations. As the table illustrates above, 52% of CDBG program participants were non-white or Hispanic. 64% of HOME assisted households and 61% of HOPWA assisted households were non-white or Hispanic.

**Resources and Investments 91.520(a)**  
**Identify the resources made available**

Source of Funds	Source	Expected Amount Available	Actual Amount Expended Program Year X
CDBG		1,937,144	1,632,731
HOME		519,813	689,295
HOPWA		1,087,727	931,652
ESG		175,784	130,627

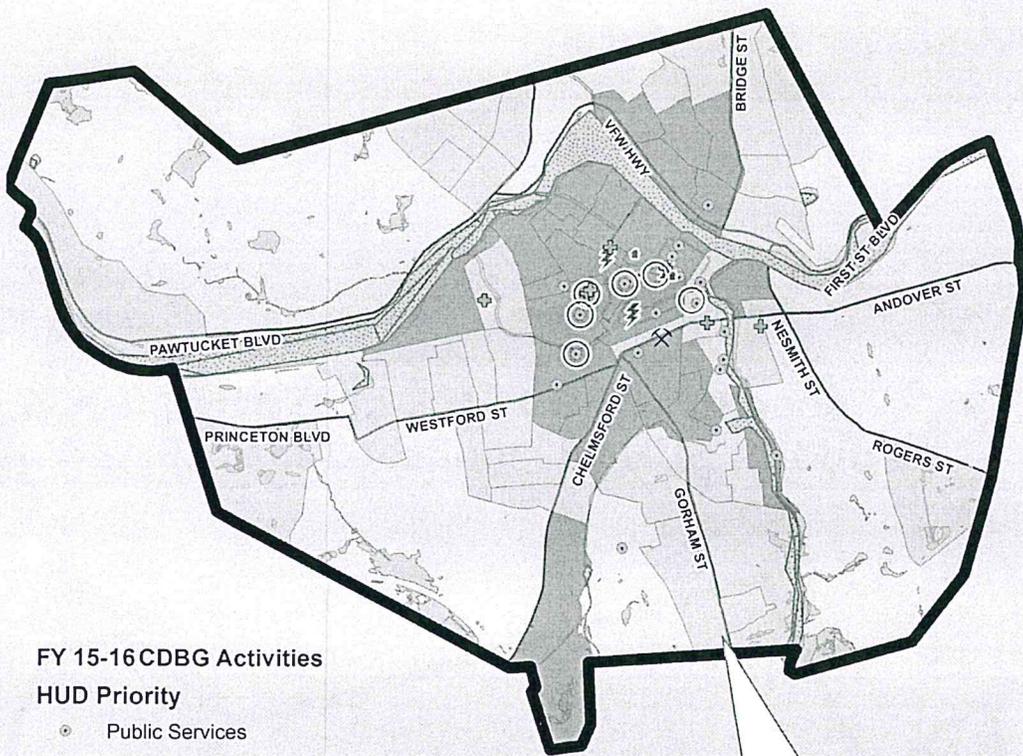
The table above outlines the Consolidated Plan funding received by the City of Lowell between July 1, 2015 and June 30, 2016. (Source: PR02 10/20/2015)

Funds expended during the program year include reprogrammed prior year funds and funds awarded to activities in prior years that were not spent until the 2015-16 program year. Finally several large construction projects will span the course of several program years with expenditures occurring over multiple years. As a result, funds expended do not equal funds received.

**Identify the geographic distribution and location of investments**

The following maps identify the geographic distribution and location of investments

# City of Lowell, FY 2015-2016 CDBG Funded Project Locations, by HUD Priority



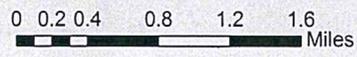
**FY 15-16 CDBG Activities**

**HUD Priority**

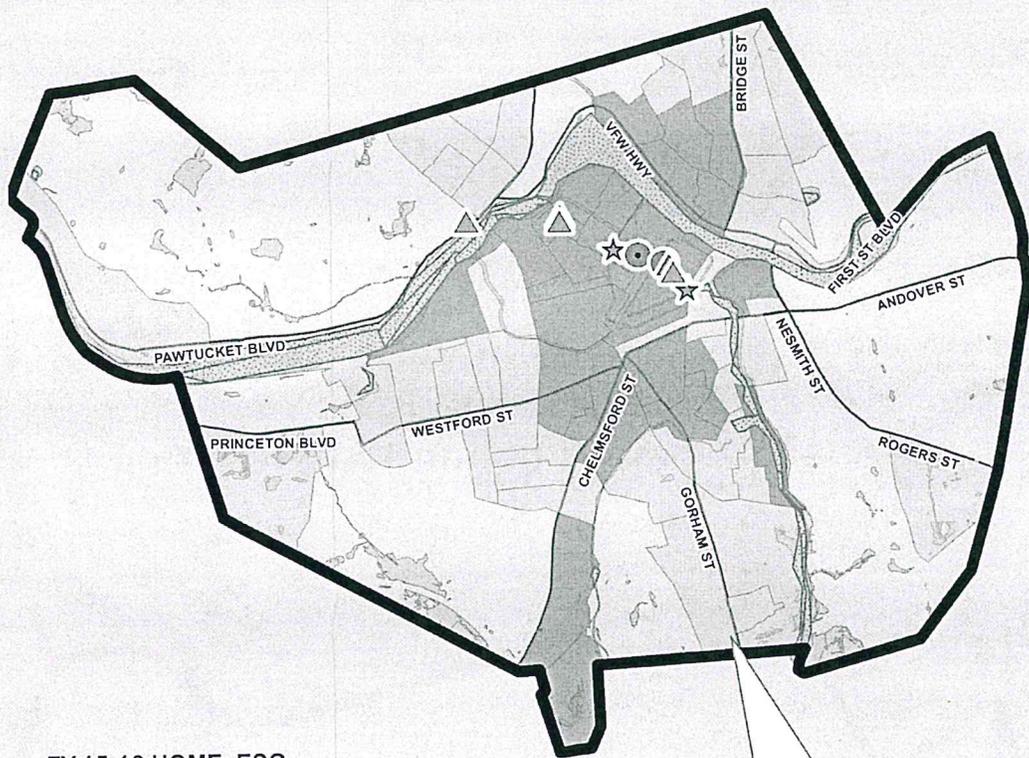
- Public Services
- Affordable Housing
- ⚡ Economic Development
- ⚒ Infrastructure
- ⊕ Non Homeless Special Needs
- ⊗ Public Facilities

- Low / mod income block > 70% AMI
- Low / mod income block > 50% AMI

Map does not include citywide funded project locations.



# City of Lowell, FY 2015-2016 HOME, ESG and HOPWA Funded Project Locations,



### FY 15-16 HOME, ESG, & HOPWA Funded Activities

- Low / mod income block > 70% AMI
- Low / mod income block > 50% AMI
- ESG Funded Activities
- HOME Funded Activities
- HOPWA Funded Activities

0 0.2 0.4 0.8 1.2 1.6 Miles



Lowell does not have a designated target area of investment but does prioritize funds in neighborhoods with greatest need. The Hamilton Canal District Infrastructure/ Construction Management project supports the infrastructure improvements for the Hamilton Canal District. This ongoing activity supports the development of new streets and sidewalks, permanent affordable housing units, office and retail space for new businesses and non-profits, and new public facilities and open space for approximately 15 acres of diminishing vacant space in the Jackson/Appleton/Middlesex (JAM) Urban Renewal Plan.

Entitlement funds were distributed among Lowell Census block groups with high concentrations of low- and moderate-income households and high concentrations of minorities. As stated previously, the City of Lowell awarded Entitlement funds among eight priority needs identified in the 2015-2020 Five Year Consolidated Plan. The distribution of funds for these goals is illustrated on the maps below.

More than half of Lowell’s population has an income at or below the Area Median Income, making the entire City eligible for federally funded activities. Recognizing the need to serve its low- and moderate-income population, however, the City gives priority consideration for the use of federal funds to Census Tracts with 51% or more of the population at or below the AMI. As the maps below indicate these areas are located primarily in the center of the City and some outlying block groups. Projects that are located outside of these priority areas are those that provide citywide benefits.

HOPWA funds have been distributed across Middlesex and Essex County to the cities and towns where the needs are the greatest, and the AIDS populations are the largest.

The HOPWA table below provides the location of the agencies that received HOPWA funds during the 2015-16 program year.

<b>2015-16 Program Year Distribution of HOPWA Funds</b>	
<b>Agency</b>	<b>Middlesex County Service Area</b>
Aids Action Committee	County-wide
Institute for Health & Recovery	City of Lowell
Justice Resource Institute	County-wide
Lowell Housing Authority	City of Lowell
Lowell House, Inc.	Greater Lowell
Southern Middlesex Opportunity Council	Metro West
Victory Programs Inc.	County Wide
<b>Agency</b>	<b>Essex County Service Area</b>
Commonwealth Land trust	County-wide
Emmaus	County-wide
Independent Ways	County-wide
Lynn Housing Authority	City of Lynn
North Shore Community Action Program, Inc.	County- wide
Serenity Supportive Housing	County-wide

**Leveraging – Explain how federal funds leveraged additional resources (private, state and local funds), including a description of how any publicly owned land or property located within the jurisdiction that were used to address the needs identified in the plan.**

The City of Lowell shares HUD's goals of using Consolidated Plan funds to seed programs and projects that will ultimately prove financially self-sufficient. Unfortunately, over the past six-years other Federal, state, and local public resources for most of the activities eligible for Consolidated Plan funding have been cut. Private resources have been similarly limited by reductions in corporate, foundation, and individual giving to nearly all non-profit entities during the same period. As a result, it has been very tough for many organizations that address the priority needs established in the Consolidated Plan to survive without the assistance of the CDBG, HOME, ESG, and HOPWA programs. Nevertheless, the funds provided through the Consolidated Plan programs during the 2015-16 program year have leveraged a substantial amount of other public and private resources. These activities leveraged over **\$8.7** million in other funding, including more than **\$5.5** million in other Federal funds, more than **\$1** million in State and local funds, and over **\$2.2** million from private sources.

#### **Matching Requirements**

Lowell complies with the ESG match requirements through the matching funds provided by sub recipients. Lowell's total ESG match liability for the 2015-16 program year was **\$175,784**. More than **\$720,508** was identified in the 2015-16 program year to support the matching requirements. More discussion about the matching funds supplied by each sub recipient and their activities is included in subsequent sections of this report.

### HOME Program Income

The HOME Program Income table illustrates the amount of HOME Program Income received and expended during the 2015-2016 reporting period. The HOME section of this report provides additional detail as to how these funds were expended.

2015 - 2016 HOME Program Income				
Balance of hand at Start of PY	PI Received	Total Expended	Total Expended TBRA	Balance on Hand at End of the PY
\$0.00	\$97,336.38	\$87,602.74	\$0.00	\$9,733.64

Source PR01,PR09 (0/0/2016)

### HOME MBE/WBE Reporting

During the 2014-2015 program year, the City of Lowell's HOME program completed projects having 10 contracts and 36 subcontracts totaling \$783,341.00.

### Minority Owners of Rental Property

The City of Lowell did not complete any homeowner rental projects using HOME funds during the 2015-2016 program year.

### Relocation and Real Property Acquisition

No real property was acquired and no households or businesses were displaced during the 2015-2016 program year using Consolidated Plan program funds.

### Fiscal Year Summary – HOME Match

1. Excess match from prior Federal fiscal year \$5,016,458.71
2. Match contributed during current Federal fiscal year \$526,829.00
3. Total match available for current Federal fiscal year (Line 1 plus Line 2) \$5,543,287.71
4. Match liability for current Federal fiscal year \$185,175.58
5. Excess match carried over to next Federal fiscal year (Line 3 minus Line 4) \$5,358,112.13

**Fiscal Year Summary – HOME Match Report**

<b>Program Income – Enter the program amounts for the reporting period</b>				
<b>Balance on hand at begin-ning of reporting period</b>	<b>Amount received during reporting period</b>	<b>Total amount expended during reporting period</b>	<b>Amount expended for TBRA</b>	<b>Balance on hand at end of reporting period</b>
<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>
<b>0</b>	<b>\$173,720.00</b>	<b>\$173,720.00</b>	<b>0</b>	<b>0</b>

Program Income

**Minority Business Enterprises and Women Business Enterprises – Indicate the number and dollar value of contracts for HOME projects completed during the reporting period**

	Total	Minority Business Enterprises				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
<b>Contracts</b>						
Number						
Dollar Amount	\$93,750.00	0	\$10,000.00	0	\$38,750.00	\$45,000.00
<b>Sub-Contracts</b>						
Number						
Dollar Amount						
	Total	Women Business Enterprises	Male			
<b>Contracts</b>						
Number						
Dollar Amount						
<b>Sub-Contracts</b>						
Number						
Dollar Amount						

Minority Business and Women Business Enterprises

<b>Minority Owners of Rental Property – Indicate the number of HOME assisted rental property owners and the total amount of HOME funds in these rental properties assisted</b>						
	Total	Minority Property Owners				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number	0	0	0	0	0	0
Dollar Amount	0	0	0	0	0	0

Minority Owners of Rental Property

<b>Relocation and Real Property Acquisition – Indicate the number of persons displaced, the cost of relocation payments, the number of parcels acquired, and the cost of acquisition</b>		
Parcels Acquired	0	0
Businesses Displaced	0	0
Nonprofit Organizations Displaced	0	0
Households Temporarily Relocated, not Displaced	0	0

Households Displaced	Total	Minority Property Enterprises				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number	0	0	0	0	0	0
Cost	0	0	0	0	0	0

Relocation and Real Property Acquisition

**CR-20 Affordable Housing 91.520(b)**

**Evaluation of the Jurisdiction’s progress in providing affordable housing, including the number and types of families served, the number of extremely low-income, low-income, moderate-income, and middle-income persons served.**

	<b>One-Year Goal</b>	<b>Actual</b>
Number of homeless households to be provided affordable housing units	10	5
Number of non-homeless households to be provided affordable housing units	143	71
Number of special-needs households to be provided affordable housing units	0	0
<b>Total</b>	<b>153</b>	<b>76</b>

**Number of Households**

	<b>One-Year Goal</b>	<b>Actual</b>
Number of households supported through rental assistance	136	71
Number of households supported through the production of new units	2	0
Number of households supported through the rehab of existing units	21	10
Number of households supported through the acquisition of existing units	0	0
<b>Total</b>	<b>159</b>	<b>81</b>

**Number of Households Supported**

**Discuss the difference between goals and outcomes and the problems encountered in meeting these goals.**

New Housing Production: Projects that will result in new housing units are typically multi-year projects that take longer than 12 months to complete. The City works closely with developers to ensure a timely start to project and supports attempts to secure additional funding from other federal, state, and private sources. Accomplishments for these projects will be reported in future CAPERs.

Rehabilitation of Existing Units: CDBG and HOME funds were used to support the rehab of low-income, owner-occupied and rental occupied housing units. Homebuyer Units: The City’s First Time Homebuyer Program saw a smaller pool of qualified applicants than in previous years resulting in fewer households supported with down payment assistance than projected. The City, in partnership, with the Merrimack Valley Housing Partnership, has been working with qualified applicants with down payment assistance, in an effort to meet the needs of Lowell homebuyers.

**Discuss how these outcomes will impact future annual action plans.**

The City of Lowell will continue to make affordable housing a priority in its future Action Plans. Consistent with the 2015 - 2020 Consolidated Plan and 2025 Sustainability Plan, entitlement grant funding will continue to support programs that assist first time homebuyers and maintain quality affordable housing units. Given the fiscal climate and dwindling resources at all levels of government and in the non-profit sector, as well as changes to housing regulations, it continues to be a challenge to reach annual housing goals. In preparation of future Annual Action Plans the City may consider changing its expectations for housing outputs. Future plans will also include more realistic timelines for project completion so that accomplishment goals are identified in the years they are anticipated to be reached.

Include the number of extremely low-income, low-income, and moderate-income persons served by each activity where information on income by family size is required to determine the eligibility of the activity.

Number of Persons Served	CDBG Actual	HOME Actual
Extremely Low-income	12	5
Low-income	13	5
Moderate-income	9	6
<b>Total</b>	<b>34</b>	<b>16</b>

**Table – Number of Persons Served**

**Additional Narrative**

In addressing priority housing needs in the City of Lowell it is crucial to highlight an action that is a driving factor in the City’s efforts to provide safe, clean and affordable housing to those in need. The City of Lowell has committed to using a combination of Consolidated Plan funds, Low Income Housing Tax Credits, project-based subsidies, and private funding to create affordable housing throughout the City.

<b>Municipality</b>	<b>Total Housing Units (2010 Census)</b>	<b>Affordable Housing Units</b>	<b>Proportion of Affordable Housing</b>
Lowell	41,308	5,220	12.6%
Billerica	14,442	857	5.9%
Chelmsford	13,741	1,169	8.5%
Dracut	11,318	719	6.4%
Dunstable	1,085	0	0.0%
Groton	3,930	212	5.4%
Pepperell	4,335	129	3.0%
Tewksbury	10,803	1,037	9.6%
Tyngsboro	4,166	340	8.2%
Westford	7,671	575	7.5%

Source: Massachusetts Department of Housing and Community Development, Chapter 40B Subsidized Housing Inventory 12/05/2014

## **FY 2015 - 2016 CAPER PUBLIC HOUSING**

### **ACTIONS TAKEN TO ADDRESS THE NEEDS OF PUBLIC HOUSING RESIDENTS:**

The following summarizes improvements by the Lowell Housing Authority, in public housing programs initiated or ongoing during the reporting period.

Increased Public Safety: In an effort to increase security within all our developments, the LHA has upgraded surveillance cameras and provided direct access to the Lowell Police Department (LPD). In addition, the LHA has entered into a Memorandum of Understanding with the City of Lowell to fund a portion of the salary of a full-time police officer, to monitor LHA developments during night time hours. This officer has been instrumental in identifying criminal issues within our developments, and reporting information to LHA Management. Lastly, the LHA provides office space to the LPD Gang Unit at the Mercier Center, situated in the North Common Village, providing a police presence within this development consisting of 524 units of elderly/family housing.

Increase the Number of Handicap Accessible Units: There is a growing need for handicap accessible units within the agency. We have identified eleven standard units that will be converted to accessible units by the end of the year. Upon completion, this will bring our total number of converted units to 24 since 2010. We hope to identify one additional family unit to be completed in late fall which will bring us to our goal of 25 additional accessible units.

ROSS Program: A Resident Service Coordinator (RSC) is employed directly by LHA to provide an array of supportive social services to elderly/disabled residents. Such services include: a) Assisting residents in applying for various financial, health and other benefit programs, b) Assisting residents with accessing medical, mental health and homemaker services, c) Assisting residents with accessing services that can enhance an individual's overall wellbeing including day, social, employment, recreational and nutritional programs, d) Providing crisis intervention services, as needed, and e) Facilitating health education presentations. The RSC has also provided trainings for Property Management and FSS staff on various mental health topics. The rationale for such trainings is twofold: a) to enhance non-clinical staff's understanding in these areas and b) to enhance the Property Management/RSC partnership in tenant preservation and quality of life efforts.

Commodity Supplemental Food Program (CSFP): Some of the elderly/disabled sites continue to offer resident-operated breakfast cafes and luncheon meal programs via the Merrimack Valley Nutrition Project. A partnership with the Greater Boston Food Bank and Elder Services of Merrimack Valley affords access to the monthly Commodity Supplemental Food Program (CSFP) at our Bishop Markham Village, Fr. Norton Manor, Francis Gatehouse and Dewey Archambault properties. At the present time, 127 residents partake in this offering. During June 2016, the LHA was approached by the Greater Boston Food Bank which was seeking to expand its Commodity Supplemental Food Program (CSFP) through its local sponsoring agency, the Open Pantry of Greater Lowell. As a result of this collaborative effort, 23 residents within our Kenefick Manor and Fr. Morrisette properties are currently registered to receive monthly food deliveries. Finally, in partnership with Community Teamwork, Inc., a number of residents participate in the Senior Corps Volunteer

Program. Volunteers serve as Friendly Visitors to other elderly residents, most notably those who are socially isolated. The RSC serves as the on-site Station Supervisor for this program.

### **ACTIONS TAKEN TO ENCOURAGE PUBLIC HOUSING RESIDENTS TO BECOME MORE INVOLVED IN MANAGEMENT AND PARTICIPATE IN HOMEOWNERSHIP.**

In an effort to address the needs of public housing residents, the Lowell Housing Authority offers its tenants opportunities to become involved in LHA management and policy implementation. LHA also provides a variety of activities aimed at self-sufficiency and homeownership among its residents. These programs are described below:

Increased Resident Participation: Resident participation and engagement are vital elements in the growth and success of the Authority. The LHA continually holds resident meetings at all developments to provide information and receive resident feedback. The meetings are held throughout the year and provide an open forum for residents to voice their concerns. The LHA has several high functioning Tenant Councils that provide information and support to residents, and work with LHA Management to address critical issues. In establishing the agency's Annual Plan, the LHA seeks comments, recommendations and support from the Resident Advisory Board (RAB). The RAB is made up of volunteers who represent the residents within their development. All activities serve to keep our residents better informed and provide the Authority with resident's perspectives on matters of concern. It is our goal to maintain the lines of communication for the betterment of the agency.

Family Self-Sufficiency Program: The Family Self-Sufficiency Program is designed to foster a holistic approach to self-sufficiency and engages with other agencies in the City to offer residents new opportunities for educational, financial and personal development. The premise of the program is that everyone deserves a chance for self-sufficiency, regardless of his or her current skill level, ability or past performance. Some of the provisions administered through the program include: intensive Case Management, resume development, financial literacy education, employment search support, credit repair guidance as well as instruction on nutrition, preventative medical care and healthy living. Referrals are frequently made to the Career Center of Lowell, The Wish Project, Community Teamwork, Inc., Budget Buddies, Middlesex Community College and UMass Lowell to assist in meeting the needs, educational and employment goals of our participants. Through increases in earned income, many families become eligible for an interest-bearing escrow account. This component has allowed numerous LHA families to transition from subsidized housing to homeownership. During 2016, two FSS participants completed their FSS Contract via satisfying their final goal of homeownership. Each participant successfully purchased a single family home within the City of Lowell. It is anticipated that additional families will secure the purchase of single family homes within the final quarter of 2016. We continue to aggressively work towards qualifying additional families for homeownership opportunities on an ongoing basis.

#### Family Self-Sufficiency Program Results through August 2016

- 73 participants currently enrolled in the HCV/PH FSS Program
- In 2016, there have been 6 contract completions
- In 2016, there have been 7 new families enrolled

- 2 participants are enrolled in a GED Program
- 10 participants enrolled in college courses/degree programs in 2016
- In 2016, one participant graduated with a Bachelor's Degree and two participants graduated with Associate's Degrees
- 53 participants currently hold either part-time or full-time employment positions
- Currently, 27 participant head of households who have completed their 2016 Annual Recertification have demonstrated an average increase in earned income of \$9,403.92 since the previous year.
- As of the current time, 27 participants have escrow balances with an average escrow balance of \$5,649.52. All escrow balances total \$259,877.93.
- 27 participants are currently accruing escrow
- All participants are working on Credit Repair
- 2 participants purchased single family homes in 2016
- Many participants have established a goal of Homeownership within their FSS Contract

Homeownership Program: The FSS Department of the LHA is responsible for assisting residents of Public Housing and Section 8 participants through the home buying process. With an exclusive association with the Residents First Development Corporation, a non-profit organization that builds homes for first time homebuyers and the Merrimack Valley Housing Partnership, participants in the program have access to an all-inclusive networking system that allows them to become future homeowners. The LHA covers the cost for each eligible family to complete the First Time Homebuyer's Program as well as offers post-purchase counseling for all clients to ensure long-term success as new homeowners. To date, eighteen families have utilized their Section 8 Voucher towards homeownership. During 2016, one FSS participant purchased a single family home utilizing their Section 8 Voucher.

The River's Edge on the Concord Homebuyer Program provides up to \$2,500 in down payment assistance to LHA residents, Housing Choice Voucher Program Participants, residents of the City of Lowell and veterans. A staff member assists homebuyers at River's Edge and offers guidance throughout the mortgage application process.

### **PUBLIC HOUSING AND RESIDENT INITIATIVES:**

The Lowell Housing Authority continues to offer programs and activities, which help improve the living environment for low- and moderate-income families living in public housing. These activities are summarized below:

After-School Academic/ Summer Recreational Programs: These programs have provided education and guidance to youth of the LHA as well as the surrounding neighborhoods in an effort to promote academic advancement, health and wellness and character development. Together, these programs have been successful in reaching residents in need and in enhancing the overall security and safety at the housing authority sites. During the Summer of 2016, the Summer Recreational program provided approximately 65 participants with exposure to the following programming; swimming, sports, arts and crafts, and weekly reading activities provided by the Pollard Memorial Library as well as a field trip to both a Lowell Spinners Game as well as Canobie Lake Park. Both Summer Program locations are also open meal sites via Project Bread and provide a healthy and balanced lunch to any interested youth under age 18, typically serving over 1,000 lunches during the course of the Summer Program.

The Learning Zone After-School Program: The Learning Zone (North Common Village) serves youth in grades 3-8 from both the North Common Village Public Housing development as well as the surrounding Acre neighborhood. The Learning Zone (George W. Flanagan) serves youth in grades 3-8 from both the George W. Flanagan Public Housing development as well as the surrounding Highlands neighborhood. The overall mission of the Learning Zone is to offer daily tutoring assistance, hands-on activities, critical thinking exercises, informational guest speakers and recreational opportunities to further promote academic success and broaden one's quest for knowledge. Program staff have demonstrated an aptitude to act as a liaison between parents and school staff. Each site is supplied with individual laptops for student usage, a television and DVD player, educational movies, software and books as well as a plethora of school supplies needed to complete daily assignments and projects.

Mastering Math and Reading skills appear to be the greatest challenges faced by students in these programs. Program staff have observed many students who lack basic reading ability, leaving them to experience difficulty in completing assignments due to the inability to read instructions. The language barrier that exists for many of the parents in this segment of the population further impedes their ability to help their children complete work outside of school. The Learning Zone offers many tools to overcome these obstacles to academic success. The increased number of volunteers allows more 1:1 attention to help those experiencing the most difficulty. The Learning Zone staff utilizes educational games and group activities to reinforce learning while still keeping it fun. In addition, guest speakers, presentations and field trips all play a significant role in the promotion of acquiring new knowledge and concepts.

In conclusion, the LHA has found that many parents have developed an active involvement in their children's studies as a result of staff encouragement and support. Since the 2009 inception of the program, we have observed not only improvement in the children's academic progress but most importantly, a strong desire to learn the "why," "what" and "how" of the world around them. It is our hope that by making learning fun, we will instill an interest in the pursuit of higher education and therefore, increased future economic status.

Lowell Public Schools Nutrition Dept: Provides nutritious meals free of charge on a daily basis to Learning Zone After-School Program participants who due to limited family finances and food insecurity, may not always have access to healthy meals.

Pollard Memorial Library: A weekly Reading Program is conducted at the Learning Zone-Salem St. during both the After-School and Summer Youth Activities Programs. The children receive awards as they attain their reading goals.

Angell at Nashoba: The LHA was approached by the MSPCA who was seeking to provide veterinary services to low-income households via their year-round, onsite facility located at Nashoba Technical High School. This has proven to be a great resource for resident pet owners who experience difficulty in affording preventative care for their pets.

Summer & Recreational Opportunities:

*Canobie Lake Park, Salem, NH:* The Lowell Youth Activities Program was able to provide funding towards a Field Trip to Canobie Lake Park for those participants in our Summer Youth Activities Program. Our Project Bread Meal Program sponsor, the Merrimack Valley Food Bank, contributed towards transportation costs via grant-funding they had received.

*Merrimack Valley Food Bank/Project Bread:* Continues to provide the summer meal program to both of our Summer Youth Activities Program sites. The Project Bread Free Summer Lunch Program generally provides over 1,000 lunches between our Salem Street and Chelmsford Street sites via MVFB over 6 weeks.  
*Jeanne D'Arc Credit Union:* JDCU presented "Brand Busters," an educational workshop that introduces the marketing concepts behind generic and brand name sales to our Summer Youth Activities Program participants.

*Hannaford Supermarket:* Hannaford Supermarket afforded a "Journey To Wellness" presentation through their local store Dietician. Our youth participated in dialogue surrounding nutrition, lifestyle and exercise as well as made "fruit & yogurt parfaits."

*Coca-Cola New England:* Coca-Cola New England delivered a presentation to educate our youth as to the initiatives they have developed to utilize their trash and waste by donating it to local manufacturing companies which recycle it into usable products.

The Kaitlyn Kazanjian Charitable Foundation provided a 2015 Christmas Party for all children residing within our North Common Village and George W. Flanagan housing developments.

## Other Actions

*Actions taken to remove or ameliorate the negative effects of public policies that serve as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment (91.220(j); 91.320(i))*

Under the City of Lowell’s current Zoning Ordinance, over 38% of the land area is zoned to allow multi-family development in residential or mixed-use zoning districts. The City allows significant density in these zones. Even the most restrictive single-family zone allows more than four units per acre. In addition, the Ordinance allows for accessory dwelling units in single-family zoned areas and encourages the conversion of existing buildings including schools, churches, and obsolete industrial buildings, to multi-family residential uses, even when those buildings are located in single-family zoning districts. Lowell’s permit fees and development review process are also some of the least burdensome in the region. The City does not charge development impact fees or technical review fees that are permitted under Massachusetts General Law and places no special permitting reviews on affordable housing projects that would not be required of all developments.

### Maximum Allowable Residential Densities in Lowell Zoning Districts

Zoning District(s)	Proportion of Land Area	Units per Acre
Suburban Multifamily (SMF), Suburban Mixed Use (SMU), & Traditional Two-Family (TTF)	18%	14.5
Traditional Multifamily (TMF), Traditional Mixed Use (TMU), & Neighborhood Business (NB)	9%	11
Urban Multifamily (UMF) & Urban Mixed Use (UMU)	3%	43.5
Downtown Mixed Use (DMU), High Rise Commercial (HRC), and Institutional (INST)	8%	60-120*

\*Limited only by floor area ratios.  
Source: City of Lowell Zoning Code

Additional steps that the City has taken to remove impediments to developing affordable housing include streamlining the permitting process, and utilizing Massachusetts programs to incentivize production of affordable housing units. For example, the City Council voted to designate several parcels in and around the Hamilton Canal District (14.5 acres of underutilized vacant industrial land adjacent to downtown) as “Priority Development sites” under the provision of M.G.L. Chapter 43D. This guarantees that projects proposed in this area will be permitted within 180 days of application submission, adding greater certainty and significantly reducing carrying costs for developers.

Unfortunately, the costs to construct or obtain housing in Eastern Massachusetts remain among the highest in the nation, severely limiting the affordability of housing throughout

the region, including in Lowell. Despite these constraints, the City maintains 12.6% of its housing stock as affordable, a substantially greater percentage than in the surrounding suburban communities, where regulatory and project review barriers as well as public unease about affordable housing are more substantial challenges. The City of Lowell shares the Commonwealth of Massachusetts' goal that all municipalities should maintain at least 10% of their housing stock as affordable to residents earning 80% or less of the Area Median Income. The table below outlines the relative proportions of affordable housing in the municipalities in the Greater Lowell area. As the table below illustrates, Lowell maintains 59% of the region's subsidized affordable housing.

**Affordable Housing in Greater Lowell Area**

<b>Municipality</b>	<b>Total Housing Units (2010 Census)</b>	<b>Affordable Housing Units</b>	<b>Proportion of Affordable Housing</b>
Lowell	41,308	5,220	12.6%
Billerica	14,442	857	5.9%
Chelmsford	13,741	1,169	8.5%
Dracut	11,318	719	6.4%
Dunstable	1,085	0	0.0%
Groton	3,930	212	5.4%
Pepperell	4,335	129	3.0%
Tewksbury	10,803	1,037	9.6%
Tyngsboro	4,166	340	8.2%
Westford	7,671	575	7.5%

Source: Massachusetts Department of Housing and Community Development, Chapter 40B Subsidized Housing Inventory 12/05/2014

In summary, while the cost of housing development remains a major impediment to affordable housing production, the City of Lowell has taken significant steps to minimize the role that public policies at the local level have in exacerbating this challenge. As noted in the City's recently updated Master Plan: Sustainable Lowell 2025, Lowell also actively supports statewide efforts to encourage other communities to expand their housing production, recognizing that the overall market forces associated with an increase in regional housing supply will improve housing affordability in Lowell.

***Actions taken to address obstacles to meeting underserved needs. 91.220(k); 91.320(j)***

The City of Lowell continues to support non-profit agencies, the local housing authority, homeless providers, and special needs groups in their goal to meet the underserved persons of the community. The City communicates with these groups as their needs change or the demand dramatically increases in order to provide the appropriate assistance as needed. The City often provides technical assistance to providers in their pursuit of other federal, state, or private funding sources.

The primary obstacle to meeting underserved needs of low- and moderate-income populations continues to be the availability of funds. Organizations serving these populations continue to experience reductions in funding from both governmental and private sources.

Where practical the City has strongly encouraged organizations to consider collaborating in the provision of services to low-income residents in an effort to improve efficiency, strengthen capacity, and best meet the needs of the underserved.

***Actions taken to reduce lead-based paint hazards. 91.220(k); 91.320(j)***

To address lead paint in its aging housing stock, the City of Lowell has historically administered a lead-based paint abatement program, funded through a series of HUD Lead Hazard Control grants. Key components of the program include deleading of properties for low to moderate income families, lead poisoning prevention education, community outreach, and technical training to increase the availability of licensed professionals to perform lead related activities.

In August 2013, the City secured a 36-month (extended one year), \$2.5 million grant through the Office of Healthy Homes and Lead Hazard Control. \$2.3 million of these funds are directed to deleading 125 units in Lowell. The balance (\$200,000) is sub-contracted to UMass Lowell to conduct 37 Healthy Homes assessments (identification and treatment for mold, mildew, pests, fire and CO safety, etc.). In addition, CDBG and HOME funded housing-rehab programs address lead-paint should a child under six be present in the home. Eligible households are also referred to the Massachusetts Housing Partnership's "Get the Lead Out" program for additional financial support for de-leading activities.

***Activities taken to reduce the number of poverty-level families. 91.220(k); 91.320(j)***

Most activities undertaken by the City of Lowell with CDBG, HOME, ESG, and HOPWA funds are efforts to reduce persons in poverty and improve the quality of life for Lowell residents; either directly or indirectly. Programs that directly influence the poverty level: job enrichment, development, and placement through education and economic development. Projects that indirectly affect poverty include those that upgrade the community and provide affordable housing. CDBG, HOME, and ESG funds are often used as matching funds that also reduce the number of poverty level families.

Specific projects supported during the 2015-2016 program year that helped lift participants out of poverty included:

- Acre Family Child Care – Family Child Care Business Development
- AIDS Action Committee – Emergency Rental Assistance
- AIDS Action Committee – Emergency Housing

- AIDS Action Committee – HOCH Program
- Cambodian Mutual Assistance Association/Merrimack Valley Housing Partnership – First Time Homebuyer Counseling Program
- House of Hope – The Hope Chest
- Lowell Housing Authority – Homeless Prevention Program
- Lowell Housing Authority – HOPWA Rental Assistance
- Lowell House, Inc – Supportive Services
- Lowell Wish Project – Beds 4 Kids
- Community Teamwork – Fuel Assistance Program
- Justice Resource Institute – Assisted Living Program
- Merrimack Valley Housing Partnership – First Time Homebuyer Project
- South Middlesex Opportunity Council – HOPWA Program

Specific projects supported during the 2015-16 program year that provide direct assistance to persons in poverty included:

- Alternative House – Domestic Violence Shelter
- Asian Task Force Against Domestic Violence
- House of Hope – Shelter Operations
- House of Hope – Housing Resource Center
- International Institute of Lowell – Homeless Prevention
- Merrimack Valley Catholic Charities – Lowell Food Pantry Collaborative
- Merrimack Valley Food Bank – Mobile Pantry
- Merrimack Valley Food Bank – Food distribution Program
- St. Paul’s Soup Kitchen

***Actions taken to develop institutional structure. 91.220(k); 91.320(j)***

The City of Lowell Department of Planning and Development (DPD) acts as the primary administrative agency for the City of Lowell’s Consolidated Plan programs. As part of this responsibility, the DPD consistently reviews the performance of subrecipients and monitors the overall program delivery structure to ensure coordination and compliance.

DPD staff provide education and outreach to subrecipients of Consolidated Plan funds, resulting in extremely high rates of compliance with program regulations, reporting requirements, and most significantly, efficient delivery of services and completion of programs in a time of increasingly constrained resources.

In addition to providing technical assistance and oversight to subrecipients from the private sector, staff routinely meet with officials from other City departments. Coordination among staff from the Department of Public Works, Department of Parks and Recreation, as well as offices within DPD helps to ensure an understanding of and compliance with HUD grant agreements including Section 3, Davis Bacon and Environment Review.

***Actions taken to enhance coordination between public and private housing and social service agencies. 91.220(k); 91.320(j)***

Public and assisted housing providers, private and governmental health, mental health, and service agencies participated in the network of activities described in this CAPER report. They are also the organizations with which the City of Lowell worked to develop the FY 15-16 Annual Action Plan. In addition to the specific entities discussed in this report, a strong network of community partnerships exist among public, private, non-profit and for-profit sector of the City effectively working to meet the needs of Lowell's low- and moderate-income residents.

Additionally the City has a well-developed Continuum of Care with a full-time City staff member assisted to support the efforts to address homelessness in Lowell. Finally, the City strongly encourages collaborations among its subrecipients. A collaborative not only enhances the coordination of services among agencies but also helps consolidate the reporting requirements of the block grant programs, and reduces inefficiencies duplication of services.

***Identify actions taken to overcome the effects of any impediments identified in the jurisdiction's analysis of impediments to fair housing choice. 91.520(a)***

The City of Lowell updated its Analysis of Impediments to Fair Housing Choice Report (AI) in 2011. A brief summary of these impediments and the actions taken to address them during the 2015-16 program year is provided below.

**Impediment #1/2: Lack of Fair Housing Outreach and Education and Lack of Fair Housing Enforcement**

In 2012 The City launched a new page on its website dedicated to fair housing, offering information for households, landlords, property managers, and real estate agents about their rights and responsibilities under state and federal fair housing laws. Information is available in Spanish, Portuguese, and Khmer (Cambodian), the three most common languages spoken in Lowell, other than English. Additionally City staff participated in trainings on HUD's new LGBT Equal Access Rule and Fair Housing Online Forum for Veterans. Information from these trainings was passed along to local service providers and subrecipient agreements were updated to reflect new requirements.

**Impediment #3: Potential for Discrimination against Families with Children due to the Presence of Lead Paint**

The City of Lowell successfully secured a \$2.5million grant through the Office of Healthy Homes and Lead Hazard Control. These funds became officially available August 2013 for a 36 month period. \$200,000 of these funds will be used toward healthy homes interventions while the balance will assist in deleading activities. In the meantime, CDBG and HOME funded housing-rehab programs address lead-paint should a child under six be present in the home.

Recommendation #1: Continue to encourage the development of a variety of housing options for individuals of mixed-incomes especially in areas of high concentrations of minority or low-income populations.

The City is working on the development of housing available to low moderate income households in higher income neighborhoods through prioritizing HOME funds to support of affordable housing development in “opportunity areas”, and working with the Lowell Housing Authority to locate project based vouchers in “opportunity areas” to further de-concentrate subsidized housing. Lowell also has encouraged the development of market rate housing in areas with high concentration of poverty. To further support these efforts, the city received approval from the Massachusetts DHCD to create a Housing Development Incentive Program (HDIP) Zone. This state program, designed to boost the development of market rate housing in designated “Gateway Cities” will provide state (and potentially local) tax incentives to market rate residential projects.

Recommendation #2: Promote Diversity on City Boards and Commissions

The City of Lowell has made it a priority to attempt to reach a larger segment of the community to increase the applicant pool through the use of the City website, list serves, email blasts and other social media. Of the residents that currently serve on the various boards and commissions the City tracks demographics of the individuals that receive a stipend for their. The City will continue to track this data and increase efforts to diversity membership.

Recommendation #3: Formalize a Limited English Proficiency (LEP) Plan

In October 2011 Lowell’s Department of Planning and Development released a Limited English Proficiency Plan for Federally Assisted Programs. The document outlines the steps the City will take to communicate with people qualifying for federally assisted programs who need services or information in a language other than English. Electronic copy of the LEP plan is located on the City’s website

## CR-40 Monitoring

**Description of the standards and procedures used to monitor activities carried out in furtherance of the plan and used to ensure long-term compliance with requirements of the programs involved, including minority business outreach and the comprehensive planning requirements. 91.220 and 91.230**

Lowell's Department of Planning and Development's monitoring process is more fully described in the Five-Year Consolidated Plan which is available on the City's website at [www.lowellma.gov](http://www.lowellma.gov).

In general staff follow at least three channels for subrecipient monitoring: 1) a monthly "desk audit" of monthly reports and reimbursement requests; 2) an internal database designed to track overall progress towards program goals; and 3) on-site monitoring visits. The City of Lowell recognizes that monitoring is an important and ongoing component of the entitlement grant programs and is committed to completing at least one on-site visit at any *high-risk* program site during the course of each program year.

*Subrecipient Monitoring:* DPD staff conduct a risk assessment to identify subrecipients that may require a comprehensive on-site monitoring, by carefully examining subrecipients past performance. High-risk subrecipients include those which are:

- new recipients of CDBG, ESG, HOME, or HOPWA funds;
- experiencing turnover in key staff positions or a change in goals or direction;
- agencies with previous compliance or performance problems including failure to meet schedules, submit timely reports, or clear monitoring or audit findings;
- carrying out high-risk activities (such as economic development); and
- undertaking multiple entitlement grant funded activities at the same time.

*Davis Bacon Compliance:* Consultations with subrecipients and their contractors are held at the start of the grant to ensure all parties are aware of DBRA requirements. DPD staff conduct site visits and employee interviews, and check weekly payroll forms for accuracy and compliance.

*MBE/WBE Outreach:* Outreach to minority and women owned businesses is encouraged in both projects supported with entitlement funds as well as other city projects. The City encourages the utilization of MBE/WBE businesses by:

- Making direct reference to encourage minority and women business enterprises to participate in all solicitation for bids
- Direct periodic mailing to local and regional MBE's and WBE's encouraging participation in CDBG and HOME activities
- Direct periodic mailing to minority and women oriented service agencies and associations that may assist in encouraging minority and women owned businesses to participate

- Pass-through requirements to private and nonprofit groups acting as subrecipients of Consolidated Plan program funds , to the maximum extent possible, seek the inclusion of minorities and women-owned businesses in funded activities.

*Fair Housing/Section 3 Compliance:* The City ensures compliance with Fair Housing and Section 3 during the process of awarding grant agreements to selected agencies and throughout the program year. Documentation is maintained on efforts to support low- and moderate-income residents.

*Timeliness:* As both public and private resources decline the City is mindful of the importance in allocating and spending Consolidated Plan funds on projects that can quickly achieve their goals to meet the underserved needs of Lowell's low- and moderate-income residents while complying with applicable federal grant requirements.

Grant agreements for all public service activities are set up for a period of eight - ten months. This requirement ensures that the City is able to adhere to its own internal financial policies as proscribed by the Auditing Department and provides additional controls to ensure that the City does not spend more than 15% cap allowed on public service activities.

Most non-public service activities including public improvement and housing projects as well as some economic development activities use CDBG and HOME funds as seed money to leverage additional resources. As a result these projects are not held to the same ten month window to spend down their grant; however they are required to break ground and begin incurring costs within 12 months for HOME funded projects and 18 months for CDBG funded projects. This policy ensures that valuable federal dollars are not assigned to a project that is not in a position to move forward while providing some flexibility for the project to secure other funding sources.

Finally, Community Development staff review open activities in IDIS quarterly and communicate with project managers about any timeliness concerns. This review ensures that accomplishment goals are achieved in order to meet a National Objective and that funds are spent and drawn down in a timely manner. To ensure that all HOME compliance deadlines are met an internal spreadsheet has been designed to help track the status of housing projects. Staff from the Community Development and Housing offices periodically review the expenditure rates of HOME projects as well as the development schedule to ensure that expenditure and completion deadlines are met.

***Citizen Participation Plan: Description of efforts to provide citizens with reasonable notice and an opportunity to comment on performance reports. 91.105(d) and 91.115(d)***

The availability of the CAPER for the 2015-2016 program year was advertised in the Lowell Sun on September 7, 2016 and September 14, 2016. Public notices were also posted on the City's website as well as in English, Spanish, Portuguese, and Khmer at the Clerk's Office in Lowell City Hall, the Department of Planning and Development, and the Pollard Memorial Library, along with copies of the draft CAPER. The fifteen-day comment period ends on September 22, 2016.

Any comments received on this draft report will be included, along with the City's response, in the final CAPER.

## **CR – 45 CDBG**

*Specify the nature of, and reasons for, any changes in the jurisdiction's program objectives and indications of how the jurisdiction would change its programs as a result of its experiences. 91.520(c)*

No changes to the 2015-2020 Consolidated Plan Program were made during this reporting period. The priorities identified in the Five-Year Plan were the basis for allocating HUD funds during FY 15-16.

## CR – 50 HOME 91.520(d)

1. Include the results of on-site inspections of affordable rental housing assisted under the program to determine compliance with housing codes and other applicable regulations.

The City's Housing Program conducts annual HQS Inspections of investor-owned rental properties assisted with HOME funds to ensure compliance with the Housing Quality Standard report. The housing staff inspects properties for any physical problems and assist property owners, should there be any deficiencies.

In addition to on-site reviews, annually the City reviews all financial reports provided by the owner(budgets and Audited Financial Reviews) to identify potential financial risks to the property as well as the submitted tenant status reports that outline the tenancy and income levels of tenants in HOME units, allowing us to validate that the targeted population continues to be served in the property and that rents fall within allowable limits

During the 2015-16 reporting period, all scheduled inspections were completed. A summary of the inspections is included in the table below.

Property Owner	Property Address	Monitoring Results
Pathfinder	94 Rock Street	No Violations
	14 Rock Street	No Violations
CBA	48-60 Middlesex St.	No Violations
	63 Fletcher St.-Units 2D, 3E, 4B	No Violations
	174 Broadway Unit 2	No Violations
	5658 Middlesex St. Units 25,28,38	No Violations
Redwood Terrace	109 Wood St.	No Violations
Boott Mills East LP	Foot of John St.	No Violations
House of Hope	172 Lakeview Ave. Unit 1	No Violations
	179 Salem St.	No Violations
	203 Salem St. Units 3, 8	No Violations
Lowell Transitional Living	205 Middlesex St. Units #304,307, 309	No Violations
Alternative House	440 High St. Units 2&3	No Violations
	86.1 Bernier St. Unit 4, 3	No Violations
D'Ouille Senior Care Center	Phase 1 Bruyere Gardens Units 1,9,11,15,19	No Violations
	Phase 11 Bruyere Gardens Units 101	No Violations
Caleb Foundation	55 Willow Street Unit 314	No Violations
	105, 107, 206, 211, 212,303, 305,	No Violations
Community Teamwork	205 Worthen St. Units 1, 2, 3	No Violations
Nason Property Management	155 Middlesex Street Unit #1	No Violations
Trinity Financial	219 Jackson Street	No Violations

**2. Provide an assessment of the jurisdiction's affirmative marketing actions for HOME units.**

The Department of Planning and Development (DPD) has continued to further affirmative marketing actions to involve minorities and women in the HOME program. Notices of funding availability are published in Spanish, Portuguese, and Khmer as well as English. Requests for contractor qualifications for rehabilitation and lead abatement program contractor lists are advertised and minority contractors are encouraged to apply. Qualified MBE and WBE contractors are included on lists of qualified contractors provided to property owners who receive assistance through these programs.

**3. Refer to IDIS reports to describe the amount and use of program income for projects, including the number of projects and owner and tenant characteristics.**

I don't have this information

**4. Describe other actions taken to foster and maintain affordable housing 91.220(k)**

- promoting homeownership awareness
- providing homebuyer education and foreclosure awareness

**CR-55 - HOPWA 91.520(E)**

**Identify the number of individuals assisted and the types of assistance provided**

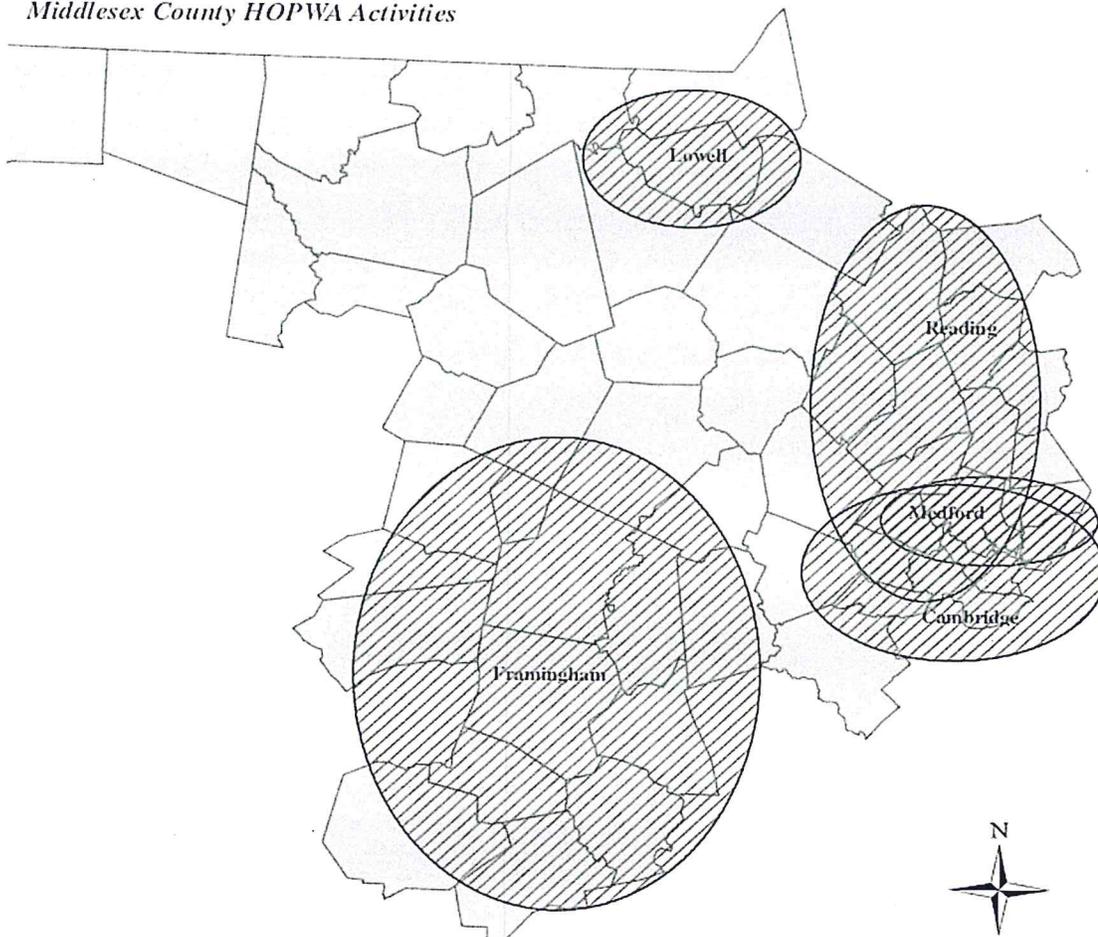
Table for report on the one-year goals for the number of households provided housing through the use of HOPWA activities for: short-term rent, mortgage, and utility assistance payments to prevent homelessness of the individual or family; tenant-based rental assistance; and units provided in housing facilities developed, leased, or operated with HOPWA funds.

<b>FY15-16 Proposed and Actual Accomplishments of the Middlesex County HOPWA program</b>					
<b>Agency/Program Name</b>	<b>HOPWA Activity</b>	<b>2015-16 Award</b>	<b>2015-16 Expenditures</b>	<b>Proposed Households Served</b>	<b>Actual Households Served</b>
<b>Direct Housing Assistance</b>					
AIDS Action Committee	Tenant Based Rental Assistance	\$87,281.00	\$92,755.00	8	11
AIDS Action Committee	Short-term Rent Mortgage/Utility Payments	\$84,113.00	\$83,813.00	8	11
Institute for Health & Recovery - Project Heal	Tenant Based Rental Assistance	\$37,384.00	\$33,727.00	2	3
Justice Resource Institute - JRI Health	Tenant Based Rental Assistance	\$90,119.68	\$90,344.00	11	11
Lowell House, Inc.	Permanent Housing Placement	\$6,000.00	\$6,000.00	5	4
South Middlesex Opportunity Council	Short-Term Rent/Mortgage/Utility Payments	\$13,292.30	\$3,866.00	2	6
South Middlesex Opportunity Council	Permanent Housing Placement	\$5,971.91	\$4,669.94	15	9
Lowell Housing Authority	Tenant Based Rental Assistance	\$100,000	\$4045.00	8	1
<b>Total Direct Housing Assistance</b>		<b>\$424,161.89</b>	<b>\$319,921.94</b>	<b>59</b>	<b>56</b>
<b>Supportive Services</b>					
AIDS Action Committee	Supportive Services	\$51,488.00	\$48,228.00	27	25
Justice Resource Institute - JRI Health	Supportive Services	\$125,195.33	\$125,195.33	56	56
Lowell House, Inc.	Supportive Services	\$52,215.00	\$52,215.00	70	52
Lowell House, Inc.	Housing Information Services	\$53,000.00	\$53,000.00	30	21
South Middlesex Opportunity Council	Supportive Services	\$36,876.44	\$27,542.48	55	48
Victory Programs, Inc.	Supportive Services	\$41,000.00	\$41,000.00	7	7
<b>Total Supportive Services</b>		<b>\$359,774.77</b>	<b>\$347,180.81</b>	<b>245</b>	<b>209</b>
<b>Total HOPWA Assistance</b>		<b>\$578,893.05</b>	<b>\$567,542.70</b>		
Note: Amounts do not include administrative expenses					

## Narrative

Lowell's Five Year Consolidated Plan projected serving approximately 1,720 households with housing related supportive services and 140 households with financial assistance to secure affordable housing between 2015-2020. During the 2015-16 program year 56 households were provided with either long-term rent subsidy or short-term emergency assistance to remain in permanent housing. An additional 209 households received supportive services including permanent housing placement assistance and housing information services. The City of Lowell Utilizes HUD Form 40100-D Measuring Performance Outcomes and the Grantee CAPER/IDIS Verification Worksheets for its HOPWA CAPER. These forms are included in the Appendix to this CAPER Report.

*Middlesex County HOPWA Activities*



City of Lowell, Division of Planning and Development

**2015-16 Program Year Distribution of HOPWA Funds**

<b>Agency</b>	<b>Middlesex County Service Area</b>
Aids Action Committee	County-wide
Institute for Health & Recovery	City of Lowell
Justice Resource Institute	County-wide
Lowell Housing Authority	Greater Lowell
Lowell House, Inc.	Greater Lowell
Southern Middlesex Opportunity Council	Metro West
Victory Programs Inc.	City of Cambridge

<b>Number of Households Served Through:</b>	<b>One-year Goal</b>	<b>Actual</b>
Short-term rent, mortgage, and utility assistance payments	2	6
Tenant-based rental assistance	29	26
Units provided in transitional housing facilities developed, leased, or operated with HOPWA funds	10	17
Units provided in permanent housing facilities developed, leased, or operated with HOPWA funds	20	13
<b>Total</b>	<b>61</b>	<b>52</b>

## CR-60 - ESG 91.520(g) (ESG Recipients only)

### ESG Supplement to the CAPER in *e-snaps*

#### For Paperwork Reduction Act

#### 1. Recipient Information—All Recipients Complete

##### Basic Grant Information

Recipient Name	LOWELL
Organizational DUNS Number	079521928
EIN/TIN Number	046001396
Identify the Field Office	BOSTON
Identify CoC(s) in which the recipient or subrecipient(s) will provide ESG assistance	Lowell Continuum of Care

##### ESG Contact Name

Prefix	Mr.
First Name	Christopher
Last Name	Samaras
Suffix	n/a
Title	Community Development Director

##### ESG Contact Address

Street Address 1	50 Arcand Drive
Street Address 2	JFK Civic Center
City	Lowell
State	MA
ZIP Code	01852-
Phone Number	978-674-4252
Extension	1429
Fax Number	978-446-7014
Email Address	csamaras@lowellma.gov

##### ESG Secondary Contact

Prefix	Ms.
First Name	Linda
Last Name	King
Suffix	n/a
Title	Community Development Specialist
Phone Number	978-674-4252
Extension	1428
Email Address	lking@lowellma.gov

#### 2. Reporting Period—All Recipients Complete

Program Year Start Date	07/01/2015
Program Year End Date	06/30/2016

### 3a. Subrecipient Form – Complete one form for each subrecipient

Subrecipient or Contractor Name	Alternative House
City	Lowell
State	MA
Zip Code	01852
DUNS Number	070436717
Is subrecipient a VAWA-DV provider	Yes
Subrecipient Organization Type	Private non-profit
ESG Subgrant or Contract Award Amount	\$26,000.00 (FY15-16)

Subrecipient or Contractor Name	Lowell Housing Authority
City	Lowell
State	MA
Zip Code	01852
DUNS Number	081578155
Is subrecipient a VAWA-DV provider	No
Subrecipient Organization Type	Private non-profit
ESG Subgrant or Contract Award Amount	\$70,000.00 (FY15-16)

Subrecipient or Contractor Name	House of Hope, Inc.
City	Lowell
State	MA
Zip Code	01854
DUNS Number	780116356
Is subrecipient a VAWA-DV provider	No
Subrecipient Organization Type	Private non-profit
ESG Subgrant or Contract Award Amount	\$20,000.00 (FY15-16)

Subrecipient or Contractor Name	International Institute of Boston Inc.
City	Lowell
State	MA
Zip Code	01852
DUNS Number	094845997
Is subrecipient a VAWA-DV provider	No
Subrecipient Organization Type	Private non-profit
ESG Subgrant or Contract Award Amount	\$40,600.00 (FY15-16)

<b>Subrecipient or Contractor Name</b>	Lowell Transitional Living Center
<b>City</b>	Lowell
<b>State</b>	MA
<b>Zip Code</b>	01852
<b>DUNS Number</b>	184153815
<b>Is subrecipient a VAWA-DV provider</b>	No
<b>Subrecipient Organization Type</b>	Private non-profit
<b>ESG Subgrant or Contract Award Amount</b>	\$16,000.00 (FY15-16)

## CR-65 - Persons Assisted

### 4. Persons Served

#### 4a. Complete for Homelessness Prevention Activities

Number of Persons in Households	Total FY 15-16
Adults	112
Children	41
Don't Know/Refused	2
Missing Information	0
<b>Total</b>	<b>155</b>

Table 1 – Household Information for Homeless Prevention Activities

#### 4b. Complete for Rapid Re-Housing Activities

Number of Persons in Households	Total FY 15-16
	61
	37
	0
	0
	98

Table 2 – Household Information for Rapid Re-Housing Activities

#### 4c. Complete for Shelter

Number of Persons in Households	Total FY 15-16
Adults	298
Children	124
Don't Know/Refused	
Missing Information	
<b>Total</b>	<b>422</b>

Table 3 – Shelter Information

<b>Total</b>	<b>0</b>
--------------	----------

Table 4 – Household Information for Persons **4d. Street Outreach**

Number of Persons in Households	Total FY 15-16
Adults	0
Children	0
Don't Know/Refused	0
Missing Information	0

Served with ESG

**4e. Totals for all persons served with ESG**

Number of persons in Household	Total FY 15-16
Adults	473
Children	202
Don't Know/ Refused	3
Missing Information	0
<b>Total</b>	<b>675</b>

Table 5 – Gender Information

**5. Gender—Complete for All Activities**

	Total FY 15-16
Male	304
female	371
Transgender	0
Don't Know / Refused	0
Missing Information	0
<b>Total</b>	<b>675</b>

Table 6 – Age Information

**6. Age —Complete for All Activities**

	<b>Total FY 15-16</b>
<b>Male</b>	<b>202</b>
<b>female</b>	<b>196</b>
<b>Transgender</b>	<b>275</b>
<b>Don't Know / Refused</b>	<b>2</b>
<b>Missing Information</b>	<b>0</b>
<b>Total</b>	<b>675</b>

**7. Special Populations Served—Complete for All Activities**

**Number of Persons in Households FY 15-16**

<b>Subpopulation</b>	<b>Total Persons Served – Prevention</b>	<b>Total Persons Served – RRH</b>	<b>Total Persons Served in Emergency Shelters</b>	<b>Total</b>
Veterans	0	6	0	6
Victims of Domestic Violence	0	8	0	8
Elderly	0	1	0	1
HIV/AIDS	2	1	0	3
Chronically Homeless	0	11	0	11
<b>Persons with Disabilities:</b>				
Severely Mentally Ill	8	27	0	35
Chronic Substance Abuse	2	4	0	6
Other Disability	7	23	0	30
Total (unduplicated if possible)				

**Table 7 – Special Population Served**

**Number of Persons in Households FY 15-16**

<b>Subpopulation</b>	<b>Total Persons Served – Prevention</b>	<b>Total Persons Served – RRH</b>	<b>Total Persons Served in Emergency Shelters</b>	<b>Total</b>
Veterans	9	0	1	10
Victims of Domestic Violence	18	0	16	34
Elderly	4	0	2	6
HIV/AIDS	2	0	1	3
Chronically Homeless	23	0	9	31
<b>Persons with Disabilities:</b>				
Severely Mentally Ill	61	0	11	72
Chronic Substance Abuse	62	0	10	72
Other Disability	66	0	4	70
Total (unduplicated if possible)	131		14	144

**Table 8 – Special Population Served**

Insert Table on Race/Ethnicity

## CR-70 – Assistance Provided

### 8. Shelter Utilization

Number of New Units – Rehabbed	0
Number of New Units – Conversion	0
Total Number of bed - nights available	0
Total Number of bed - nights provided	0
Capacity Utilization	0

Table 9 – Shelter Capacity

### 9. Project outcomes Data Measured under the performance standard developed in the consultation with the CoC(s)

No ESG Funds were used, during the reporting period, to renovate or create new housing units or shelter beds.

Expended on ESG Activities

## CR-75 – Expenditures

### 11. Expenditures

#### 11a. ESG Expenditures for Homelessness Prevention

	Dollar amount of expenditures in Program Year		
	2013	2014	2014
Expenditures for Rental Assistance	0	0	0
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	\$44,750.00	0
Expenditures for Housing Relocation & Stabilization Services - Services	\$90,000.00	\$44,750.00	0
Expenditures for Homeless Prevention under Emergency Shelter Grants Program	0	0	0
<b>Subtotal Homelessness Prevention</b>	<b>\$90,000.00</b>	<b>\$89,500.00</b>	<b>0</b>

ESG Expenditures for Homelessness Prevention

#### 11b. ESG Expenditures for Rapid Re-Housing

	Dollar amount of expenditures in Program Year		
	2013	2014	2014
Expenditures for Rental Assistance	0	0	0
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	0	0
Expenditures for Housing Relocation & Stabilization Services - Services	\$6,000.00	\$10,000.00	0
Expenditures for Homeless Prevention under Emergency Shelter Grants Program	0		0
<b>Subtotal Rapid Re-Housing</b>	<b>\$6,000.00</b>	<b>\$10,000.00</b>	<b>0</b>

ESG Expenditures for Rapid Re-Housing

**11c. ESG Expenditures for Emergency Shelter**

	Dollar amount of expenditures in Program Year		
	2013	2014	2015
Essential Services	0	0	0
Operations	\$92,500.00	0	0
Renovation	0	0	00
Major Rehab	0	0	0
Conversion	0	0	0
Subtotal	\$92,500.00	0	0

**ESG Expenditures for Emergency Shelter****11d. Other Grant Expenditures**

	Dollar amount of expenditures in Program Year		
	2013	2014	2015
Street Outreach	0	0	0
HMIS	0	0	0
Administration	\$5,596.71	\$12,278.25	0

**Other Grant Expenditures****11e. Total ESG Grant Funds**

Total ESG Funds Expended	2013	2014	2015
	\$104,096.00	\$111,778	0

**Total ESG Funds Expended**

**11f. Match Source**

	<b>2013</b>	<b>2015</b>	<b>2015</b>
Other Non-ESG HUD Funds	0	0	0
Other Federal Funds	\$36,000.00	\$63,000.00	0
State Government	\$105,858.00	\$454,435.00	0
Local Government	\$10,000.00	\$10,000.00	0
Private Funds	\$174,000.00	\$116,600.00	0
Other	0	0	0
Fees	0	0	0
Program Income	0	0	0
<b>Total Match Amount</b>	<b>\$325,858.00</b>	<b>\$643,435.00</b>	<b>0</b>

Other Funds Expended on Eligible ESG Activities

**11g. Total**

<b>Total Amount of Funds Expended on ESG Activities</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>
	\$429,954.00	\$755,213.00	0

Total Amount of Funds Expended on ESG Activities

# Appendix

- HUD form 40107 HOME Program Annual Performance Report
- Correspondence from Lowell Housing Authority Regarding HOME Match Compliance
- HUD Form 40110-D HOPWA CAPER

# Annual Performance Report HOME Program

U.S. Department of Housing  
and Urban Development  
Office of Community Planning  
and Development

OMB Approval No. 2506-0171  
(exp. 8/31/2009)

Public reporting burden for this collection of information is estimated to average 2.5 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. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

The HOME statute imposes a significant number of data collection and reporting requirements. This includes information on assisted properties, on the owners or tenants of the properties, and on other programmatic areas. The information will be used: 1) to assist HOME participants in managing their programs; 2) to track performance of participants in meeting fund commitment and expenditure deadlines; 3) to permit HUD to determine whether each participant meets the HOME statutory income targeting and affordability requirements; and 4) to permit HUD to determine compliance with other statutory and regulatory program requirements. This data collection is authorized under Title II of the Cranston-Gonzalez National Affordable Housing Act or related authorities. Access to Federal grant funds is contingent on the reporting of certain project-specific data elements. Records of information collected will be maintained by the recipients of the assistance. Information on activities and expenditures of grant funds is public information and is generally available for disclosure. Recipients are responsible for ensuring confidentiality when public disclosure is not required.

This form is intended to collect numeric data to be aggregated nationally as a complement to data collected through the Cash and Management Information (C/MI) System. Participants should enter the reporting period in the first block. The reporting period is October 1 to September 30. Instructions are included for each section if further explanation is needed.

Submit this form on or before December 31. Send one copy to the appropriate HUD Field Office and one copy to: <b>HOME Program, Rm 7176, 451 7th Street, S.W., Washington D.C. 20410</b>	This report is for period (mm/dd/yyyy) Starting _____ Ending _____	Date Submitted (mm/dd/yyyy)  <b>08/30/2016</b>
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## Part I Participant Identification

1. Participant Number	2. Participant Name		
3. Name of Person completing this report		4. Phone Number (Include Area Code)	
5. Address	6. City	7. State	8. Zip Code

## Part II Program Income

Enter the following program income amounts for the reporting period: in block 1, enter the balance on hand at the beginning; in block 2, enter the amount generated; in block 3, enter the amount expended; and in block 4, enter the amount for Tenant-Based rental Assistance.

1. Balance on hand at Beginning of Reporting Period	2. Amount received during Reporting Period	3. Total amount expended during Reporting Period	4. Amount expended for Tenant-Based Rental Assistance	5. Balance on hand at end of Reporting Period (1 + 2 - 3) = 5
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## Part III Minority Business Enterprises (MBE) and Women Business Enterprises (WBE)

In the table below, indicate the number and dollar value of contracts for HOME projects completed during the reporting period.

	a. Total	Minority Business Enterprises (MBE)			f. White Non-Hispanic
		b. Alaskan Native or American Indian	c. Asian or Pacific Islander	d. Black Non-Hispanic	
<b>A. Contracts</b>					
1. Number	32				32
2. Dollar Amount	\$421,441				\$421,441
<b>B. Sub-Contracts</b>					
1. Number	12				12
2. Dollar Amount	\$130,362				\$130,362
	a. Total	b. Women Business Enterprises (WBE)	c. Male		
<b>C. Contracts</b>					
1. Number	32		32		
2. Dollar Amount	\$421,441		\$421,441		
<b>D. Sub-Contracts</b>					
1. Number	12		12		
2. Dollar Amounts	\$130,362		\$130,362		

**Part IV Minority Owners of Rental Property**

In the table below, indicate the number of HOME assisted rental property owners and the total dollar amount of HOME funds in these rental properties assisted during the reporting period.

	a. Total	Minority Property Owners				f. White Non-Hispanic
		b. Alaskan Native or American Indian	c. Asian or Pacific Islander	d. Black Non-Hispanic	e. Hispanic	
1. Number	0					0
2. Dollar Amount	\$0.00					\$0.00

**Part V Relocation and Real Property Acquisition**

Indicate the number of persons displaced, the cost of relocation payments, the number of parcels acquired, and the cost of acquisition. The data provided should reflect only displacements and acquisitions occurring during the reporting period.

	a. Number	b. Cost	Minority Business Enterprises (MBE)			f. White Non-Hispanic
Households Displaced	a. Total	b. Alaskan Native or American Indian	c. Asian or Pacific Islander	d. Black Non-Hispanic	e. Hispanic	
1. Parcels Acquired						
2. Businesses Displaced						
3. Nonprofit Organizations Displaced						
4. Households Temporarily Relocated, not Displaced						
5. Households Displaced - Number						
6. Households Displaced - Cost						

## **FY 2015 - 2016 CAPER PUBLIC HOUSING**

### **ACTIONS TAKEN TO ADDRESS THE NEEDS OF PUBLIC HOUSING RESIDENTS:**

The following summarizes improvements by the Lowell Housing Authority, in public housing programs initiated or ongoing during the reporting period.

Increased Public Safety: In an effort to increase security within all our developments, the LHA has upgraded surveillance cameras and provided direct access to the Lowell Police Department (LPD). In addition, the LHA has entered into a Memorandum of Understanding with the City of Lowell to fund a portion of the salary of a full-time police officer, to monitor LHA developments during night time hours. This officer has been instrumental in identifying criminal issues within our developments, and reporting information to LHA Management. Lastly, the LHA provides office space to the LPD Gang Unit at the Mercier Center, situated in the North Common Village, providing a police presence within this development consisting of 524 units of elderly/family housing.

Increase the Number of Handicap Accessible Units: There is a growing need for handicap accessible units within the agency. We have identified eleven standard units that will be converted to accessible units by the end of the year. Upon completion, this will bring our total number of converted units to 24 since 2010. We hope to identify one additional family unit to be completed in late fall which will bring us to our goal of 25 additional accessible units.

ROSS Program: A Resident Service Coordinator (RSC) is employed directly by LHA to provide an array of supportive social services to elderly/disabled residents. Such services include: a) Assisting residents in applying for various financial, health and other benefit programs, b) Assisting residents with accessing medical, mental health and homemaker services, c) Assisting residents with accessing services that can enhance an individual's overall wellbeing including day, social, employment, recreational and nutritional programs, d) Providing crisis intervention services, as needed, and e) Facilitating health education presentations. The RSC has also provided trainings for Property Management and FSS staff on various mental health topics. The rationale for such trainings is twofold: a) to enhance non-clinical staff's understanding in these areas and b) to enhance the Property Management/RSC partnership in tenant preservation and quality of life efforts.

Commodity Supplemental Food Program (CSFP): Some of the elderly/disabled sites continue to offer resident-operated breakfast cafes and luncheon meal programs via the Merrimack Valley Nutrition Project. A partnership with the Greater Boston Food Bank and Elder Services of Merrimack Valley affords access to the monthly Commodity Supplemental Food Program (CSFP) at our Bishop Markham Village, Fr. Norton Manor, Francis Gatehouse and Dewey Archambault properties. At the present time, 127 residents partake in this offering. During June 2016, the LHA was approached by the Greater Boston Food Bank which was seeking to expand its Commodity Supplemental Food Program (CSFP) through its local sponsoring agency, the Open Pantry of Greater Lowell. As a result of this collaborative effort, 23 residents within our Kenefick Manor and Fr. Morrisette properties are currently registered to receive monthly food deliveries. Finally, in partnership with Community Teamwork, Inc., a number of residents participate in the Senior Corps Volunteer

Program. Volunteers serve as Friendly Visitors to other elderly residents, most notably those who are socially isolated. The RSC serves as the on-site Station Supervisor for this program.

### **ACTIONS TAKEN TO ENCOURAGE PUBLIC HOUSING RESIDENTS TO BECOME MORE INVOLVED IN MANAGEMENT AND PARTICIPATE IN HOMEOWNERSHIP.**

In an effort to address the needs of public housing residents, the Lowell Housing Authority offers its tenants opportunities to become involved in LHA management and policy implementation. LHA also provides a variety of activities aimed at self-sufficiency and homeownership among its residents. These programs are described below:

Increased Resident Participation: Resident participation and engagement are vital elements in the growth and success of the Authority. The LHA continually holds resident meetings at all developments to provide information and receive resident feedback. The meetings are held throughout the year and provide an open forum for residents to voice their concerns. The LHA has several high functioning Tenant Councils that provide information and support to residents, and work with LHA Management to address critical issues. In establishing the agency's Annual Plan, the LHA seeks comments, recommendations and support from the Resident Advisory Board (RAB). The RAB is made up of volunteers who represent the residents within their development. All activities serve to keep our residents better informed and provide the Authority with resident's perspectives on matters of concern. It is our goal to maintain the lines of communication for the betterment of the agency.

Family Self-Sufficiency Program: The Family Self-Sufficiency Program is designed to foster a holistic approach to self-sufficiency and engages with other agencies in the City to offer residents new opportunities for educational, financial and personal development. The premise of the program is that everyone deserves a chance for self-sufficiency, regardless of his or her current skill level, ability or past performance. Some of the provisions administered through the program include: intensive Case Management, resume development, financial literacy education, employment search support, credit repair guidance as well as instruction on nutrition, preventative medical care and healthy living. Referrals are frequently made to the Career Center of Lowell, The Wish Project, Community Teamwork, Inc., Budget Buddies, Middlesex Community College and UMass Lowell to assist in meeting the needs, educational and employment goals of our participants. Through increases in earned income, many families become eligible for an interest-bearing escrow account. This component has allowed numerous LHA families to transition from subsidized housing to homeownership. During 2016, two FSS participants completed their FSS Contract via satisfying their final goal of homeownership. Each participant successfully purchased a single family home within the City of Lowell. It is anticipated that additional families will secure the purchase of single family homes within the final quarter of 2016. We continue to aggressively work towards qualifying additional families for homeownership opportunities on an ongoing basis.

#### Family Self-Sufficiency Program Results through August 2016

- 73 participants currently enrolled in the HCV/PH FSS Program
- In 2016, there have been 6 contract completions
- In 2016, there have been 7 new families enrolled

- 2 participants are enrolled in a GED Program
- 10 participants enrolled in college courses/degree programs in 2016
- In 2016, one participant graduated with a Bachelor's Degree and two participants graduated with Associate's Degrees
- 53 participants currently hold either part-time or full-time employment positions
- Currently, 27 participant head of households who have completed their 2016 Annual Recertification have demonstrated an average increase in earned income of \$9,403.92 since the previous year.
- As of the current time, 27 participants have escrow balances with an average escrow balance of \$5,649.52. All escrow balances total \$259,877.93.
- 27 participants are currently accruing escrow
- All participants are working on Credit Repair
- 2 participants purchased single family homes in 2016
- Many participants have established a goal of Homeownership within their FSS Contract

Homeownership Program: The FSS Department of the LHA is responsible for assisting residents of Public Housing and Section 8 participants through the home buying process. With an exclusive association with the Residents First Development Corporation, a non-profit organization that builds homes for first time homebuyers and the Merrimack Valley Housing Partnership, participants in the program have access to an all-inclusive networking system that allows them to become future homeowners. The LHA covers the cost for each eligible family to complete the First Time Homebuyer's Program as well as offers post-purchase counseling for all clients to ensure long-term success as new homeowners. To date, eighteen families have utilized their Section 8 Voucher towards homeownership. During 2016, one FSS participant purchased a single family home utilizing their Section 8 Voucher.

The River's Edge on the Concord Homebuyer Program provides up to \$2,500 in down payment assistance to LHA residents, Housing Choice Voucher Program Participants, residents of the City of Lowell and veterans. A staff member assists homebuyers at River's Edge and offers guidance throughout the mortgage application process.

### **PUBLIC HOUSING AND RESIDENT INITIATIVES:**

The Lowell Housing Authority continues to offer programs and activities, which help improve the living environment for low- and moderate-income families living in public housing. These activities are summarized below:

After-School Academic/ Summer Recreational Programs: These programs have provided education and guidance to youth of the LHA as well as the surrounding neighborhoods in an effort to promote academic advancement, health and wellness and character development. Together, these programs have been successful in reaching residents in need and in enhancing the overall security and safety at the housing authority sites. During the Summer of 2016, the Summer Recreational program provided approximately 65 participants with exposure to the following programming; swimming, sports, arts and crafts, and weekly reading activities provided by the Pollard Memorial Library as well as a field trip to both a Lowell Spinners Game as well as Canobie Lake Park. Both Summer Program locations are also open meal sites via Project Bread and provide a healthy and balanced lunch to any interested youth under age 18, typically serving over 1,000 lunches during the course of the Summer Program.

The Learning Zone After-School Program: The Learning Zone (North Common Village) serves youth in grades 3-8 from both the North Common Village Public Housing development as well as the surrounding Acre neighborhood. The Learning Zone (George W. Flanagan) serves youth in grades 3-8 from both the George W. Flanagan Public Housing development as well as the surrounding Highlands neighborhood. The overall mission of the Learning Zone is to offer daily tutoring assistance, hands-on activities, critical thinking exercises, informational guest speakers and recreational opportunities to further promote academic success and broaden one's quest for knowledge. Program staff have demonstrated an aptitude to act as a liaison between parents and school staff. Each site is supplied with individual laptops for student usage, a television and DVD player, educational movies, software and books as well as a plethora of school supplies needed to complete daily assignments and projects.

Mastering Math and Reading skills appear to be the greatest challenges faced by students in these programs. Program staff have observed many students who lack basic reading ability, leaving them to experience difficulty in completing assignments due to the inability to read instructions. The language barrier that exists for many of the parents in this segment of the population further impedes their ability to help their children complete work outside of school. The Learning Zone offers many tools to overcome these obstacles to academic success. The increased number of volunteers allows more 1:1 attention to help those experiencing the most difficulty. The Learning Zone staff utilizes educational games and group activities to reinforce learning while still keeping it fun. In addition, guest speakers, presentations and field trips all play a significant role in the promotion of acquiring new knowledge and concepts.

In conclusion, the LHA has found that many parents have developed an active involvement in their children's studies as a result of staff encouragement and support. Since the 2009 inception of the program, we have observed not only improvement in the children's academic progress but most importantly, a strong desire to learn the "why," "what" and "how" of the world around them. It is our hope that by making learning fun, we will instill an interest in the pursuit of higher education and therefore, increased future economic status.

Lowell Public Schools Nutrition Dept: Provides nutritious meals free of charge on a daily basis to Learning Zone After-School Program participants who due to limited family finances and food insecurity, may not always have access to healthy meals.

Pollard Memorial Library: A weekly Reading Program is conducted at the Learning Zone-Salem St. during both the After-School and Summer Youth Activities Programs. The children receive awards as they attain their reading goals.

Angell at Nashoba: The LHA was approached by the MSPCA who was seeking to provide veterinary services to low-income households via their year-round, onsite facility located at Nashoba Technical High School. This has proven to be a great resource for resident pet owners who experience difficulty in affording preventative care for their pets.

Summer & Recreational Opportunities:

*Canobie Lake Park, Salem, NH:* The Lowell Youth Activities Program was able to provide funding towards a Field Trip to Canobie Lake Park for those participants in our Summer Youth Activities Program. Our Project Bread Meal Program sponsor, the Merrimack Valley Food Bank, contributed towards transportation costs via grant-funding they had received.

*Merrimack Valley Food Bank/Project Bread:* Continues to provide the summer meal program to both of our Summer Youth Activities Program sites. The Project Bread Free Summer Lunch Program generally provides over 1,000 lunches between our Salem Street and Chelmsford Street sites via MVFB over 6 weeks.

*Jeanne D'Arc Credit Union:* JDCU presented "Brand Busters," an educational workshop that introduces the marketing concepts behind generic and brand name sales to our Summer Youth Activities Program participants.

*Hannaford Supermarket:* Hannaford Supermarket afforded a "Journey To Wellness" presentation through their local store Dietician. Our youth participated in dialogue surrounding nutrition, lifestyle and exercise as well as made "fruit & yogurt parfaits."

*Coca-Cola New England:* Coca-Cola New England delivered a presentation to educate our youth as to the initiatives they have developed to utilize their trash and waste by donating it to local manufacturing companies which recycle it into usable products.

The Kaitlyn Kazanjian Charitable Foundation provided a 2015 Christmas Party for all children residing within our North Common Village and George W. Flanagan housing developments.



## **Housing Opportunities for Persons with AIDS (HOPWA) Program**

### **Consolidated Annual Performance and Evaluation Report (CAPER) Measuring Performance Outcomes**

Revised 1/22/15

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OMB Number 2506-0133 (Expiration Date: 12/31/2017)

The CAPER report for HOPWA formula grantees provides annual information on program accomplishments that supports program evaluation and the ability to measure program beneficiary outcomes as related to: maintain housing stability; prevent homelessness; and improve access to care and support. This information is also covered under the Consolidated Plan Management Process (CPMP) report and includes Narrative Responses and Performance Charts required under the Consolidated Planning regulations. The public reporting burden for the collection of information is estimated to average 42 hours per manual response, or less if an automated data collection and retrieval system is in use, along with 60 hours for record keeping, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Grantees are required to report on the activities undertaken only, thus there may be components of these reporting requirements that may not be applicable. This agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless that collection displays a valid OMB control number.

**Overview.** The Consolidated Annual Performance and Evaluation Report (CAPER) provides annual performance reporting on client outputs and outcomes that enables an assessment of grantee performance in achieving the housing stability outcome measure. The CAPER, in conjunction with the Integrated Disbursement Information System (IDIS), fulfills statutory and regulatory program reporting requirements and provides the grantee and HUD with the necessary information to assess the overall program performance and accomplishments against planned goals and objectives.

HOPWA formula grantees are required to submit a CAPER, and complete annual performance information for all activities undertaken during each program year in the IDIS, demonstrating coordination with other Consolidated Plan resources. HUD uses the CAPER and IDIS data to obtain essential information on grant activities, project sponsors, Subrecipient organizations, housing sites, units and households, and beneficiaries (which includes racial and ethnic data on program participants). The Consolidated Plan Management Process tool (CPMP) provides an optional tool to integrate the reporting of HOPWA specific activities with other planning and reporting on Consolidated Plan activities.

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**Continued Use Periods.** Grantees that received HOPWA funding for new construction, acquisition, or substantial rehabilitations are required to operate their facilities for HOPWA-eligible beneficiaries for a ten (10) years period. If no further HOPWA funds are used to support the facility, in place of completing Section 7B of the CAPER, the grantee must submit an Annual Certification of Continued Project Operation throughout the required use periods. This certification is included in Part 6 in CAPER. The required use period is three (3) years if the rehabilitation is non-substantial.

In connection with the development of the Department's standards for Homeless Management Information Systems (HMIS), universal data elements are being collected for clients of HOPWA-funded homeless assistance projects. These project sponsor/subrecipient records would include: Name, Social Security Number, Date of Birth, Ethnicity and Race, Gender, Veteran Status, Disabling Conditions, Residence Prior to Program Entry, Zip Code of Last Permanent Address, Housing Status, Program Entry Date, Program Exit Date, Personal Identification Number, and Household Identification Number. These are intended to match the elements under HMIS. The HOPWA program-level data elements include: Income and Sources, Non-Cash Benefits, HIV/AIDS Status, Services Provided, and Housing Status or Destination at the end of the operating year. Other suggested but optional elements are: Physical Disability, Developmental Disability, Chronic Health Condition, Mental Health, Substance Abuse, Domestic Violence, Date of Contact, Date of Engagement, Financial

Assistance, Housing Relocation & Stabilization Services, Employment, Education, General Health Status, , Pregnancy Status, Reasons for Leaving, Veteran's Information, and Children's Education. Other HOPWA projects sponsors may also benefit from collecting these data elements.

**Final Assembly of Report.** After the entire report is assembled, please number each page sequentially.

**Filing Requirements.** Within 90 days of the completion of each program year, grantees must submit their completed CAPER to the CPD Director in the grantee's State or Local HUD Field Office, and to the HOPWA Program Office: at [HOPWA@hud.gov](mailto:HOPWA@hud.gov). Electronic submission to HOPWA Program office is preferred; however, if electronic submission is not possible, hard copies can be mailed to: Office of HIV/AIDS Housing, Room 7212, U.S. Department of Housing and Urban Development, 451 Seventh Street, SW, Washington, D.C.

**Record Keeping.** Names and other individual information must be kept confidential, as required by 24 CFR 574.440. However, HUD reserves the right to review the information used to complete this report for grants management oversight purposes, except for recording any names and other identifying information. In the case that HUD must review client level data, no client names or identifying information will be retained or recorded. Information is reported in aggregate to HUD without personal identification. Do not submit client or personal information in data systems to HUD.

**Definitions**

**Adjustment for Duplication:** Enables the calculation of unduplicated output totals by accounting for the total number of households or units that received more than one type of HOPWA assistance in a given service category such as HOPWA Subsidy Assistance or Supportive Services. For example, if a client household received both TBRA and STRMU during the operating year, report that household in the category of HOPWA Housing Subsidy Assistance in Part 3, Chart 1, Column [1b] in the following manner:

HOPWA Housing Subsidy Assistance		[1] Outputs: Number of Households
1.	Tenant-Based Rental Assistance	1
2a.	Permanent Housing Facilities: Received Operating Subsidies/Leased units	
2b.	Transitional/Short-term Facilities: Received Operating Subsidies	
3a.	Permanent Housing Facilities: Capital Development Projects placed in service during the operating year	
3b.	Transitional/Short-term Facilities: Capital Development Projects placed in service during the operating year	
4.	Short-term Rent, Mortgage, and Utility Assistance	1
5.	Adjustment for duplication (subtract)	1
6.	TOTAL Housing Subsidy Assistance (Sum of Rows 1-4 minus Row 5)	1

**Administrative Costs:** Costs for general management, oversight, coordination, evaluation, and reporting. By statute, grantee administrative costs are limited to 3% of total grant award, to be expended over the life of the grant. Project sponsor administrative costs are limited to 7% of the portion of the grant amount they receive.

**Beneficiary(ies):** All members of a household who received HOPWA assistance during the operating year including the one individual who qualified the household for HOPWA assistance as well as any other members of the household (with or without HIV) who benefitted from the assistance.

**Central Contractor Registration (CCR):** The primary registrant database for the U.S. Federal Government. CCR collects, validates, stores, and disseminates data in support of agency acquisition missions, including Federal agency contract and assistance awards. Both current and potential federal government registrants (grantees) are required to register in CCR in order to be awarded contracts by the federal government. Registrants must update or renew their registration at least once per year to maintain an active status. Although recipients of direct federal contracts and grant awards have been required to be registered with CCR since 2003, this requirement is now being extended to indirect recipients of federal funds with the passage of ARRA (American Recovery and Reinvestment Act). Per ARRA and FFATA (Federal Funding Accountability and Transparency Act) federal regulations, all grantees and sub-grantees or subcontractors receiving federal grant awards or contracts must have a DUNS (Data Universal Numbering System) Number.

**Chronically Homeless Person:** An individual or family who: (i) is homeless and lives or resides individual or family who: (i) Is homeless and lives or resides in a place not meant for human habitation, a safe haven, or in an emergency shelter; (ii) has been homeless and living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter continuously for at least 1 year or on at least 4 separate occasions in the last 3 years; and (iii) has an adult head of household (or a minor head of household if no adult is present in the household) with a diagnosable substance use disorder, serious mental illness, developmental disability (as defined in section 102 of the Developmental Disabilities Assistance and Bill of Rights Act of 2000 (42 U.S.C. 15002)), post traumatic stress disorder, cognitive impairments resulting from a brain injury, or chronic physical illness or disability, including the co-occurrence of 2 or more of those conditions. Additionally, the statutory definition includes as chronically homeless a person who currently lives or resides in an institutional care facility, including a jail, substance abuse or mental health treatment facility, hospital or other similar facility, and has resided there for fewer than 90 days if such person met the other criteria for homeless prior to entering that facility. (See 42 U.S.C. 11360(2)) This does not include doubled-up or overcrowding situations.

**Disabling Condition:** Evidencing a diagnosable substance use disorder, serious mental illness, developmental disability, chronic physical illness, or disability, including the co-occurrence of two or more of these conditions. In addition, a disabling condition may limit an individual's ability to work or perform one or more activities of daily living. An HIV/AIDS diagnosis is considered a disabling condition.

**Facility-Based Housing Assistance:** All eligible HOPWA Housing expenditures for or associated with supporting facilities including community residences, SRO dwellings, short-term facilities, project-based rental units, master leased units, and other housing facilities approved by HUD.

**Faith-Based Organization:** Religious organizations of three types: (1) congregations; (2) national networks, which include national denominations, their social service arms (for example, Catholic Charities, Lutheran Social Services), and networks of related organizations (such as YMCA and YWCA); and (3) freestanding religious organizations, which are incorporated separately from congregations and national networks.

**Grassroots Organization:** An organization headquartered in the local community where it provides services; has a social services budget of \$300,000 or less annually, and six or fewer full-time equivalent employees. Local affiliates of national organizations are not considered

"grassroots."

**HOPWA Eligible Individual:** The one (1) low-income person with HIV/AIDS who qualifies a household for HOPWA assistance. This person may be considered "Head of Household." When the CAPER asks for information on eligible individuals, report on this individual person only. Where there is more than one person with HIV/AIDS in the household, the additional PWH/A(s), would be considered a beneficiary(s).

**HOPWA Housing Information Services:** Services dedicated to helping persons living with HIV/AIDS and their families to identify, locate, and acquire housing. This may also include fair housing counseling for eligible persons who may encounter discrimination based on race, color, religion, sex, age, national origin, familial status, or handicap/disability.

**HOPWA Housing Subsidy Assistance Total:** The unduplicated number of households receiving housing subsidies (TBRA, STRMU, Permanent Housing Placement services and Master Leasing) and/or residing in units of facilities dedicated to persons living with HIV/AIDS and their families and supported with HOPWA funds during the operating year.

**Household:** A single individual or a family composed of two or more persons for which household incomes are used to determine eligibility and for calculation of the resident rent payment. The term is used for collecting data on changes in income, changes in access to services, receipt of housing information services, and outcomes on achieving housing stability. Live-In Aides (see definition for Live-In Aide) and non-beneficiaries (e.g. a shared housing arrangement with a roommate) who resided in the unit are not reported on in the CAPER.

**Housing Stability:** The degree to which the HOPWA project assisted beneficiaries to remain in stable housing during the operating year. See *Part 5: Determining Housing Stability Outcomes* for definitions of stable and unstable housing situations.

**In-kind Leveraged Resources:** These involve additional types of support provided to assist HOPWA beneficiaries such as volunteer services, materials, use of equipment and building space. The actual value of the support can be the contribution of professional services, based on customary rates for this specialized support, or actual costs contributed from other leveraged resources. In determining a rate for the contribution of volunteer time and services, use the rate established in HUD notices, such as the rate of ten dollars per hour. The value of any donated material, equipment, building, or lease should be based on the fair market value at time of donation. Related documentation can be from recent bills of sales, advertised prices, appraisals, or other information for comparable property similarly situated.

**Leveraged Funds:** The amount of funds expended during the operating year from non-HOPWA federal, state, local, and private sources by grantees or sponsors in dedicating assistance to this client population. Leveraged funds or other assistance are used directly in or in support of HOPWA program delivery.

**Live-In Aide:** A person who resides with the HOPWA Eligible Individual and who meets the following criteria: (1) is essential to the care and well-being of the person; (2) is not obligated for the support of the person; and (3) would not be living in the unit except to provide the necessary supportive services. See *the Code of Federal Regulations Title 24, Part 5.403 and the HOPWA Grantee Oversight Resource Guide for additional reference.*

**Master Leasing:** Applies to a nonprofit or public agency that leases units of housing (scattered-sites or entire buildings) from a landlord, and subleases the units to homeless or low-income tenants. By assuming the tenancy burden, the agency facilitates housing of clients who may not be able to maintain a lease on their own due to poor credit, evictions, or lack of sufficient income.

**Operating Costs:** Applies to facility-based housing only, for facilities that are currently open. Operating costs can include day-to-day housing

function and operation costs like utilities, maintenance, equipment, insurance, security, furnishings, supplies and salary for staff costs directly related to the housing project but not staff costs for delivering services.

**Outcome:** The degree to which the HOPWA assisted household has been enabled to establish or maintain a stable living environment in housing that is safe, decent, and sanitary, (per the regulations at 24 CFR 574.310(b)) and to reduce the risks of homelessness, and improve access to HIV treatment and other health care and support.

**Output:** The number of units of housing or households that receive HOPWA assistance during the operating year.

**Permanent Housing Placement:** A supportive housing service that helps establish the household in the housing unit, including but not limited to reasonable costs for security deposits not to exceed two months of rent costs.

**Program Income:** Gross income directly generated from the use of HOPWA funds, including repayments. See grant administration requirements on program income for state and local governments at 24 CFR 85.25, or for non-profits at 24 CFR 84.24.

**Project-Based Rental Assistance (PBRA):** A rental subsidy program that is tied to specific facilities or units owned or controlled by a project sponsor or Subrecipient. Assistance is tied directly to the properties and is not portable or transferable.

**Project Sponsor Organizations:** Any nonprofit organization or governmental housing agency that receives funds under a contract with the grantee to provide eligible housing and other support services or administrative services as defined in 24 CFR 574.300. Project Sponsor organizations are required to provide performance data on households served and funds expended. Funding flows to a project sponsor as follows:

HUD Funding → Grantee → Project Sponsor

**Short-Term Rent, Mortgage, and Utility (STRMU) Assistance:** A time-limited, housing subsidy assistance designed to prevent homelessness and increase housing stability. Grantees may provide assistance for up to 21 weeks in any 52 week period. The amount of assistance varies per client depending on funds available, tenant need and program guidelines.

**Stewardship Units:** Units developed with HOPWA, where HOPWA funds were used for acquisition, new construction and rehabilitation that no longer receive operating subsidies from HOPWA. Report information for the units is subject to the three-year use agreement if rehabilitation is non-substantial and to the ten-year use agreement if rehabilitation is substantial.

**Subrecipient Organization:** Any organization that receives funds from a project sponsor to provide eligible housing and other support services and/or administrative services as defined in 24 CFR 574.300. If a subrecipient organization provides housing and/or other supportive services directly to clients, the subrecipient organization must provide performance data on household served and funds expended. Funding flows to subrecipients as follows:

HUD Funding → Grantee → Project Sponsor → Subrecipient

**Tenant-Based Rental Assistance (TBRA):** TBRA is a rental subsidy program similar to the Housing Choice Voucher program that grantees can provide to help low-income households access affordable housing. The TBRA voucher is not tied to a specific unit, so tenants may move to a different unit without losing their assistance, subject to individual program rules. The subsidy amount is determined in part based on household income and rental costs associated with the tenant's lease.

**Transgender:** Transgender is defined as a person who identifies with, or presents as, a gender that is different from his/her gender at birth.

**Veteran:** A veteran is someone who has served on active duty in the Armed Forces of the United States. This does not include inactive military reserves or the National Guard unless the person was called up to active duty.

**Housing Opportunities for Person with AIDS (HOPWA)  
Consolidated Annual Performance and Evaluation Report (CAPER)  
Measuring Performance Outputs and Outcomes**

OMB Number 2506-0133 (Expiration Date: 10/31/2017)

**Part 1: Grantee Executive Summary**

As applicable, complete the charts below to provide more detailed information about the agencies and organizations responsible for the administration and implementation of the HOPWA program. Chart 1 requests general Grantee Information and Chart 2 is to be completed for each organization selected or designated as a project sponsor, as defined by CFR 574.3. In Chart 3, indicate each subrecipient organization with a contract/agreement of \$25,000 or greater that assists grantees or project sponsors carrying out their administrative or evaluation activities. In Chart 4, indicate each subrecipient organization with a contract/agreement to provide HOPWA-funded services to client households. These elements address requirements in the Federal Funding and Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Please see the definition section for distinctions between project sponsor and subrecipient.*

*Note: If any information does not apply to your organization, please enter N/A. Do not leave any section blank.*

**1. Grantee Information**

HUD Grant Number MAH13F003		Operating Year for this report From (mm/dd/yy) 07/01/2015 To (mm/dd/yy) 06/30/2016			
Grantee Name City of Lowell, Massachusetts					
Business Address		50 Arcand Drive			
City, County, State, Zip		Lowell	Middlesex	MA	01852
Employer Identification Number (EIN) or Tax Identification Number (TIN)		046001396			
DUN & Bradstreet Number (DUNs):		079521928	Central Contractor Registration (CCR): Is the grantee's CCR status currently active? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If yes, provide CCR Number:		
Congressional District of Grantee's Business Address		3			
*Congressional District of Primary Service Area(s)					
*City(ies) and County(ies) of Primary Service Area(s)		Cities:		Counties:	
Organization's Website Address LowellMA.gov		Is there a waiting list(s) for HOPWA Housing Subsidy Assistance Services in the Grantee service Area? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes, explain in the narrative section what services maintain a waiting list and how this list is administered.			

\* Service delivery area information only needed for program activities being directly carried out by the grantee.

**2. Project Sponsor Information**

Please complete Chart 2 for each organization designated or selected to serve as a project sponsor, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Please see the definitions for distinctions between project sponsor and subrecipient.*

*Note: If any information does not apply to your organization, please enter N/A.*

Project Sponsor Agency Name AIDS Action Committee		Parent Company Name, if applicable NA	
Name and Title of Contact at Project Sponsor Agency Brenda Cassidy, Director of Client Services			
Email Address bcassidy@aac.org			
Business Address 75 Amory St.			
City, County, State, Zip, Boston MA 02119			
Phone Number (with area code) 617-450-1027		Phone Number (with area code)	
Employer Identification Number (EIN) or Tax Identification Number (TIN) 222-707-246		Employer Identification Number (EIN) or Tax Identification Number (TIN)	
DUN & Bradstreet Number (DUNs): 186838694			
Congressional District of Project Sponsor's Business Address 8			
Congressional District(s) of Primary Service Area(s) 3			
City(ies) and County(ies) of Primary Service Area(s) Cities: Cambridge		City(ies) and County(ies) of Primary Service Area(s)	
Total HOPWA contract amount for this Organization for the operating year \$55,058			
Organization's Website Address aac.org			
Is the sponsor a nonprofit organization? x Yes <input type="checkbox"/> No <i>Please check if yes and a faith-based organization.</i> <input type="checkbox"/> <i>Please check if yes and a grassroots organization.</i>		Does your organization maintain a waiting list? x Yes <input type="checkbox"/> No  If yes, explain in the narrative section how this list is administered.	

## 2. Project Sponsor Information

Please complete Chart 2 for each organization designated or selected to serve as a project sponsor, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Please see the definitions for distinctions between project sponsor and subrecipient.*

*Note: If any information does not apply to your organization, please enter N/A.*

Project Sponsor Agency Name AIDS Action Committee		Parent Company Name, if applicable NA			
Name and Title of Contact at Project Sponsor Agency Brenda Cassidy, Director of Client Services					
Email Address bcassidy@aac.org					
Business Address 75 Amory St.					
City, County, State, Zip, Boston MA 02119					
Phone Number (with area code) 617-450-1027	Phone Number (with area code) 617-450-1027	Phone Number (with area code) 617-450-1027	Phone Number (with area code)		
Employer Identification Number (EIN) or Tax Identification Number (TIN) 222-707-246		Employer Identification Number (EIN) or Tax Identification Number (TIN)			
DUN & Bradstreet Number (DUNs): 186838694					
Congressional District of Project Sponsor's Business Address 8					
Congressional District(s) of Primary Service Area(s) 3					
City(ies) and County(ies) of Primary Service Area(s) Cities: Cambridge, Lowell, Malden, Medford, Everett		City(ies) and County(ies) of Primary Service Area(s): Middlesex County			
Total HOPWA contract amount for this Organization for the operating year \$90,000					
Organization's Website Address aac.org					
Is the sponsor a nonprofit organization? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>Please check if yes and a faith-based organization.</i> <input type="checkbox"/> <i>Please check if yes and a grassroots organization.</i>		Does your organization maintain a waiting list? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  If yes, explain in the narrative section how this list is administered.			

**2. Project Sponsor Information**

Please complete Chart 2 for each organization designated or selected to serve as a project sponsor, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Please see the definitions for distinctions between project sponsor and subrecipient.*

*Note: If any information does not apply to your organization, please enter N/A.*

Project Sponsor Agency Name Institute for Health and Recovery		Parent Company Name, if applicable	
Name and Title of Contact at Project Sponsor Agency Norma Finkelstein, Executive Director			
Email Address normafinkelstein@healthrecovery.org			
Business Address 349 Broadway			
City, County, State, Zip, Cambridge, Middlesex, MA, 02139			
Phone Number (with area code) 617-661-3991			
Employer Identification Number (EIN) or Tax Identification Number (TIN) 04-3086647		Fax Number (with area code) 617-661-7277	
DUN & Bradstreet Number (DUNs): 82-837-2573			
Congressional District of Project Sponsor's Business Address 7th			
Congressional District(s) of Primary Service Area(s) 5th			
City(ies) and County(ies) of Primary Service Area(s) Cities: Lawrence/Lowell		Counties: Essex	
Total HOPWA contract amount for this Organization for the operating year \$50,270			
Organization's Website Address www.healthrecovery.org			
Is the sponsor a nonprofit organization? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  Please check if yes and a faith-based organization. <input type="checkbox"/> Please check if yes and a grassroots organization. <input type="checkbox"/>		Does your organization maintain a waiting list? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  If yes, explain in the narrative section how this list is administered.	

**2. Project Sponsor Information**

Please complete Chart 2 for each organization designated or selected to serve as a project sponsor, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Please see the definitions for distinctions between project sponsor and subrecipient.*

*Note: If any information does not apply to your organization, please enter N/A.*

Project Sponsor Agency Name Lowell Housing Authority		Parent Company Name, if applicable Lowell Housing Authority		
Name and Title of Contact at Project Sponsor Agency Tha Chhan Division Director of Leased Housing Programs				
Email Address tchann@lhma.org				
Business Address 350 Moody Street				
Phone Number (with area code) 978-364-5353				
City, State, Zip, County Lowell		Ma	01853	Middlesex
Employer Identification Number (EIN) or Tax Identification Number (TIN) 04-6003186		Fax Number (with area code) 978-453-6432		
DUN & Bradstreet Number (DUNs): 08-1578155				
Congressional District of Project Sponsor's Business Address 5th District 126 John Street # 12 Lowell, MA 01852				
Congressional District(s) of Primary Service Area(s) 126 John Street # 12 Lowell, MA 01852				
City(ies) and County(ies) of Primary Service Area(s) Cities: Lowell		Counties: Middlesex		
Total HOPWA contract amount for this Organization for the operating year \$100,000.00				
Organization's Website Address Lhma.org				
Is the sponsor a nonprofit organization? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  Please check if yes and a faith-based organization. <input type="checkbox"/> Please check if yes and a grassroots organization. <input type="checkbox"/>		Does your organization maintain a waiting list? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  If yes, explain in the narrative section how this list is administered. Applicants are placed on the waiting list based on first come first serve, income guideline, preferences and other criteria. Applicants must meet the definition for chronically homeless and HIV/Aids and referred by Carino HIV/Aids Services at the Lowell Community Health Center. The waiting list is maintained at the Lowell Housing Authority, Division of Leased Housing Programs, 350 Moody Street, Lowell, MA 01854		



**2. Project Sponsor Information**

Please complete Chart 2 for each organization designated or selected to serve as a project sponsor, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Please see the definitions for distinctions between project sponsor and subrecipient.*

*Note: If any information does not apply to your organization, please enter N/A.*

Project Sponsor Agency Name Lowell House, Inc.		Parent Company Name, if applicable	
Name and Title of Contact at Project Sponsor Agency	Jennifer Rivera, Support Services Coordinator for the HOPWA Program		
Email Address	jrivera@lowellhouseinc.org		
Business Address	555 Merrimack Street		
City, County, State, Zip,	Lowell, MA. 01854		
Phone Number (with area code)	978-459-8656	Ext. 123	
Employer Identification Number (EIN) or Tax Identification Number (TIN)	23-7110106	Fax Number (with area code) 978-937-2559	
DUN & Bradstreet Number (DUNs):	780891057		
Congressional District of Project Sponsor's Business Address			
Congressional District(s) of Primary Service Area(s)			
City(ies) and County(ies) of Primary Service Area(s)	Cities: Greater Lowell Area	Counties: Middlesex County	
Total HOPWA contract amount for this Organization for the operating year	118,930.00		
Organization's Website Address	Lowellhouseinc.org		
Is the sponsor a nonprofit organization? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>Please check if yes and a faith-based organization.</i> <input type="checkbox"/> <i>Please check if yes and a grassroots organization.</i> <input type="checkbox"/>	Does your organization maintain a waiting list? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  If yes, explain in the narrative section how this list is administered.		



**2. Project Sponsor Information**

Please complete Chart 2 for each organization designated or selected to serve as a project sponsor, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Please see the definitions for distinctions between project sponsor and subrecipient.*

*Note: If any information does not apply to your organization, please enter N/A.*

Project Sponsor Agency Name Victory Programs, Inc.		Parent Company Name, if applicable Victory Programs, Inc.	
Name and Title of Contact at Project Sponsor Agency		Tammy Simmons Dixon, Director of Victory Housing	
Email Address		tdixon@vpi.org	
Business Address		965 Massachusetts Ave	
City, County, State, Zip,		Boston, Suffolk, MA, 02118	
Phone Number (with area code)		617-541-0222	
Employer Identification Number (EIN) or Tax Identification Number (TIN)		042575322	Fax Number (with area code) 617-541-0040
DUN & Bradstreet Number (DUNs):		79-727-6326	
Congressional District of Project Sponsor's Business Address		7 <sup>th</sup>	
Congressional District(s) of Primary Service Area(s)		8 <sup>th</sup>	
City(ies) and County(ies) of Primary Service Area(s)		Cities: Cambridge	Counties: Middlesex
Total HOPWA contract amount for this Organization for the operating year		\$43,869	
Organization's Website Address		www.vpi.org	
Is the sponsor a nonprofit organization? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>Please check if yes and a faith-based organization.</i> <input type="checkbox"/> <i>Please check if yes and a grassroots organization.</i> <input type="checkbox"/>		Does your organization maintain a waiting list? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  If yes, explain in the narrative section how this list is administered.	

**2. Project Sponsor Information**

Please complete Chart 2 for each organization designated or selected to serve as a project sponsor, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Please see the definitions for distinctions between project sponsor and subrecipient.*

*Note: If any information does not apply to your organization, please enter N/A.*

Project Sponsor Agency Name Justice Resource Institute				
Name and Title of Contact at Project Sponsor Agency	Susan Buoncuore, Director of JRI Health Housing Program			
Email Address	sbuoncuore@jri.org			
Business Address	75 Amory Street			
City, County, State, Zip,	Boston/Suffolk County/MA/02119			
Phone Number (with area code)	857	399	1915	2424
Employer Identification Number (EIN) or Tax Identification Number (TIN)	04-2526357		Fax Number (with area code) 857-399-1901	
DUN & Bradstreet Number (DUNs):	0765646			
Congressional District of Project Sponsor's Business Address	8 <sup>th</sup> Congressional District			
Congressional District(s) of Primary Service Area(s)	3 <sup>th</sup> Congressional District			
City(ies) and County(ies) of Primary Service Area(s)	Cities: Lowell, Framingham, Cambridge, Medford, Everett, Watertown, Woburn, Malden, Somerville, Arlington, Waltham		Counties: Middlesex County	
Total HOPWA contract amount for this Organization for the operating year	\$224,303			
Organization's Website Address	JRI.org			
Is the sponsor a nonprofit organization? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>Please check if yes and a faith-based organization.</i> <input type="checkbox"/> <i>Please check if yes and a grassroots organization.</i> <input type="checkbox"/>	Does your organization maintain a waiting list? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  If yes, explain in the narrative section how this list is administered.			

**3. Administrative Subrecipient Information**

Use Chart 3 to provide the following information for each subrecipient with a contract/agreement of \$25,000 or greater that assists project sponsors to carry out their administrative services but no services directly to client households. Agreements include: grants, subgrants, loans, awards, cooperative agreements, and other forms of financial assistance; and contracts, subcontracts, purchase orders, task orders, and delivery orders. (Organizations listed may have contracts with project sponsors) These elements address requirements in the Federal Funding and Accountability and Transparency Act of 2006 (Public Law 109-282).

*Note: Please see the definitions for distinctions between project sponsor and subrecipient.*

*Note: If any information does not apply to your organization, please enter N/A.*

Subrecipient Name				Parent Company Name, if applicable
Name and Title of Contact at Subrecipient				
Email Address				
Business Address				
City, State, Zip, County				
Phone Number (with area code)			Fax Number (include area code)	
Employer Identification Number (EIN) or Tax Identification Number (TIN)				
DUN & Bradstreet Number (DUNs):				
North American Industry Classification System (NAICS) Code				
Congressional District of Subrecipient's Business Address				
Congressional District of Primary Service Area				
City (ies) and County (ies) of Primary Service Area(s)	Cities:		Counties:	
Total HOPWA Subcontract Amount of this Organization for the operating year				

**4. Program Subrecipient Information**

Complete the following information for each subrecipient organization providing HOPWA-funded services to client households. These organizations would hold a contract/agreement with a project sponsor(s) to provide these services. For example, a subrecipient organization may receive funds from a project sponsor to provide nutritional services for clients residing within a HOPWA facility-based housing program. Please note that subrecipients who work directly with client households must provide performance data for the grantee to include in Parts 2-7 of the CAPER.

*Note: Please see the definition of a subrecipient for more information.*

*Note: Types of contracts/agreements may include: grants, sub-grants, loans, awards, cooperative agreements, and other forms of financial assistance; and contracts, subcontracts, purchase orders, task orders, and delivery orders.*

*Note: If any information is not applicable to the organization, please report N/A in the appropriate box. Do not leave boxes blank.*

Sub-recipient Name				Parent Company Name, if applicable
Name and Title of Contact at Contractor/ Sub-contractor Agency				
Email Address				
Business Address				
City, County, State, Zip				
Phone Number (include area code)			Fax Number (include area code)	
Employer Identification Number (EIN) or Tax Identification Number (TIN)				
DUN & Bradstreet Number (DUNS)				
North American Industry Classification System (NAICS) Code				
Congressional District of the Sub-recipient's Business Address				
Congressional District(s) of Primary Service Area				
City(ies) and County(ies) of Primary Service Area	Cities:		Counties:	
Total HOPWA Subcontract Amount of this Organization for the operating year				

**5. Grantee Narrative and Performance Assessment**

**a. Grantee and Community Overview**

Provide a one to three page narrative summarizing major achievements and highlights that were proposed and completed during the program year. Include a brief description of the grant organization, area of service, the name(s) of the program contact(s), and an overview of the range/type of housing activities provided. This overview may be used for public information, including posting on HUD’s website. *Note: Text fields are expandable.*

See attached

**b. Annual Performance under the Action Plan**

Provide a narrative addressing each of the following four items:

**1. Outputs Reported.** Describe significant accomplishments or challenges in achieving the number of housing units supported and the number households assisted with HOPWA funds during this operating year compared to plans for this assistance, as approved in the Consolidated Plan/Action Plan. Describe how HOPWA funds were distributed during your program year among different categories of housing and geographic areas to address needs throughout the grant service area, consistent with approved plans.

See attached

**2. Outcomes Assessed.** Assess your program’s success in enabling HOPWA beneficiaries to establish and/or better maintain a stable living environment in housing that is safe, decent, and sanitary, and improve access to care. Compare current year results to baseline results for clients. Describe how program activities/projects contributed to meeting stated goals. If program did not achieve expected targets, please describe how your program plans to address challenges in program implementation and the steps currently being taken to achieve goals in next operating year. If your program exceeded program targets, please describe strategies the program utilized and how those contributed to program successes.

See attached

**3. Coordination.** Report on program coordination with other mainstream housing and supportive services resources, including the use of committed leveraging from other public and private sources that helped to address needs for eligible persons identified in the Consolidated Plan/Strategic Plan.

See attached

**4. Technical Assistance.** Describe any program technical assistance needs and how they would benefit program beneficiaries.

See attached

**c. Barriers and Trends Overview**

Provide a narrative addressing items 1 through 3. Explain how barriers and trends affected your program’s ability to achieve the objectives and outcomes discussed in the previous section.

1. Describe any barriers (including regulatory and non-regulatory) encountered in the administration or implementation of the HOPWA program, how they affected your program’s ability to achieve the objectives and outcomes discussed, and, actions taken in response to barriers, and recommendations for program improvement. Provide an explanation for each barrier selected.

<input type="checkbox"/> HOPWA/HUD Regulations	<input type="checkbox"/> Planning	<input type="checkbox"/> Housing Availability	<input type="checkbox"/> Rent Determination and Fair Market Rents
<input type="checkbox"/> Discrimination/Confidentiality	<input type="checkbox"/> Multiple Diagnoses	<input type="checkbox"/> Eligibility	<input type="checkbox"/> Technical Assistance or Training
<input type="checkbox"/> Supportive Services	<input type="checkbox"/> Credit History	<input type="checkbox"/> Rental History	<input type="checkbox"/> Criminal Justice History
<input type="checkbox"/> Housing Affordability	<input type="checkbox"/> Geography/Rural Access	<input type="checkbox"/> Other, please explain further	

2. Describe any trends in the community that may affect the way in which the needs of persons living with HIV/AIDS are being addressed, and provide any other information important to the future provision of services to this population.

See attached

3. Identify any evaluations, studies, or other assessments of the HOPWA program that are available to the public.

See attached

**d. Unmet Housing Needs: An Assessment of Unmet Housing Needs**

In Chart 1, provide an assessment of the number of HOPWA-eligible households that require HOPWA housing subsidy assistance but are not currently served by any HOPWA-funded housing subsidy assistance in this service area.

In Row 1, report the total unmet need of the geographical service area, as reported in *Unmet Needs for Persons with HIV/AIDS*, Chart 1B of the Consolidated or Annual Plan(s), or as reported under HOPWA worksheet in the Needs Workbook of the Consolidated Planning Management Process (CPMP) tool.

*Note: Report most current data available, through Consolidated or Annual Plan(s), and account for local housing issues, or changes in HIV/AIDS cases, by using combination of one or more of the sources in Chart 2.*

If data is collected on the type of housing that is needed in Rows a. through c., enter the number of HOPWA-eligible households by type of housing subsidy assistance needed. For an approximate breakdown of overall unmet need by type of housing subsidy assistance refer to the Consolidated or Annual Plan (s), CPMP tool or local distribution of funds. Do not include clients who are already receiving HOPWA-funded housing subsidy assistance.

Refer to Chart 2, and check all sources consulted to calculate unmet need. Reference any data from neighboring states' or municipalities' Consolidated Plan or other planning efforts that informed the assessment of Unmet Need in your service area.

*Note: In order to ensure that the unmet need assessment for the region is comprehensive, HOPWA formula grantees should include those unmet needs assessed by HOPWA competitive grantees operating within the service area.*

**1. Planning Estimate of Area's Unmet Needs for HOPWA-Eligible Households**

1. Total number of households that have unmet housing subsidy assistance need.	
2. From the total reported in Row 1, identify the number of households with unmet housing needs by type of housing subsidy assistance:  a. Tenant-Based Rental Assistance (TBRA)  b. Short-Term Rent, Mortgage and Utility payments (STRMU) <ul style="list-style-type: none"> <li>• Assistance with rental costs</li> <li>• Assistance with mortgage payments</li> <li>• Assistance with utility costs.</li> </ul> c. Housing Facilities, such as community residences, SRO dwellings, other housing facilities	

**2. Recommended Data Sources for Assessing Unmet Need (check all sources used)**

X	= Data as reported in the area Consolidated Plan, e.g. Table 1B, CPMP charts, and related narratives
	= Data established by area HIV/AIDS housing planning and coordination efforts, e.g. Continuum of Care
	= Data from client information provided in Homeless Management Information Systems (HMIS)
	= Data from project sponsors or housing providers, including waiting lists for assistance or other assessments on need including those completed by HOPWA competitive grantees operating in the region.
	= Data from prisons or jails on persons being discharged with HIV/AIDS, if mandatory testing is conducted
	= Data from local Ryan White Planning Councils or reported in CARE Act Data Reports, e.g. number of clients with permanent housing
	= Data collected for HIV/AIDS surveillance reporting or other health assessments, e.g. local health department or CDC surveillance data

**End of PART 1**

**PART 2: Sources of Leveraging and Program Income**

**I. Sources of Leveraging**

Report the source(s) of cash or in-kind leveraged federal, state, local or private resources identified in the Consolidated or Annual Plan and used in the delivery of the HOPWA program and the amount of leveraged dollars. In Column [1], identify the type of leveraging. Some common sources of leveraged funds have been provided as a reference point. You may add Rows as necessary to report all sources of leveraged funds. Include Resident Rent payments paid by clients directly to private landlords. Do NOT include rents paid directly to a HOPWA program as this will be reported in the next section. In Column [2] report the amount of leveraged funds expended during the operating year. Use Column [3] to provide some detail about the type of leveraged contribution (e.g., case management services or clothing donations). In Column [4], check the appropriate box to indicate whether the leveraged contribution was a housing subsidy assistance or another form of support.

*Note: Be sure to report on the number of households supported with these leveraged funds in Part 3, Chart 1, Column d.*

**A. Source of Leveraging Chart**

[1] Source of Leveraging	[2] Amount of Leveraged Funds	[3] Type of Contribution	[4] Housing Subsidy Assistance or Other Support
Public Funding			
Ryan White-Housing Assistance	800,000	Rental & Utilities Assistance	<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Ryan White-Other	25,000	Peer Support	<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Housing Choice Voucher Program			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Low Income Housing Tax Credit			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
HOME			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Shelter Plus Care			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Emergency Solutions Grant			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public: MA Dept of Public Health HIV/AIDS Bureau	65,000	Medical Case Management	<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public: State Rental Assistance	50,904		<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public: DPH	1,242,563	Case management, legal, housing search, rent & utilities	<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public:	10,800	Transportation	<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public:			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Private Funding			
Grants	17,559	AAC, RSP/HPP/UAP	<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support

In-kind Resources	6,450	Clothing, Household Goods	<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Private:	130,000	Mental Health, Check in Volunteers	<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Private:	17,136	Tenant Rents	<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Funding			
Grantee/Project Sponsor/Subrecipient (Agency) Cash			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Resident Rent Payments by Client to Private Landlord	25,000		
<b>TOTAL (Sum of all Rows)</b>	<b>2,390,412</b>		

**2. Program Income and Resident Rent Payments**

In Section 2, Chart A., report the total amount of program income and resident rent payments directly generated from the use of HOPWA funds, including repayments. Include resident rent payments collected or paid directly to the HOPWA program. Do NOT include payments made directly from a client household to a private landlord.

*Note: Please see report directions section for definition of program income. (Additional information on program income is available in the HOPWA Grantee Oversight Resource Guide).*

**A. Total Amount Program Income and Resident Rent Payment Collected During the Operating Year**

Program Income and Resident Rent Payments Collected		Total Amount of Program Income (for this operating year)
1.	Program income (e.g. repayments)	
2.	Resident Rent Payments made directly to HOPWA Program	
3.	Total Program Income and Resident Rent Payments (Sum of Rows 1 and 2)	

**B. Program Income and Resident Rent Payments Expended To Assist HOPWA Households**

In Chart B, report on the total program income and resident rent payments (as reported above in Chart A) expended during the operating year. Use Row 1 to report Program Income and Resident Rent Payments expended on Housing Subsidy Assistance Programs (i.e., TBRA, STRMU, PHP, Master Leased Units, and Facility-Based Housing). Use Row 2 to report on the Program Income and Resident Rent Payment expended on Supportive Services and other non-direct Housing Costs.

Program Income and Resident Rent Payment Expended on HOPWA programs		Total Amount of Program Income Expended (for this operating year)
1.	Program Income and Resident Rent Payment Expended on Housing Subsidy Assistance costs	
2.	Program Income and Resident Rent Payment Expended on Supportive Services and other non-direct housing costs	
3.	Total Program Income Expended (Sum of Rows 1 and 2)	

End of PART 2

**PART 3: Accomplishment Data Planned Goal and Actual Outputs**

In Chart 1, enter performance information (goals and actual outputs) for all activities undertaken during the operating year supported with HOPWA funds. Performance is measured by the number of households and units of housing that were supported with HOPWA or other federal, state, local, or private funds for the purposes of providing housing assistance and support to persons living with HIV/AIDS and their families.

*Note: The total households assisted with HOPWA funds and reported in PART 3 of the CAPER should be the same as reported in the annual year-end IDIS data, and goals reported should be consistent with the Annual Plan information. Any discrepancies or deviations should be explained in the narrative section of PART 1.*

**1. HOPWA Performance Planned Goal and Actual Outputs**

HOPWA Performance Planned Goal and Actual		[1] Output: Households				[2] Output: Funding	
		HOPWA Assistance		Leveraged Households		HOPWA Funds	
		a.	b.	c.	d.	e.	f.
		Goal	Actual	Goal	Actual	HOPWA Budget	HOPWA Actual
<b>HOPWA Housing Subsidy Assistance</b>		<b>[1] Output: Households</b>				<b>[2] Output: Funding</b>	
1.	Tenant-Based Rental Assistance	29	26	19	12	311,616.68	211,929.00
2a.	Permanent Housing Facilities: Received Operating Subsidies/Leased units (Households Served)						
2b.	Transitional/Short-term Facilities: Received Operating Subsidies/Leased units (Households Served)						
3a.	Permanent Housing Facilities: Capital Development Projects placed in service during the operating year (Households Served)						
3b.	Transitional/Short-term Facilities: Capital Development Projects placed in service during the operating year (Households Served)						
4.	Short-Term Rent, Mortgage and Utility Assistance	2	6			13,292.30	3,866.00
5.	Permanent Housing Placement Services	20	13			11,971.91	4,669.94
6.	Adjustments for duplication (subtract)						
7.	<b>Total HOPWA Housing Subsidy Assistance</b> (Columns a. – d. equal the sum of Rows 1-5 minus Row 6; Columns e. and f. equal the sum of Rows 1-5)	51	45	19	12	336,880.89	226,464.94
<b>Housing Development (Construction and Stewardship of facility based housing)</b>		<b>[1] Output: Housing Units</b>				<b>[2] Output: Funding</b>	
8.	Facility-based units; Capital Development Projects not yet opened (Housing Units)						
9.	Stewardship Units subject to 3 or 10 year use agreements						
10.	<b>Total Housing Developed</b> (Sum of Rows 8 & 9)						
<b>Supportive Services</b>		<b>[1] Output Households</b>				<b>[2] Output: Funding</b>	
11a.	Supportive Services provided by project sponsors/subrecipient that also delivered HOPWA housing subsidy assistance	70	52			52,215.00	52,215.00
11b.	Supportive Services provided by project sponsors/subrecipient that only provided supportive services.	145	136			254,559.77	241,965.81
12.	Adjustment for duplication (subtract)						
13.	<b>Total Supportive Services</b> (Columns a. – d. equal the sum of Rows 11 a. & b. minus Row 12; Columns e. and f. equal the sum of Rows 11a. & 11b.)	215	188			306,774.77	294,180.81
<b>Housing Information Services</b>		<b>[1] Output Households</b>				<b>[2] Output: Funding</b>	
14.	Housing Information Services	30	21			53,000.00	53,000.00
15.	<b>Total Housing Information Services</b>	30	21			53,000.00	53,000.00

Grant Administration and Other Activities		[1] Output Households	[2] Output: Funding	
16.	Resource Identification to establish, coordinate and develop housing assistance resources			
17.	Technical Assistance (if approved in grant agreement)			
18.	Grantee Administration (maximum 3% of total HOPWA grant)			
19.	Project Sponsor Administration (maximum 7% of portion of HOPWA grant awarded)		51,621.02	43,220.95
20.	Total Grant Administration and Other Activities (Sum of Rows 16 – 19)		51,621.02	51,621.02
<b>Total Expended</b>			<b>[2] Outputs: HOPWA Funds Expended</b>	
21.	Total Expenditures for program year (Sum of Rows 7, 10, 13, 15, and 20)		Budget	Actual
			748,276.68	608,466.63

### 3. Listing of Supportive Services

Report on the households served and use of HOPWA funds for all supportive services. Do NOT report on supportive services leveraged with non-HOPWA funds.

Data check: Total unduplicated households and expenditures reported in Row 17 equal totals reported in Part 3, Chart 1, Row 13.

Supportive Services		[1] Output: Number of Households	[2] Output: Amount of HOPWA Funds Expended
1.	Adult day care and personal assistance		
2.	Alcohol and drug abuse services	12	
3.	Case management	136	244,634.33
4.	Child care and other child services		
5.	Education	6	
6.	Employment assistance and training	6	
7.	Health/medical/intensive care services, if approved Note: Client records must conform with 24 CFR §574.310		
8.	Legal services	5	
9.	Life skills management (outside of case management)		
10.	Meals/nutritional services	45	
11.	Mental health services	7	3,760.00
12.	Outreach	12	977.00
13.	Transportation	24	
14.	Other Activity (if approved in grant agreement). Specify:		
15.	Sub-Total Households receiving Supportive Services (Sum of Rows 1-14)	155	
16.	Adjustment for Duplication (subtract)	117	
17.	TOTAL Unduplicated Households receiving Supportive Services (Column [1] equals Row 15 minus Row 16; Column [2] equals sum of Rows 1-14)	38	249,571.33

**3. Short-Term Rent, Mortgage and Utility Assistance (STRMU) Summary**

In Row a., enter the total number of households served and the amount of HOPWA funds expended on Short-Term Rent, Mortgage and Utility (STRMU) Assistance. In Row b., enter the total number of STRMU-assisted households that received assistance with mortgage costs only (no utility costs) and the amount expended assisting these households. In Row c., enter the total number of STRMU-assisted households that received assistance with both mortgage and utility costs and the amount expended assisting these households. In Row d., enter the total number of STRMU-assisted households that received assistance with rental costs only (no utility costs) and the amount expended assisting these households. In Row e., enter the total number of STRMU-assisted households that received assistance with both rental and utility costs and the amount expended assisting these households. In Row f., enter the total number of STRMU-assisted households that received assistance with utility costs only (not including rent or mortgage costs) and the amount expended assisting these households. In row g., report the amount of STRMU funds expended to support direct program costs such as program operation staff.

*Data Check: The total households reported as served with STRMU in Row a., column [1] and the total amount of HOPWA funds reported as expended in Row a., column [2] equals the household and expenditure total reported for STRMU in Part 3, Chart 1, Row 4, Columns b. and f., respectively.*

*Data Check: The total number of households reported in Column [1], Rows b., c., d., e., and f. equal the total number of STRMU households reported in Column [1], Row a. The total amount reported as expended in Column [2], Rows b., c., d., e., f., and g. equal the total amount of STRMU expenditures reported in Column [2], Row a.*

Housing Subsidy Assistance Categories (STRMU)		[1] Output: Number of Households Served	[2] Output: Total HOPWA Funds Expended on STRMU during Operating Year
a.	Total Short-term mortgage, rent and/or utility (STRMU) assistance	6	3,866.00
b.	Of the total STRMU reported on Row a, total who received assistance with mortgage costs ONLY.		
c.	Of the total STRMU reported on Row a, total who received assistance with mortgage and utility costs.		
d.	Of the total STRMU reported on Row a, total who received assistance with rental costs ONLY.	6	3,866.00
e.	Of the total STRMU reported on Row a, total who received assistance with rental and utility costs.		
f.	Of the total STRMU reported on Row a, total who received assistance with utility costs ONLY.		
g.	Direct program delivery costs (e.g., program operations staff time)		

End of PART 3

**Part 4: Summary of Performance Outcomes**

In Column [1], report the total number of eligible households that received HOPWA housing subsidy assistance, by type. In Column [2], enter the number of households that continued to access each type of housing subsidy assistance into next operating year. In Column [3], report the housing status of all households that exited the program.  
**Data Check:** The sum of Columns [2] (Number of Households Continuing) and [3] (Exited Households) equals the total reported in Column [1].  
**Note:** Refer to the housing stability codes that appear in Part 5: Worksheet - Determining Housing Stability Outcomes.

**Section 1. Housing Stability: Assessment of Client Outcomes on Maintaining Housing Stability (Permanent Housing and Related Facilities)**

**A. Permanent Housing Subsidy Assistance**

	[1] Output: Total Number of Households Served	[2] Assessment: Number of Households that Continued Receiving HOPWA Housing Subsidy Assistance into the Next Operating Year	[3] Assessment: Number of Households that exited this HOPWA Program; their Housing Status after Exiting	[4] HOPWA Client Outcomes	
Tenant-Based Rental Assistance	26	21	1 Emergency Shelter/Streets	Unstable Arrangements	
			2 Temporary Housing	Temporarily Stable, with Reduced Risk of Homelessness	
			3 Private Housing	1	Stable/Permanent Housing (PH)
			4 Other HOPWA	4	
			5 Other Subsidy		
			6 Institution		Unstable Arrangements
			7 Jail/Prison		
			8 Disconnected/Unknown		
			9 Death		Life Event
			1 Emergency Shelter/Streets	Unstable Arrangements	
			2 Temporary Housing	Temporarily Stable, with Reduced Risk of Homelessness	
			3 Private Housing		Stable/Permanent Housing (PH)
			4 Other HOPWA		
			5 Other Subsidy		
			6 Institution		Unstable Arrangements
			7 Jail/Prison		
			8 Disconnected/Unknown		
			9 Death		Life Event

**B. Transitional Housing Assistance**

	[1] Output: Total Number of Households Served	[2] Assessment: Number of Households that Continued Receiving HOPWA Housing Subsidy Assistance into the Next Operating Year	[3] Assessment: Number of Households that exited this HOPWA Program; their Housing Status after Exiting	[4] HOPWA Client Outcomes	
Transitional/ Short-Term Housing Facilities/ Units			1 Emergency Shelter/Streets	Unstable Arrangements	
			2 Temporary Housing	Temporarily Stable with Reduced Risk of Homelessness	
			3 Private Housing		Stable/Permanent Housing (PH)
			4 Other HOPWA		
			5 Other Subsidy		
			6 Institution		Unstable Arrangements
			7 Jail/Prison		
			8 Disconnected/unknown		
			9 Death		Life Event

B1: Total number of households receiving transitional/short-term housing assistance whose tenure exceeded 24 months

**Section 2. Prevention of Homelessness: Assessment of Client Outcomes on Reduced Risks of Homelessness (Short-Term Housing Subsidy Assistance)**

Report the total number of households that received STRMU assistance in Column [1].

In Column [2], identify the outcomes of the households reported in Column [1] either at the time that they were known to have left the STRMU program or through the project sponsor or subrecipient's best assessment for stability at the end of the operating year.

Information in Column [3] provides a description of housing outcomes; therefore, data is not required.

At the bottom of the chart:

- In Row 1a., report those households that received STRMU assistance during the operating year of this report, and the prior operating year.
- In Row 1b., report those households that received STRMU assistance during the operating year of this report, and the two prior operating years.

*Data Check: The total households reported as served with STRMU in Column [1] equals the total reported in Part 3, Chart 1, Row 4, Column b.*

*Data Check: The sum of Column [2] should equal the number of households reported in Column [1].*

**Assessment of Households that Received STRMU Assistance**

[1] Output: Total number of households	[2] Assessment of Housing Status		[3] HOPWA Client Outcomes
6	Maintain Private Housing <u>without</u> subsidy <i>(e.g. Assistance provided/completed and client is stable, not likely to seek additional support)</i>	2	Stable/Permanent Housing (PH)
	Other Private Housing without subsidy <i>(e.g. client switched housing units and is now stable, not likely to seek additional support)</i>		
	Other HOPWA Housing Subsidy Assistance		
	Other Housing Subsidy (PH)	4	
	Institution <i>(e.g. residential and long-term care)</i>		
	Likely that additional STRMU is needed to maintain current housing arrangements		Temporarily Stable, with Reduced Risk of Homelessness
	Transitional Facilities/Short-term <i>(e.g. temporary or transitional arrangement)</i>		
Temporary/Non-Permanent Housing arrangement <i>(e.g. gave up lease, and moved in with family or friends but expects to live there less than 90 days)</i>			
Emergency Shelter/street		Unstable Arrangements	
Jail/Prison			
Disconnected			
Death		Life Event	
1a. Total number of those households that received STRMU Assistance in the operating year of this report that also received STRMU assistance in the prior operating year (e.g. households that received STRMU assistance in two consecutive operating years).			
1b. Total number of those households that received STRMU Assistance in the operating year of this report that also received STRMU assistance in the two prior operating years (e.g. households that received STRMU assistance in three consecutive operating years).			

Comment [HR1]: include the number of HH serv

**Section 3. HOPWA Outcomes on Access to Care and Support**

**1a. Total Number of Households**

Line [1]: For project sponsors/subrecipients that provided HOPWA housing subsidy assistance during the operating year identify in the appropriate row the number of households that received HOPWA housing subsidy assistance (TBRA, STRMU, Facility-Based, PHP and Master Leasing) and HOPWA funded case management services. Use Row c. to adjust for duplication among the service categories and Row d. to provide an unduplicated household total.

Line [2]: For project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance identify in the appropriate row the number of households that received HOPWA funded case management services.

*Note: These numbers will help you to determine which clients to report Access to Care and Support Outcomes for and will be used by HUD as a basis for analyzing the percentage of households who demonstrated or maintained connections to care and support as identified in Chart 1b. below.*

Total Number of Households	
1. For Project Sponsors/Subrecipients that provided HOPWA Housing Subsidy Assistance: Identify the total number of households that received the following HOPWA-funded services:	
a. Housing Subsidy Assistance (duplicated)-TBRA, STRMU, PHP, Facility-Based Housing, and Master Leasing	45
b. Case Management	107
c. Adjustment for duplication (subtraction)	4
d. Total Households Served by Project Sponsors/Subrecipients with Housing Subsidy Assistance (Sum of Rows a.b. minus Row c.)	148
2. For Project Sponsors/Subrecipients did NOT provide HOPWA Housing Subsidy Assistance: Identify the total number of households that received the following HOPWA-funded service:	
a. HOPWA Case Management	81
b. Total Households Served by Project Sponsors/Subrecipients without Housing Subsidy Assistance	67

**1b. Status of Households Accessing Care and Support**

Column [1]: Of the households identified as receiving services from project sponsors/subrecipients that provided HOPWA housing subsidy assistance as identified in Chart 1a., Row 1d. above, report the number of households that demonstrated access or maintained connections to care and support within the program year.

Column [2]: Of the households identified as receiving services from project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance as reported in Chart 1a., Row 2b., report the number of households that demonstrated improved access or maintained connections to care and support within the program year.

*Note: For information on types and sources of income and medical insurance/assistance, refer to Charts below.*

Categories of Services Accessed	[1] For project sponsors/subrecipients that provided HOPWA housing subsidy assistance, identify the households who demonstrated the following:	[2] For project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance, identify the households who demonstrated the following:	Outcome Indicator
1. Has a housing plan for maintaining or establishing stable on-going housing	130	99	Support for Stable Housing
2. Had contact with case manager/benefits counselor consistent with the schedule specified in client's individual service plan (may include leveraged services such as Ryan White Medical Case Management)	130	99	Access to Support
3. Had contact with a primary health care provider consistent with the schedule specified in client's individual service plan	130	97	Access to Health Care
4. Accessed and maintained medical insurance/assistance	130	99	Access to Health Care
5. Successfully accessed or maintained qualification for sources of income	129	92	Sources of Income

**Chart 1b., Line 4: Sources of Medical Insurance and Assistance include, but are not limited to the following (Reference only)**

<ul style="list-style-type: none"> <li>• MEDICAID Health Insurance Program, or use local program name</li> <li>• MEDICARE Health Insurance Program, or use local program name</li> </ul>	<ul style="list-style-type: none"> <li>• Veterans Affairs Medical Services</li> <li>• AIDS Drug Assistance Program (ADAP)</li> <li>• State Children's Health Insurance Program (SCHIP), or use local program name</li> </ul>	<ul style="list-style-type: none"> <li>• Ryan White-funded Medical or Dental Assistance</li> </ul>
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**Chart 1b., Row 5: Sources of Income include, but are not limited to the following (Reference only)**

<ul style="list-style-type: none"> <li>• Earned Income</li> <li>• Veteran's Pension</li> <li>• Unemployment Insurance</li> <li>• Pension from Former Job</li> <li>• Supplemental Security Income (SSI)</li> </ul>	<ul style="list-style-type: none"> <li>• Child Support</li> <li>• Social Security Disability Income (SSDI)</li> <li>• Alimony or other Spousal Support</li> <li>• Veteran's Disability Payment</li> <li>• Retirement Income from Social Security</li> <li>• Worker's Compensation</li> </ul>	<ul style="list-style-type: none"> <li>• General Assistance (GA), or use local program name</li> <li>• Private Disability Insurance</li> <li>• Temporary Assistance for Needy Families (TANF)</li> <li>• Other Income Sources</li> </ul>
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**1c. Households that Obtained Employment**

Column [1]: Of the households identified as receiving services from project sponsors/subrecipients that provided HOPWA housing subsidy assistance as identified in Chart 1a., Row 1d. above, report on the number of households that include persons who obtained an income-producing job during the operating year that resulted from HOPWA-funded Job training, employment assistance, education or related case management/counseling services.

Column [2]: Of the households identified as receiving services from project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance as reported in Chart 1a., Row 2b., report on the number of households that include persons who obtained an income-producing job during the operating year that resulted from HOPWA-funded Job training, employment assistance, education or case management/counseling services.

*Note: This includes jobs created by this project sponsor/subrecipients or obtained outside this agency.*

*Note: Do not include jobs that resulted from leveraged job training, employment assistance, education or case management/counseling services.*

Categories of Services Accessed	[1] For project sponsors/subrecipients that provided HOPWA housing subsidy assistance, identify the households who demonstrated the following:	[2] For project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance, identify the households who demonstrated the following:
Total number of households that obtained an income-producing job	7	12

End of PART 4

**PART 5: Worksheet - Determining Housing Stability Outcomes (optional)**

1. This chart is designed to assess program results based on the information reported in Part 4 and to help Grantees determine overall program performance. Completion of this worksheet is optional.

Permanent Housing Subsidy Assistance	Stable Housing (# of households remaining in program plus 3+4+5+6)	Temporary Housing (2)	Unstable Arrangements (1+7+8)	Life Event (9)
Tenant-Based Rental Assistance (TBRA)	4			1
Permanent Facility-based Housing Assistance/Units				
Transitional/Short-Term Facility-based Housing Assistance/Units				
<b>Total Permanent HOPWA Housing Subsidy Assistance</b>	1			1
Reduced Risk of Homelessness: Short-Term Assistance	Stable/Permanent Housing	Temporarily Stable, with Reduced Risk of Homelessness	Unstable Arrangements	Life Events
Short-Term Rent, Mortgage, and Utility Assistance (STRMU)				
<b>Total HOPWA Housing Subsidy Assistance</b>				

**Background on HOPWA Housing Stability Codes**

**Stable Permanent Housing/Ongoing Participation**

- 3 = Private Housing in the private rental or home ownership market (without known subsidy, including permanent placement with families or other self-sufficient arrangements) with reasonable expectation that additional support is not needed.
- 4 = Other HOPWA-funded housing subsidy assistance (not STRMU), e.g. TBRA or Facility-Based Assistance.
- 5 = Other subsidized house or apartment (non-HOPWA sources, e.g., Section 8, HOME, public housing).
- 6 = Institutional setting with greater support and continued residence expected (e.g., residential or long-term care facility).

**Temporary Housing**

2 = Temporary housing - moved in with family/friends or other short-term arrangement, such as Ryan White subsidy, transitional housing for homeless, or temporary placement in institution (e.g., hospital, psychiatric hospital or other psychiatric facility, substance abuse treatment facility or detox center).

**Unstable Arrangements**

- 1 = Emergency shelter or no housing destination such as places not meant for habitation (e.g., a vehicle, an abandoned building, bus/train/subway station, or anywhere outside).
- 7 = Jail /prison.
- 8 = Disconnected or disappeared from project support, unknown destination or no assessments of housing needs were undertaken.

**Life Event**

9 = Death, i.e., remained in housing until death. This characteristic is not factored into the housing stability equation.

**Tenant-based Rental Assistance:** Stable Housing is the sum of the number of households that (i) remain in the housing and (ii) those that left the assistance as reported under: 3, 4, 5, and 6. Temporary Housing is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item: 2. Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

**Permanent Facility-Based Housing Assistance:** Stable Housing is the sum of the number of households that (i) remain in the housing and (ii) those that left the assistance as shown as items: 3, 4, 5, and 6. Temporary Housing is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item 2. Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

**Transitional/Short-Term Facility-Based Housing Assistance:** Stable Housing is the sum of the number of households that (i) continue in the residences (ii) those that left the assistance as shown as items: 3, 4, 5, and 6. Other Temporary Housing is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item 2. Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

**Tenure Assessment.** A baseline of households in transitional/short-term facilities for assessment purposes, indicate the number of households whose tenure exceeded 24 months.

**STRMU Assistance:** Stable Housing is the sum of the number of households that accessed assistance for some portion of the permitted 21-week period and there is reasonable expectation that additional support is not needed in order to maintain permanent housing living situation (as this is a time-limited form of housing support) as reported under housing status: Maintain Private Housing with subsidy; Other Private with Subsidy; Other HOPWA support; Other Housing Subsidy; and Institution. Temporarily Stable, with Reduced Risk of Homelessness is the sum of the number of households that accessed assistance for some portion of the permitted 21-week period or left their current housing arrangement for a transitional facility or other temporary/non-permanent housing arrangement and there is reasonable expectation additional support will be needed to maintain housing arrangements in the next year, as reported under housing status: Likely to maintain current housing arrangements, with additional STRMU assistance; Transitional Facilities/Short-term; and Temporary/Non-Permanent Housing arrangements. Unstable Situation is the sum of number of households reported under housing status: Emergency Shelter; Jail/Prison; and Disconnected.

**End of PART 5**

**PART 6: Annual Certification of Continued Usage for HOPWA Facility-Based Stewardship Units (ONLY)**

The Annual Certification of Usage for HOPWA Facility-Based Stewardship Units is to be used in place of Part 7B of the CAPER if the facility was originally acquired, rehabilitated or constructed/developed in part with HOPWA funds but no HOPWA funds were expended during the operating year. Scattered site units may be grouped together on one page.

Grantees that used HOPWA funding for new construction, acquisition, or substantial rehabilitation are required to operate their facilities for HOPWA eligible individuals for at least ten (10) years. If non-substantial rehabilitation funds were used they are required to operate for at least three (3) years. Stewardship begins once the facility is put into operation.

*Note: See definition of Stewardship Units.*

**1. General information**

HUD Grant Number(s)	Operating Year for this report From (mm/dd/yy) To (mm/dd/yy) <input type="checkbox"/> Final Yr  <input type="checkbox"/> Yr 1; <input type="checkbox"/> Yr 2; <input type="checkbox"/> Yr 3; <input type="checkbox"/> Yr 4; <input type="checkbox"/> Yr 5; <input type="checkbox"/> Yr 6;  <input type="checkbox"/> Yr 7; <input type="checkbox"/> Yr 8; <input type="checkbox"/> Yr 9; <input type="checkbox"/> Yr 10;
Grantee Name	Date Facility Began Operations (mm/dd/yy)

**2. Number of Units and Non-HOPWA Expenditures**

Facility Name:	Number of Stewardship Units Developed with HOPWA funds	Amount of Non-HOPWA Funds Expended in Support of the Stewardship Units during the Operating Year
Total Stewardship Units (subject to 3- or 10- year use periods)		

**3. Details of Project Site**

Project Sites: Name of HOPWA-funded project	
Site Information: Project Zip Code(s)	
Site Information: Congressional District(s)	
Is the address of the project site confidential?	<input type="checkbox"/> Yes, protect information; do not list <input type="checkbox"/> Not confidential; information can be made available to the public
If the site is not confidential: Please provide the contact information, phone, email address/location, if business address is different from facility address	

I certify that the facility that received assistance for acquisition, rehabilitation, or new construction from the Housing Opportunities for Persons with AIDS Program has operated as a facility to assist HOPWA-eligible persons from the date shown above. I also certify that the grant is still serving the planned number of HOPWA-eligible households at this facility through leveraged resources and all other requirements of the grant agreement are being satisfied.

<i>I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.</i>	
Name & Title of Authorized Official of the organization that continues to operate the facility:	Signature & Date (mm/dd/yy)
Name & Title of Contact at Grantee Agency (person who can answer questions about the report and program)	Contact Phone (with area code)

End of PART 6

**Part 7: Summary Overview of Grant Activities**

**A. Information on Individuals, Beneficiaries, and Households Receiving HOPWA Housing Subsidy Assistance (TBRA, STRMU, Facility-Based Units, Permanent Housing Placement and Master Leased Units ONLY)**

*Note: Reporting for this section should include ONLY those individuals, beneficiaries, or households that received and/or resided in a household that received HOPWA Housing Subsidy Assistance as reported in Part 3, Chart 1, Row 7, Column b. (e.g., do not include households that received HOPWA supportive services ONLY).*

**Section 1. HOPWA-Eligible Individuals who Received HOPWA Housing Subsidy Assistance**

**a. Total HOPWA Eligible Individuals Living with HIV/AIDS**

In Chart a., provide the total number of eligible (and unduplicated) low-income individuals living with HIV/AIDS who qualified their household to receive HOPWA housing subsidy assistance during the operating year. This total should include only the individual who qualified the household for HOPWA assistance, NOT all HIV positive individuals in the household.

Individuals Served with Housing Subsidy Assistance	Total
Number of individuals with HIV/AIDS who qualified their household to receive HOPWA housing subsidy assistance.	54

**Chart b. Prior Living Situation**

In Chart b., report the prior living situations for all Eligible Individuals reported in Chart a. In Row 1, report the total number of individuals who continued to receive HOPWA housing subsidy assistance from the prior operating year into this operating year. In Rows 2 through 17, indicate the prior living arrangements for all new HOPWA housing subsidy assistance recipients during the operating year.

*Data Check: The total number of eligible individuals served in Row 18 equals the total number of individuals served through housing subsidy assistance reported in Chart a. above.*

Category	Total HOPWA Eligible Individuals Receiving Housing Subsidy Assistance
1. Continuing to receive HOPWA support from the prior operating year	23
<b>New Individuals who received HOPWA Housing Subsidy Assistance support during Operating Year</b>	
2. Place not meant for human habitation (such as a vehicle, abandoned building, bus/train/subway station/airport, or outside)	4
3. Emergency shelter (including hotel, motel, or campground paid for with emergency shelter voucher)	3
4. Transitional housing for homeless persons	4
5. Total number of new Eligible Individuals who received HOPWA Housing Subsidy Assistance with a Prior Living Situation that meets HUD definition of homelessness (Sum of Rows 2 – 4)	11
6. Permanent housing for formerly homeless persons (such as Shelter Plus Care, SHP, or SRO Mod Rehab)	1
7. Psychiatric hospital or other psychiatric facility	
8. Substance abuse treatment facility or detox center	1
9. Hospital (non-psychiatric facility)	
10. Foster care home or foster care group home	1
11. Jail, prison or juvenile detention facility	1
12. Rented room, apartment, or house	8
13. House you own	
14. Staying or living in someone else's (family and friends) room, apartment, or house	8
15. Hotel or motel paid for without emergency shelter voucher	
16. Other	
17. Don't Know or Refused	
18. TOTAL Number of HOPWA Eligible Individuals (sum of Rows 1 and 5-17)	54

**c. Homeless Individual Summary**

In Chart c., indicate the number of eligible individuals reported in Chart b., Row 5 as homeless who also are homeless Veterans and/or meet the definition for Chronically Homeless (See Definition section of CAPER). The totals in Chart c. do not need to equal the total in Chart b., Row 5.

Category	Number of Homeless Veteran(s)	Number of Chronically Homeless
HOPWA eligible individuals served with HOPWA Housing Subsidy Assistance		9

**Section 2. Beneficiaries**

In Chart a., report the total number of HOPWA eligible individuals living with HIV/AIDS who received HOPWA housing subsidy assistance (*as reported in Part 7A, Section 1, Chart a.*), and all associated members of their household who benefitted from receiving HOPWA housing subsidy assistance (resided with HOPWA eligible individuals).

*Note: See definition of HOPWA Eligible Individual*

*Note: See definition of Transgender.*

*Note: See definition of Beneficiaries.*

*Data Check: The sum of each of the Charts b. & c. on the following two pages equals the total number of beneficiaries served with HOPWA housing subsidy assistance as determined in Chart a., Row 4 below.*

**a. Total Number of Beneficiaries Served with HOPWA Housing Subsidy Assistance**

Individuals and Families Served with HOPWA Housing Subsidy Assistance	Total Number
1. Number of individuals with HIV/AIDS who qualified the household to receive HOPWA housing subsidy assistance (equals the number of HOPWA Eligible Individuals reported in Part 7A, Section 1, Chart a.)	54
2. Number of ALL other persons diagnosed as HIV positive who reside with the HOPWA eligible individuals identified in Row 1 and who benefitted from the HOPWA housing subsidy assistance	2
3. Number of ALL other persons NOT diagnosed as HIV positive who reside with the HOPWA eligible individual identified in Row 1 and who benefitted from the HOPWA housing subsidy	13
4. TOTAL number of ALL beneficiaries served with Housing Subsidy Assistance (Sum of Rows 1,2, & 3)	69

**Comment [HR2]:** There amount here should be 45 – same as in the previous charts

**b. Age and Gender**

In Chart b., indicate the Age and Gender of all beneficiaries as reported in Chart a. directly above. Report the Age and Gender of all HOPWA Eligible Individuals (those reported in Chart a., Row 1) using Rows 1-5 below and the Age and Gender of all other beneficiaries (those reported in Chart a., Rows 2 and 3) using Rows 6-10 below. The number of individuals reported in Row 11, Column E. equals the total number of beneficiaries reported in Part 7, Section 2, Chart a., Row 4.

HOPWA Eligible Individuals (Chart a, Row 1)						
		A.	B.	C.	D.	E.
		Male	Female	Transgender M to F	Transgender F to M	TOTAL (Sum of Columns A-D)
1.	Under 18		2			2
2.	18 to 30 years	2	1			3
3.	31 to 50 years	14	15			29
4.	51 years and Older	15	5			20
5.	Subtotal (Sum of Rows 1-4)	31	23			54
All Other Beneficiaries (Chart a, Rows 2 and 3)						
		A.	B.	C.	D.	E.
		Male	Female	Transgender M to F	Transgender F to M	TOTAL (Sum of Columns A-D)
6.	Under 18	2	9			11
7.	18 to 30 years	1	1			2
8.	31 to 50 years	1				1
9.	51 years and Older	1	2			3
10.	Subtotal (Sum of Rows 6-9)	5	10			15
Total Beneficiaries (Chart a, Row 4)						
11.	TOTAL (Sum of Rows 5 & 10)	36	33			69

**Comment [HR3]:** The top portion of this chart is for the 45 HOPWA Eligible Individuals. Recheck and update as applicable

**Comment [HR4]:** The bottom portion of this chart is for the other beneficiaries who live with the HOPWA Eligible individuals – that number can be found on the previous page, chart 2, rows 2 and 3.

**Comment [HR5]:** Recalculate this row columns A-E

**c. Race and Ethnicity\***

In Chart c., indicate the Race and Ethnicity of all beneficiaries receiving HOPWA Housing Subsidy Assistance as reported in Section 2, Chart a., Row 4. Report the race of all HOPWA eligible individuals in Column [A]. Report the ethnicity of all HOPWA eligible individuals in column [B]. Report the race of all other individuals who benefitted from the HOPWA housing subsidy assistance in column [C]. Report the ethnicity of all other individuals who benefitted from the HOPWA housing subsidy assistance in column [D]. The summed total of columns [A] and [C] equals the total number of beneficiaries reported above in Section 2, Chart a., Row 4.

Category	HOPWA Eligible Individuals		All Other Beneficiaries	
	[A] Race [all individuals reported in Section 2, Chart a., Row 1]	[B] Ethnicity [Also identified as Hispanic or Latino]	[C] Race [total of individuals reported in Section 2, Chart a., Rows 2 & 3]	[D] Ethnicity [Also identified as Hispanic or Latino]
1. American Indian/Alaskan Native				
2. Asian	8	3	5	
3. Black/African American	11	2	4	
4. Native Hawaiian/Other Pacific Islander			4	
5. White	26	15	4	6
6. American Indian/Alaskan Native & White				
7. Asian & White				
8. Black/African American & White				
9. American Indian/Alaskan Native & Black/African American				
10. Other Multi-Racial	5	7	11	11
11. Column Totals (Sum of Rows 1-10)	50	27	18	7

*Data Check: Sum of Row 11 Column A and Row 11 Column C equals the total number HOPWA Beneficiaries reported in Part 3A, Section 2, Chart a., Row 4.*

**Comment [HR6]:** Here is this chart, Column A should total 45 - currently this column is short by 5 individuals

**Comment [HR7]:** The amount here in column B can be less than or equal to the amount in column A, but not more than that amount.

\*Reference (data requested consistent with Form HUD-27061 Race and Ethnic Data Reporting Form)

**Section 3. Households**

**Household Area Median Income**

Report the area median income(s) for all households served with HOPWA housing subsidy assistance.

*Data Check: The total number of households served with HOPWA housing subsidy assistance should equal Part 3C, Row 7, Column b and Part 7A, Section 1, Chart a. (Total HOPWA Eligible Individuals Served with HOPWA Housing Subsidy Assistance).*

*Note: Refer to [http://www.huduser.org/portal/datasets/il/il2010/select\\_Geography\\_mfi.odn](http://www.huduser.org/portal/datasets/il/il2010/select_Geography_mfi.odn) for information on area median income in your community.*

**Comment [HR8]:** Total of this chart should equal 45 – recheck rows 1-3 and update as needed.

Percentage of Area Median Income		Households Served with HOPWA Housing Subsidy Assistance
1.	0-30% of area median income (extremely low)	35
2.	31-50% of area median income (very low)	16
3.	51-80% of area median income (low)	1
4.	Total (Sum of Rows 1-3)	52

**Part 7: Summary Overview of Grant Activities**  
**B. Facility-Based Housing Assistance**

Complete one Part 7B for each facility developed or supported through HOPWA funds.

**Do not complete this Section for programs originally developed with HOPWA funds but no longer supported with HOPWA funds.** If a facility was developed with HOPWA funds (subject to ten years of operation for acquisition, new construction and substantial rehabilitation costs of stewardship units, or three years for non-substantial rehabilitation costs), but HOPWA funds are no longer used to support the facility, the project sponsor or subrecipient should complete Part 6: Annual Certification of Continued Usage for HOPWA Facility-Based Stewardship Units (ONLY).

Complete Charts 2a., Project Site Information, and 2b., Type of HOPWA Capital Development Project Units, for all Development Projects, including facilities that were past development projects, but continued to receive HOPWA operating dollars this reporting year.

**1. Project Sponsor/Subrecipient Agency Name (Required)**

--

**2. Capital Development**

**2a. Project Site Information for HOPWA Capital Development of Projects (For Current or Past Capital Development Projects that receive HOPWA Operating Costs this reporting year)**

*Note: If units are scattered-sites, report on them as a group and under type of Facility write "Scattered Sites."*

Type of Development this operating year	HOPWA Funds Expended this operating year (if applicable)	Non-HOPWA funds Expended (if applicable)	Name of Facility:
<input type="checkbox"/> New construction	\$	\$	<b>Type of Facility [Check <u>only one</u> box.]</b> <input type="checkbox"/> Permanent housing <input type="checkbox"/> Short-term Shelter or Transitional housing <input type="checkbox"/> Supportive services only facility
<input type="checkbox"/> Rehabilitation	\$	\$	
<input type="checkbox"/> Acquisition	\$	\$	
<input type="checkbox"/> Operating	\$	\$	
a.	Purchase/lease of property:		Date (mm/dd/yy):
b.	Rehabilitation/Construction Dates:		Date started:                      Date Completed:
c.	Operation dates:		Date residents began to occupy: <input type="checkbox"/> Not yet occupied
d.	Date supportive services began:		Date started: <input type="checkbox"/> Not yet providing services
e.	Number of units in the facility:		HOPWA-funded units =                      Total Units =
f.	Is a waiting list maintained for the facility?		<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, number of participants on the list at the end of operating year</i>
g.	What is the address of the facility (if different from business address)?		
h.	Is the address of the project site confidential?		<input type="checkbox"/> Yes, protect information; do not publish list <input type="checkbox"/> No, can be made available to the public

**2b. Number and Type of HOPWA Capital Development Project Units (For Current or Past Capital Development Projects that receive HOPWA Operating Costs this Reporting Year)**

For units entered above in 2a. please list the number of HOPWA units that fulfill the following criteria:

	Number Designated for the Chronically Homeless	Number Designated to Assist the Homeless	Number Energy-Star Compliant	Number 504 Accessible
Rental units constructed (new) and/or acquired with or without rehab				
Rental units rehabbed				
Homeownership units constructed (if approved)				

**3. Units Assisted in Types of Housing Facility/Units Leased by Project Sponsor or Subrecipient**

Charts 3a, 3b, and 4 are required for each facility. In Charts 3a. and 3b., indicate the type and number of housing units in the facility, including master leased units, project-based or other scattered site units leased by the organization, categorized by the number of bedrooms per unit.

Note: The number units may not equal the total number of households served.

Please complete separate charts for each housing facility assisted. Scattered site units may be grouped together.

**3a. Check one only**

- Permanent Supportive Housing Facility/Units
- Short-term Shelter or Transitional Supportive Housing Facility/Units

**3b. Type of Facility**

Complete the following Chart for all facilities leased, master leased, project-based, or operated with HOPWA funds during the reporting year.

**Name of Project Sponsor/Agency Operating the Facility/Leased Units:**

Type of housing facility operated by the project sponsor/subrecipient	Total Number of Units in use during the Operating Year Categorized by the Number of Bedrooms per Units					
	SRO/Studio/0 bdrm	1 bdrm	2 bdrm	3 bdrm	4 bdrm	5+bdrm
a. Single room occupancy dwelling						
b. Community residence						
c. Project-based rental assistance units or leased units						
d. Other housing facility Specify:						

**4. Households and Housing Expenditures**

Enter the total number of households served and the amount of HOPWA funds expended by the project sponsor/subrecipient on subsidies for housing involving the use of facilities, master leased units, project based or other scattered site units leased by the organization.

Housing Assistance Category: Facility Based Housing	Output: Number of Households	Output: Total HOPWA Funds Expended during Operating Year by Project Sponsor/subrecipient
a. Leasing Costs		
b. Operating Costs		
c. Project-Based Rental Assistance (PBRA) or other leased units		
d. Other Activity (if approved in grant agreement) Specify:		
e. Adjustment to eliminate duplication (subtract)		
f. TOTAL Facility-Based Housing Assistance (Sum Rows a. through d. minus Row e.)		