

POLICY ANALYSIS
OF A STATE PROGRAM
FOR PUBLIC HOUSING

by

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Master City Planning
Massachusetts Institute of Technology
May, 1977

Submitted in Partial Fulfillment
of the Requirements of the Degree of
Master of City Planning
Massachusetts Institute of Technology -- May, 1977

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IN DEDICATION
TO MY FAMILY.

THANKS FOR YOUR PATIENCE.

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Acknowledgements

There are many people to whom I am deeply grateful. My thanks to the Modernization staff, Allan Isbitz, Robert DeVirgilio, Janina Dwyer, Ed Ringland, Tony Brown and Bernie Stewart. To you I owe my gratitude for your help and forbearance in determining the in's and out's of the program. Thanks so much just for being my friends.

Professors Larry Susskind and Langley Keyes are the main reasons for my pursuing my academic career here at MIT. Langley's expertise in the field of housing aided me in developing this writing. Larry is not only a comingled source of aggravation and inspiration, but also a person with commitment to his students.

My thanks to Lauren Batara, my typist and editor. It was tough, but hopefully worthwhile. Thanks.

Finally, my deep appreciation to my husband, Ricardo. With the pending close of my academic sojourn, (at least for a while) I can now devote my energies to my family commitments.

INTRODUCTION

The State Department of Community Affairs (DCA) is responsible for the administration and regulation of state housing programs. The basic programs are Chapter 200--"Veterans" housing built between 1948 and 1952 and Chapter 667--elderly housing. They comprise 15,000 to 25,000 units respectively in approximately 125 cities and towns across the Commonwealth.

Due to the age of the structures, the increasing need for repairs and upkeep, the family developments are in rundown condition. Funding for the projects has dwindled because of the instability of rent receipts and lack of a deferred maintenance program (such a program was never instituted by DCA). The elderly developments however, are in good condition since most of the units have been built in the past five years.

In 1970, Chapter 694 of the Acts of 1970, was enacted. It provides the modernization and renovation of existing public housing projects and authorized the Commonwealth to borrow to provide state grants for such renovation of the projects. DCA was authorized by this Act to expend \$15 million not to exceed \$5 million per fiscal year. The Department has gone through five years of spending modernization funds (Referred to as Phases I-V). It has received another \$50 million grant from the Commonwealth to spend within the next four to five years. However, there is push by DCA to improve the administration of the modernization process in terms of distribution of funds, monitoring of work done both in DCA and the local authorities and adherence to general DCA policies (health and safety, physical priorities) including redefining the standards which guide actual modernization investments.

The thrust of the thesis will be to describe a decision-making process by which the \$50 million authorization can be learned from the past five years of modernization to form the new modernization effort. Basic areas of exploration include assumptions that underlie current allocation procedures, definitions of need, strategies for greater tenant involvement, encouraging long range planning with both management and tenant input, integration of modernization (physical improvements) with larger management strategies (e.g., Capital Improvement Plan) and compliance with DCA rules and regulations.

Part I of the thesis will reflect on the legislative history of the recent modernization bill. Interviews with key personalities were held. A cross-section of tenant organizations, housing authorities, state representatives and senators were interviewed. The focus of the questioning will be on their roles in the lobbying process and the type and degree of input that they had. Issues in terms of the constituency represented by those members of the legislature involved with the modernization bill and their specific needs as compared to the needs of housing authorities throughout the Commonwealth will be explored. What if any are the differences?

I will also center on points at issue in the legislature on both policy outlooks and political values. For example, inquiry will delve into such unknowns as who was against the bill and for what reasons, what if any were the alternative suggestions and why. Most importantly, I must determine how and why this version of the modernization bill was

approved. This is crucial to the thesis, because in defining and singling out the issues involved, a determination of some proposed policy for modernization and the future of public housing by those in decision making arenas can be assessed. Chapter II will probe problems of allocation. At this point, DCA must develop allocation criteria. Research will cover prior experience with the five phases of modernization and past efforts to define a clearly understood and predictable process of distributing modernization funds. I am presently part of a working committee assigned to develop allocation criteria. By means of this experience, I hope to determine how such criteria evolves.

The design of the application procedure is critical to policy implementation. Tenant participation and sign-off on certain portions of each modernization may provoke conflicts with the administration of local housing authorities. The issue then becomes who dictates the priorities embedded in local applications for modernization money. How deeply can and should DCA become involved in the application process? Should priority items be specified? Can challenges be issued to local applications by DCA or vice versa?

DCA's new application process will be analyzed in Chapter III. Presently, there is no handbook or description of any type of the intentions and objectives of the Modernization program. Because of the absence of a clearly stated policy, DCA's prior experience with modernization has been a "muddling though." The basis of my work with DCA is to develop an implementation process whereby local housing authorities tenant organizations and the various staffing levels at DCA can define their role in connection with Modernization. There is more to state-aided public housing than being "fair and equitable." The question is

how and to what degree are the key agents involved?

Part IV will include my analysis of DCA's modernization effort past and present. I will try to suggest ways that might be made in the administration of the Modernization Program, alternative criteria for allocating modernization funds.

CHAPTER 1

EVOLUTION OF PROGRAM POLICY IN PUBLIC HOUSING

Background

Chapter 23B of the Massachusetts General Laws established the Department of Community Affairs (DCA) and gave this agency a mandate to act in the areas of housing, community development, urban renewal, local assistance and social-economic opportunity. With regard to housing, Chapter 23B states:

The Department shall be the principal agency of the government of the Commonwealth to mobilize the human, physical and financial resources available to . . . provide . . . open housing opportunity, including but not limited to, opportunities for residents of depressed and slum areas; the Department shall cooperate with and render advice and counsel to local, Commonwealth and federal agencies engaged in activities designed to further said objectives; shall encourage and assist communities in the development, renewal and rehabilitation of their physical environment; (and) shall find and advance the programs of open and adequate housing for all citizens of the Commonwealth, including the displaced by public action within the Commonwealth . . .¹

This mandate is supposed to be accomplished through several of the Department's programs aimed at providing housing for low and moderate income citizens of the Commonwealth. Such programs include Chapter 200 (veteran's housing), Chapter 667 (elderly housing), Chapter 705 (family housing), Chapter 707 (rental assistance), Chapter 689 (housing for the handicapped), as well as other programs for public housing modernization and relocation. Of prime concern is the administration of the Chapter 200 Veterans housing built between 1948 and 1952 and Chapter 667 elderly

¹ Massachusetts, Housing Policy Statement for Massachusetts (November, 1975), p. 4.

housing. These programs involve 15,000 and 25,000 units respectively in approximately 125 cities and towns across the Commonwealth.

The family developments are rundown; they are old (average age is 25 years) and the need for repairs has gone unmet for many years. Funding for the maintenance of the projects has dwindled because of the instability of rent receipts. A deferred maintenance program was never instituted by DCA. The elderly developments, however, are in good condition since most of the units have been built in the past five years.

Chapter 694 of the Acts of 1970 was meant to provide for the modernization and renovation of existing public housing projects and authorizes the Commonwealth to borrow to provide state grants for project renovation. DCA was authorized by this Act to expend \$15 million (not to exceed \$5 million per fiscal year). The Department has gone through five years of modernization spending (referred to as Phases I-V). It has received another \$50 million authorization from the Commonwealth to spend within the next four to five years. Presently, there is a push by DCA to improve the administration of the modernization process. The agency is focusing on the formulas for distributing the funds, strategies for monitoring the work done within DCA and the local authorities, and review of general DCA policies (health and safety, physical priorities) including perhaps redefining the standards which guide modernization investments.

In order to determine why DCA is striving for such changes, it is necessary to look briefly at the administration of the past modernization effort. The Modernization Rules and Regulations promulgated in March

1971, set forth DCA's policies. It defines the modernization program as one which must coordinate physical and non-physical improvement of state-assisted public housing projects. Physical modernization involves the correction of deteriorating conditions while non-physical improvements involve "a thorough updating of all management policies and practices undertaken in cooperation with representatives of the tenants of each affected project."²

During Phases I-V of the modernization effect the agency has dealt alternately with both goals and never quite realized either.

Phase I

Upon enactment of the Rules and Regulations the modernization program formally began with a \$5 million dollar allocation. Primary consideration was given to physical modernization, but after January 1, 1972 funding was supposed to be contingent upon substantial accomplishment in the area of non-physical modernization.³ Both aspects of modernization required tenant participation, but the Department ignored the regulations concerning active resident involvement.

Funding was basically "first come, first serve" turning upon the completeness of the application and the financial status of the applicant's operating reserve, funding given to housing authorities to cover extraordinary or unforeseen operating expenses. (It is based on a per unit allocation.) Financial assistance did not take the form of grants as the legislature had authorized, but rather involved reimbursements

²
Massachusetts, Rules and Regulations, Modernization and Renovation Loan Act of 1970 (March 16, 1971), Chapter 694, p. 3.

³
Ibid.

to local housing authorities (LHA's) upon completion of all work by contractors. The LHA's most in need of physical improvements were those that could not afford the "front end money".⁴ By May of 1972, Phase I was supposed to be completed (\$5 million should have been allocated), but less than ten percent of the funds had actually been spent. (See Table 1).

Phases II and III

Under newly appointed Commissioner Miles Mahoney, the modernization program was revamped. Contracts were revised, the State Comptroller agreed to release funds directly to housing authorities upon receipt of a contract from DCA. New staff were assigned to the administration of the physical portion of modernization. Brian Opert and Janina Dwyer came to DCA on loan from the Boston Housing Authority to head this effort.

To allow for a two year planning and work cycle, Phases II & III, initially two separate one-year cycles, were combined and the housing authorities and local tenant organizations (LTO's) provided work item priorities and cost estimates covering both years. This allowed the Department to allot funding (\$5 million) for Phase II and commit Phase III monies (\$5 million) for the following year so that the LHA's and tenants would know exactly how much would be available for modernizing their housing units.⁵

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Interview with Jack Plunkett, Roosevelt Towers Tenant Association Coordinator, Cambridge, Massachusetts, 2 February, 1977.

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Interview with Brian Opert, Management Consultant Opert Enterprises, Boston, Massachusetts, 18 March, 1977.

Table 1
 MODERNIZATION FUNDING ALLOCATION
 and
 ORDER OF APPLICATION
 PHASE 1

LHA's	Application Date	Amount Requested	Amount Approved	Dollars/ Unit
Lynn	11/1/70	\$1,690,027	\$1,029,357	1927
Holyoke	12/3/70	350,794	52,000	237
Norwood	3/30/71	60,000	30,505	417
Malden	4/15/71	292,800	130,000	590
Andover	5/6/71	152,600	5,200	92
Lawrence	5/12/71	993,255	200,000	443
Westfield	5/18/71	116,676	12,200	196
Everett	5/24/71	556,092	55,308	141
Somerville	5/26/71	216,800	134,800	295
Springfield	6/3/71	3,403,956	589,700	1110
Lowell	4/4/71	1,716,100	776,200	2658
Arlington	6/23/71	211,140	30,000	120
Chelsea	6/24/71	297,550	274,900	935
Boston	6/29/71	5,008,896	1,256,972	341
Amesbury	6/30/71	27,500	27,500	1018
Milford	7/21/71	115,460	50,123	726
Hadly	7/29/71	34,000	25,000	850
Worcester	9/3/71	180,500	46,650	622
W. Springfield	9/20/71	171,468	65,505	728
Leominster	9/27/71	114,150	39,000	534
Ipswich	9/30/71	59,125	30,000	1250
Brookline	9/30/71	1,022,600	100,960	287
Franklin	1/14/72	9,955	10,000	357
NAHRO Tenant Training			23,000	
TOTAL			\$4,999,968	

Source: Memorandum from Steven A. Cervantes to Wayne Sherwood
 May 20, 1976

Thirty-two housing authorities requested funding under Phases II and III amounting to over \$47.5 million. A base figure of \$710 was determined to be an approximately equal per unit amount. This amount was then adjusted according to the allocation received by any unit during Phase I, excess operating reserves, and the actual amount requested. The justification for such a formula was as follows:

1) Almost all applications received were from Chapter 200 projects. These family projects were approximately the same age and needed the same amount of rehabilitation; 2) Most LHA's received about the same income and subsidy over the years and have about the same amount of funds available for repair; 3) All LHA's with operating reserves in excess of 100% received appropriate deductions from the \$710 per unit award. Actual Phase II and III awards varied from \$105 per unit to \$1154 per unit.⁶ (See Table 2).

Phases II and III reserved \$1.8 million of the \$10 million for emergencies. An additional \$5 million was appropriated for Phase IV, however it was immediately allocated to 15 LHA's. This Phase is known as Phase III B. Most of the LHA's active in this phase had not previously participated in the program. Some authorities needed additional funding to complete their work items. The 15 authorities requested over \$4 million.⁷ (See Table 3).

The priority of the Department during Phases II and III was non-physical modernization. Tenant's rights were established through the promulgation of the Lease and Grievance Procedures and Tenant Participa-

⁶ Steven A. Cervantes, Modernization Program Phases I-IV Summary of Findings, Memorandum to Wayne Sherwood, May 20, 1976.

⁷ Interview with Janina Dwyer, Modernization Specialist, Boston, Massachusetts, 21 February, 1977.

Table 2

MODERNIZATION FUNDING ALLOCATION

PHASES 2 and 3

<u>Housing Authorities</u>	<u>Phase 2</u>	<u>Phase 3</u>	<u>Total</u>	<u>\$/Unit</u>
Andover	\$ 65,241	\$ 39,144	\$ 104,385	1246
Arlington	155,198	93,119	248,317	1075
Ashland	16,813	10,087	26,900	672
Attleboro	39,375	23,625	63,000	677
Boston	2,125,002	1,441,887	3,566,889	969
Brookline	211,703	127,021	388,724	965
Cambridge	314,234	188,540	502,774	706
Chelsea	87,031	52,219	139,250	475
Chicopee	71,049	42,629	113,678	705
Fall River	189,481	113,689	303,170	710
Haverhill	46,150	27,690	73,840	710
Holyoke	146,867	88,120	234,987	1073
Ipswich	14,335	8,601	22,936	312
Leominster	35,405	21,243	56,648	776
Lowell	23,531	14,119	37,650	106
Lynn	74,125	44,475	118,600	105
Methuen	55,269	33,161	88,430	539
New Bedford	78,483	47,089	125,572	574
Norwood	16,987	10,192	27,179	360
Plymouth	19,873	11,923	31,796	311
Quincy	132,500	79,500	212,000	780
Somerville	438,263	262,957	701,220	1131
Springfield	66,500	39,900	106,400	200
Taunton	60,327	36,196	96,523	710
Westfield	53,669	32,202	85,871	1032
W. Springfield	48,438	29,062	77,500	472
Wellesley	30,126	18,076	48,202	669
Whitman	13,875	8,325	22,200	555
Wilmington	17,750	10,650	28,400	710
Worcester	254,813	152,887	407,700	686
TOTAL	\$5,023,032	\$3,180,699	\$8,203,731	

Source: Memorandum from Steve A. Cervantes to Wayne Sherwood
May 20, 1976

Table 3

MODERNIZATION FUNDING ALLOCATION

PHASE IIIB

<u>Housing Authorities</u>	<u>Amount Requested</u>	<u>Amount Awarded</u>	<u>Dollars/ Unit</u>
Amesbury	\$ 117,165	\$ 73,850	581
Amherst	69,587	27,000	900
Bedford	48,549	9,800	821
Boston	102,800	102,800	643
Brockton	103,950	103,950	838
Clinton	167,350	102,600	900
Greenfield	162,883	64,800	900
Lawrence	1,788,426	405,900	900
Natick	166,250	35,300	679
New Bedford	713,625	157,500	900
Northampton	122,300	72,000	900
Uxbridge	46,700	2,000	100
Wakefield	73,800	65,976	569
Waltham	542,222	250,200	900
Barnstable		3,600	900
	<hr/>	<hr/>	
TOTAL	\$4,225,607	\$1,477,276	

Source: Memorandum from Steven A. Cervantes to Wayne Sherwood
May 20, 1976

tion regulations.⁸ Guidelines issued for Phases II and III required housing authorities to submit:

(a) a status report on non-physical modernization (i.e., general improvement of management), including the "organization and recognition of duly elected tenant representatives . . . ; discussion, preparation and implementation of lease and grievance procedures, tenant selection and transfer policies and procedures; tenant employment; community and social services for tenants." (Section E.1);

(b) "an outline of the goals of the housing authority and tenants in terms of non-physical modernization for the coming years," including "listing all the steps that will be required to be implemented in order to reach these goals, with an indication of the proposed time table that can be anticipated for accomplishing the goals." (Section E.2); and

(c) "an exhaustive listing, in priority order as agreed to by the LHA and tenants, of all items with cost estimates for which you request modernization funding for the next two fiscal years." (Section A.1) (Emphasis in original).⁹

Despite the progress made in policy making, enforcement of the regulations and guidelines was minimal. In approving the applications, non-physical information was ignored. They were ignored largely because

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Regulations Prescribing Leases Provisions for Public Housing, Promulgated February 22, 1973 as amended May 5, 1976, are designed to set forth the standards and criteria of the management-tenant relationship to be embodied in dwelling leases in the low-rent public housing program.

Regulations for Tenant Grievance Procedures, Promulgated February 22, 1973 as amended May 5, 1976 are intended to promote agreement and cooperation between each LHA and its tenants by means of an approved grievance procedure.

Regulations for Tenant Participation in the Administration of Public Housing, Promulgated August 9, 1973, as amended May 5, 1976 provides for a channel of communication between tenants and LHA's through their concern in the administration of public housing programs.

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Massachusetts Union of Public Housing Tenants, Allocation Priorities and Non-Physical Modernization, Memorandum to Karen Falat Administrator, Division of Community Development, June 9, 1976.

of the inability of the DCA to enforce compliance with the regulations. Letters of intent for non-physical modernization were ambiguous. Generally, they expressed a lack of commitment from the LHA's and were done only to comply with application procedures. The thrust toward non-physical management was ignored in the formula for funding. As long as the LHA submitted this information and had the appropriate signatures, they were awarded funds.

Phase IV

Controversies and conflicts in policy arose during the summer of 1973 when Miles Mahoney resigned and was replaced by Lewis Crampton. The stipulation for receiving modernization funds was reduced to tenant sign off on the application. No other stipulations for non-physical modernization were required.

The concept of allocations on a per unit basis, failed to respond to the needs of housing authorities in serious financial and physical difficulty. The Modernization Advisory Committee (MAC) composed of DCA staff, LHA executive directors, tenants and other public housing experts, developed an allocation formula designed to "incorporate LHA data including: amount paid by LHA for debt service on a short-term financing scheme; annual surplus (deficit); and the average number of bedrooms per apartment in the project."¹⁰ The Rules and Regulations of the Modernization Act of 1970 mandated that such a committee be formed to assist the DCA in the modernization process.

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Cervantes, Modernization Phases I-IV.

Sixty-three housing authorities participated in Phase IV. Five additional applications were submitted by tenant organizations where the IHA's failed to take the initiative. The increasing interest in the modernization program is apparent. The number of housing authorities that applied and received funding doubled. Many of the housing authorities that applied previously in other phases remained in the program.

The MAC formula was designed to favor housing authorities in critical financial condition, i.e., those with low reserves. However, Opert and Dwyer were not informed that Chapter 667 elderly projects which generally have low reserves due to recent construction, should be excluded from the allocation. These projects received over \$1 million. In many cases the awards received by needy housing authorities were insufficient to cover first priority items such as: boiler replacement, roofs, storm windows, etc.¹¹ (See Table 4).

Phase V

A \$5 million allocation for Phase V became available as of fiscal year July 1, 1975. With another change in administration, however, notices were not mailed out until September 18, 1975. On that date, Secretary William G. Flynn sent a memo outlining application procedures and Department policies with respect to the allocation of Phase V funds.

A two part assessment of the project's physical condition was requested for the first time. Part I asked for priorities in the current phase of modernization spending while Part II asks for a list of modernization requirements for the subsequent five year period. Priority was

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Interview with Janina Dwyer, 23 February, 1977.

TABLE 4

ALLOCATION OF MODERNIZATION PHASE IV

<u>LHA's</u>	<u>Allocation</u>	<u>LHA's</u>	<u>Allocation</u>
Agawam	\$ 28,770	Mattapoisett	\$ 20,000
Andover	24,213	Maynard	6,000
Arlington	67,084	Medford	86,097
Attleboro	21,426	Methuen	5,900
Billerica	16,035	Middleboro	32,525
Bedford	6,000	Natick	62,388
Boston	1,019,637	New Bedford	56,787
Bourn	46,000	Northampton	62,454
Brockton	60,300	Norwood	11,453
Brookline	65,063	No. Reading	53,200
Cambridge	198,311	Peabody	9,190
Canton	4,214	Pittsfield	150,000
Chelsea	82,182	Plymouth	27,960
Chicopee	31,697	Quincy	115,522
Clinton	22,600	Reading	22,531
Dedham	10,095	Somerville	148,624
Fall River	149,014	Springfield	200,045
Falmouth	7,572	Swampscot	31,522
Fitchberg	56,002	Taunton	38,226
Franklin	19,789	Uxbridge	2,882
Gloucester	60,022	Waltham	63,185
Greenfield	31,667	Watertown	94,316
Hamilton	40,000	Webster	7,796
Haverhill	55,782	Wellesley	18,561
Holyoke	36,506	Westfield	45,672
Hopkinton	7,468	W. Springfield	20,874
Ipswich	16,681	Weymouth	37,258
Lawrence	90,581	Whitman	11,452
Leominster	12,507	Winthrop	37,057
Lowell	82,691	Woburn	25,000
Ludlow	12,689	Worcester	122,844
Lynn	35,276	Wrentham	12,539
Malden	71,764	Yarmouth	9,341
Mansfield	7,514		
Marlboro	41,226		

Source: Memo from Steven A. Cervantes to Wayne Sherwood, May 20, 1974.

given to LHA's in which local housing inspectors were available to assist in project evaluation.

Due to the scarcity of funds, in the past four phases allocations of \$5 million statewide has proven to be of small impact in the renovation of housing projects, most of the monies were allocated for repairing roofs, heating, electrical and utility systems, elimination of major defects, meeting sanitary code requirements, energy conservation measures and other repairs necessary to the health and safety of the residents.

Although the housing authorities were allowed to develop their own lists of priority improvements the Bureau of Construction at DCA reserved the right to revise priorities on the basis of field visits conducted to review proposed modernization items.¹² This Bureau was established in 1950 to oversee the construction of statewide public housing. During Phase IV the Bureau set priorities on major structural repairs although applications were for apartment needs (e.g., the town of Middleboro requested funding for new bathrooms, however, an inspection by the Bureau revealed that plumbing and wall beams must be completely modernized first. (See Appendix A for modernization process and application).

DCA began a search for a consultant to coordinate the inspection process. Inspections were to occur in two stages; 1) inspection of projects which submitted Phase V applications, 2) inspection of all Chapter 200 housing projects. Inspection teams would investigate both the general systems within each housing project such as plumbing, elec-

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Interview with Robert De Virgilio, Modernization Technical Advisor, Boston, Massachusetts, 18 March, 1977.

trical and heating systems, and a sampling of units. The object was not to provide a detailed set of "working drawings," but to develop general cost estimates and long term projections. (For more information refer to Chapter II).

Phase V applications (from 67 LHA's totaling 14,410 units) requested over \$22 million in modernization funds. Most of the housing authorities that applied in previous phases are included in Phase V. The housing authorities are spread throughout the Commonwealth with the majority of funding going toward small towns. The five year projections accompanying the applications foretold major problems in the future. Over one-third of the requests came from 12-16 of the Chapter 200 projects which were in serious condition and require substantial rehabilitation. These projects are the subject of a more extensive study described in Chapter II. (See Appendix B,)

During Phase V another source of funding became available to local housing authorities. As of July 1, 1972 the Commonwealth established this account to be distributed by the DCA to local housing authorities for items that in the opinion of the department were unforeseen, emergency and/or catastrophic in nature. Only work incurred since the start of fiscal year 1973 (after July 1, 1972) will be eligible for funding. Another program called the Extraordinary Maintenance Program had an account of \$3 million for work items involving:

emergency repair of an existing facility and/or repairs to existing facilities such as portions of buildings, grounds, roads and walkways, and support systems such as electrical, heating, plumbing and sewer equipment. Such work must have been or is an absolute necessity in

order to maintain the facility in decent, safe and sanitary condition.¹³

Non-physical modernization was again in the spotlight. Phase V and Extraordinary Maintenance both required tenant participation. Phase V guidelines gave special consideration to applications which evidenced steps to "undertake joint discussions of the needs for comprehensive, long term improvements . . ." ¹⁴ Extraordinary maintenance funding was, however, hard to get. The Ways and Means Committees of the state legislature instituted "safeguards": specific allocations had to have the approval of both the Comptroller and the two Ways and Means Committees before they could be spent. Although the funding was available for the basic renovations needed, the channels for obtaining it were clogged with excess bureaucratic red tape.

In making a distinction between modernization and extraordinary maintenance the tenants view modernization as their program. Modernization is a program which should bring improvement to the social and physical environment of the project. This is the inherent nature of the program since it is meant to serve both the physical and the policy and managerial needs of the tenants in public housing. Extraordinary maintenance involves work items for which the housing authorities are responsible. Phase V however, set the same type of work priorities as the Bureau of Construction that outdated structural systems must be repaired first rather than improvements to the apartments themselves.

¹³Massachusetts, Extraordinary Maintenance Program Guidelines (May 14, 1975), p. 5.

¹⁴William G. Flynn, Secretary, Division of Communities and Development, Applications for Modernization Funds (Phase V), Memorandum to Local Housing Authorities and Tenant Organizations, September 10, 1975.

A costly priority to tenants.¹⁵ (See Table 5 for Extraordinary Maintenance payments.)

Despite the priorities set by Phase V guidelines unusual local circumstances and critical necessities were bound to arise. For this reason an appeals system was established.

Four grounds for appeal were identified: 1) Special funds would be available to eliminate major violations of the sanitary code or major building deficiencies; 2) completion of work begun in a previous phase essential to the modernization application, would be given special consideration; 3) where an allocation was insufficient to fund priorities approved by the Department additional funds could be requested; or, 4) where a work item has continually been deferred by circumstances beyond the control of the LHA special requests would be honored.¹⁶ Of the 13 housing authorities that appealed, 11 were awarded a total of \$369,950. (See Table 6.) (Appendix C illustrates the appeals process.)

Summary of Phases I-V

As of 1976, the Department of Community Affairs of Massachusetts had gone through five budget cycles in an effort to implement a Public Housing Modernization Program. The Massachusetts legislature allocated \$5 million for each of the budget cycles. \$17.7 million of the allocated funds were distributed. Of this 47.8 percent was spent for work on roofs, gutters and downspouts; work on siding and masonry repairs; work

¹⁵Massachusetts Union Public Housing Tenants, Allocation Priorities.

¹⁶Interview with Robert De Virgilio, 21 March, 1977.

TABLE 5

EXTRAORDINARY MAINTENANCE PROGRAM

A: The following housing authorities have received funds through the Extraordinary Maintenance Program:

1.	Andover H. A.	\$ 95,502.00	Heating - Boilers
2.	Bedford H. A.	8,900.00	Improvements to Heating Plant & Hot Water System
3.	Belchertown H. A.	12,650.00	Corrosion - Watertreatment
4.	Cambridge H. A.	6,933.10	Boiler Repairs
5.	Cambridge H. A.	60,000.00	Roofs
6.	Cambridge H. A.	6,078.00	Refractory Work
7.	Cambridge H. A.	12,597.00	Boiler Retubing
8.	Chelsea H. A.	48,519.96	Emergency Heating
9.	Chicopee H. A.	197,546.28	Siding - Lead Paint
10.	Franklin H. A.	15,409.00	Gas Feeding Lines
11.	Lawrence H. A.	3,208.00	Emergency -Electrical Work
12.	Lawrence H. A.	8,787.50	Emergency Electrical Work
13.	Monson H. A.	13,000.00	Installation-Leaching Field
14.	No. Andover H. A.	8,490.00	Purchase Material-Siding
15.	Rowley H. A.	24,000.00	Leaching Field
16.	Springfield H. A.	49,000.00	Basement-Waterproofing
17.	Springfield H. A.	5,232.57	Emergency-Heating & Plumbing
18.	Springfield H. A.	7,248.45	Emergency-Heating & Plumbing
19.	Taunton H. A.	154,700.00	Heating
20.	Taunton H. A.	11,518.00	Roofing
21.	Watertown H. A.	115,400.00	Boiler-Heating
	TOTAL	\$864,719.86	

B: Preliminary approvals granted, planning in progress:

1.	Abington H. A.	\$ 20,000.00	Sewerage
2.	Brockton H. A.	40,000.00	Roofs
3.	Cambridge H. A.	114,500.00	Plumbing
4.	Chelsea H. A.	150,000.00	Boilers
5.	Fall River H. A.	100,000.00	Electrical
6.	Gloucester H. A.	100,000.00	Sewerage
7.	Haverhill H. A.	13,000.00	Plaster Work on Walls
8.	Malden H. A.	14,000.00	Roofs
9.	Medford H. A.	30,000.00	Siding
10.	New Bedford H. A.	85,105.00	Waterheaters - Boilers
11.	Northampton H. A.	73,600.00	Roofs
12.	Peabody H. A.	24,600.00	Oil Storage Tanks
13.	Quincy H. A.	120,000.00	Roofs
14.	Somerville H. A.	196,249.00	Foundation Work, Bathrooms, Boiler Reparis (HOLD)
15.	Springfield H. A.	58,100.00	Heating
16.	Taunton H. A.	11,305.00	Gas Meter Enclosures
17.	Woburn H. A.	12,000.00	Termite Extermination
18.	Worcester H. A.	35,700.00	Heating Control Valves
	TOTAL	\$1,198,159.00	

TABLE 5 (Continued)

EXTRAORDINARY MAINTENANCE PROGRAM

January 28, 1977

C: Under the Extraordinary Maintenance Program the following LHA's will participate in the Lead Paint - TEE Program:

- | | |
|----------------------|---------------------|
| 1. Canton H. A. | 7. Quincy H. A. |
| 2. Fall River H. A. | 8. Watertown H. A. |
| 3. Holyoke H. A. | 9. Webster H. A. |
| 4. Medford H. A. | 10. Woburn H. A. |
| 5. New Bedford H. A. | 11. Worcester H. A. |
| 6. Peabody H. A. | |

The Department has set aside \$850,000 for lead paint removal.

SUMMARY

A: Received funds under the Extraordinary Maintenance Program:	\$ 864,719.86	
B: Preliminary approvals granted, planning in progress:	1,198,159.00	
C: Lead Paint - TEE Program	850,000.00*	
	<u>\$ 2,912,878.86</u>	TOTAL
Balance under the Extraordinary Maintenance Program:	\$ 87,121.14	

*Matched by \$282,000 from Phase V Modernization Funds

TABLE 6

PHASE V

ALLOCATIONS PRIOR TO APPEALS

<u>Application List</u> <u>200</u>	<u>Amount of</u> <u>Cash Awards</u>	<u>Date of</u> <u>Set-Aside</u>	<u>Amount of</u> <u>Allocation</u>	<u>Date of</u> <u>Allocation</u>
Agawam	88,000	5/24/76	26,000	8/20/76
Arlington	30,000	5/24/76	27,100	8/23/76
Barnstable	1,200	5/24/76	4,000	8/20/76
Boston	1,274,350	5/26/76	1,274,355	?
Brockton	52,200	5/24/76	22,200	8/20/76
Cambridge	320,400	5/24/76	189,200	8/23/76
Chelsea	88,200	5/24/76	79,000	8/16/76
Clinton	10,200	5/24/76	13,100	8/27/76
Easthampton	8,700	5/24/76	8,700	8/20/76
Gardner	16,400	5/24/76	16,400	8/20/76
Gloucester	48,000	5/24/76	14,000	8/26/76
Holyoke	86,000	5/24/76	30,000	8/25/76
Lawrence	90,400	6/ 7/76	51,170	8/25/76
Lowell	131,400	5/24/76	131,400	8/16/76
Malden	34,000	5/24/76	34,000	8/23/76
Medford	60,000	5/24/76	40,000	8/26/76
Methuen	21,000	5/24/76	27,750	8/20/76
Natick	20,000	5/24/76	24,000	8/20/76
New Bedford	108,000	5/24/76	21,105	8/20/76
North Andover	12,000	5/24/76	15,000	8/20/76
Northampton	25,000	5/24/76	16,500	8/25/76
Norwood	22,500	6/ 7/76	49,014	8/20/76
Peabody	32,200	5/24/76	37,000	8/26/76
Quincy	120,000	5/24/76	120,000	8/26/76
Springfield	239,400	5/24/76	336,200	8/16/76
Waltham	35,000	5/24/76	35,000	8/26/76
Watertown	102,600	5/24/76	126,300	8/27/76
Webster	9,000	5/24/76	9,000	8/26/76
West Springfield	27,000	5/24/76	17,000	8/27/76
Woburn	79,200	5/24/76	69,350	8/25/76
Worcester	178,000	5/24/76	175,775	8/20/76
<u>667</u>				
Arlington	36,000	5/28/76	14,000	8/23/76
Bourne			2,000	8/27/76
Burlington	15,000	5/28/76	15,000	8/27/76
Chelsea	14,000	5/28/76	14,000	8/16/76
Dartmouth	2,200	5/28/76	2,200	8/27/76
Easthampton	7,000	5/28/76	7,000	8/20/76
Gardner	15,000	5/28/76	10,000	8/20/76
Ipswich	40,000	5/28/76	12,800	8/27/76
Ludlow	12,000	5/28/76	12,000	
Mendon	2,470	5/28/76	2,500	8/27/76
Malden	14,000	5/28/76	14,000	8/23/76
Millis	3,000	5/28/76	3,000	8/27/76
Needham	22,000	5/28/76	2,000	8/27/76
Northbridge	7,000	5/28/76	10,000	8/27/76
Oxford	3,550	6/ 7/76	3,500	8/27/76
Peabody	15,000	5/28/76	15,000	8/26/76

TABLE 6 (Continued)

PHASE V APPEALS

<u>Housing Authority</u>	<u>Amount of Allocation</u>	<u>Date of Allocation</u>	<u>Appeals Date</u>	<u>Appeals Decision</u>	<u>Comments</u>
Cambridge	189,200	8/23/76	9/9/76	67,000	Kitchen Renovation
Chelsea	79,000	8/16/76	9/23/76	12,000	Heating System Renovation
Dedham	----	----	9/16/76	33,000	Bathroom Renovation
Fitchburg	----	----	9/23/76	56,000	Complete Kitchen Renovation -Phase V
Franklin	----	----	9/14/76	9,450	Completion of Heating System
Haverhill	----	----	6/16/76	30,000	Complete Windows from Phase II
Quincy	120,000	8/26/76	9/2/76	60,000	Bathroom Renovation
Springfield	336,200	8/16/76	9/16/76	22,000	Completion of Heating System
Taunton	----	----	9/8/76	57,000	Roof and Boiler Renovation
West Springfield	17,000	8/27/76	9/22/76	10,000	Completion of Heating Renovation
Woburn	69,350	8/25/76	9/9/76	3,600	Completion of Plumbing Renovation
TOTAL				<u>\$369,950</u>	

on boilers and heating plants; and work on windows and doors.¹⁷

Modernization funds for Phases I-III were allocated according to a simple per unit formula. The total modernization allocation of \$5 million per year was divided by the total number of units for which funds were requested. Each housing authority received its fair proportion. Tenant-LHA priority items were approved if they could be funded within the per unit limitation.

The administration of this per unit formula involved no determination of relative "need". In Phase IV, DCA devised a formula which considered the debt service (payment of bonds and notes that financed the project/function.) This factor handicapped those authorities which, because of the terms of their financing, were saddled with relatively high debt payments.

Eighty-two of the 125 eligible local housing authorities participated in Phases I-IV (approximately 17,000 units). Total requests during these phases totaled over \$63 million dollars.

During Phase V long term planning in the form of a five-year work item breakdown was required and an inspection process was initiated. In practice, the five-year plans seem to have been ignored. The adoption of an Extraordinary Maintenance Program helped to serve the general needs of the projects. However, many tenants were caught in the continual clash between project needs (roofs, boilers, etc.) and apartment needs (kitchen, bathrooms, etc.). Many LHA's availed themselves of the appeals process and some came out ahead.

¹⁷Op cit.

Overall, the priorities expressed by tenants and LHA's were generally approved by the state. Housing authority officials viewed the Modernization Program as a chance to replace outdated systems and to cut operating costs. The modernization program was basically geared toward capital improvements. Although efforts were made in the area of non-physical modernization and management, little was effected.

Issues

The number of households eligible for public housing in Massachusetts far exceeds the number of units available. The Commonwealth, and its housing authorities, by failing to construct new public housing, are depriving citizens of a basic right; the right to a decent home, to safe, standard housing.

Admission to public housing is almost impossible with the pressing demands being made on the small supply of units. A sampling of several housing authorities indicates an average waiting time of six years for elderly applicants and three years for family units.¹⁸

However, thousands of eligible citizens who need public housing never apply for it. They do not apply because they feel it is hopeless. Either the projects are over-subscribed or there is no public housing at all. Of the 351 cities and towns in Massachusetts, only 125 communities, have housing authorities.

It is certain that in those communities where there are no housing authorities or any units built, there are elderly people and low-income families who need subsidized housing. In many towns where there

¹⁸Based on a sampling of 25 local housing authorities, the average waiting time was determined. March 30, 1977.

are low-rent units, they are only for the elderly. There is nothing for families.

In addition to the shortage of units, another major failure in Massachusetts stems from the attitude that has prevailed toward public housing. The projects themselves are densely populated, unattractive buildings which are physically, and even psychologically, isolated from the communities which surround them. The projects not only tend to limit the outlook of the tenants but generate ill-feelings from local residents who live in the vicinity. The needs of tenants to be near places of employment, shopping centers, public transportation, schools and recreational facilities were in many instances given scant attention at the time most projects were built.

The general housing goal of the Commonwealth of Massachusetts is now to provide:

a variety of choices of decent, safe and sanitary housing in suitable locations, in suitable natural and neighborhood environments, and with adequate size and space, for all persons in the Commonwealth, available at a cost they can afford and¹⁹ without regard to racial, national or ethnic origin.

Along with such a commitment, a change in attitude regarding the rehabilitation of existing projects is occurring. The Modernization program and the enactment of Tenant Participation rules have aided in altering the prevailing middle-class notion of public housing as charity or a response to feelings of guilt.²⁰

The last Phase V dollars have been spent. The modernization kitty must now be replenished. DCA is presently trying to confront the basic

¹⁹Massachusetts, Housing Policy Statement, p. 11.

²⁰Interview with Harry Spence, Executive Director of the Cambridge Housing Authority, Cambridge, Massachusetts, 7 January, 1977.

choices involved in allocating the new 1976 authorization. In the remainder of this chapter the issues that DCA faces are summarized and the legislation of the new 1976 authorization for modernization are discussed.

The key assumption underlying the financing of public housing is that the state will pay most of the debt service (i.e., repayment of the notes and bonds purchased by the original investors), while day-to-day activities will be covered by rent payments. This is feasible as long as: 1) the cost of operation is stable, 2) tenant income is high enough to maintain operations and 3) debt service is stable. This system has not worked since the 1960's when operating costs soared and interest rates for bonds and notes increased. The Modernization program was enacted when reserves disappeared and the conditions of projects continued to deteriorate.

Legislative History of the New 1976 Authorization for Modernization

The new 1976 bond authorization came as a direct consequence of a court case, Armando Perez et al. v. Boston Housing Authority, (331 N.E. 2d 801) decided July 10, 1975. This case, referred to as the Perez case, involved a class action suit on behalf of all tenants in state-aided public housing. Plaintiffs sought enforcement of the State Sanitary Code and asked that certain state officials be enjoined from committing monies for development of low income housing until the preparation and state approval of rehabilitation plans for housing projects owned and operated by the Boston Housing Authority were effected. They also sought to require state defendants to provide funding necessary for rehabilitating housing once the plans were prepared and approved. Perez is of great significance because it comes as the climax of a series of cases concerning violations of the State Sanitary Code and low income projects

(See West Broadway Task Force, Inc. v. Commissioner of the Department of Community Affairs, 29F N.E. 2d 505, 1973).

Gershon M. Ratner, a member of the Greater Boston Legal Services (GBLS), served as attorney for the plaintiffs. Out of his direct involvement with both cases he drafted four pieces of legislation (Senate bills 1204-1207)²¹ introduced by Senator William Bulger of South Boston in March 1976 to provide money for upgrading the projects. In developing four distinct bills, Ratner felt that the legislators would be given a choice. The legislation was designed to meet the concerns of the plaintiffs in Perez. Senate bill 1205 sought to amend Section 1 of Chapter 694 of the Acts of 1970 to provide \$35 million to DCA for code violation rehabilitation of state-aided public housing rather than the \$15 million already provided. Senate bill 1207 was even stronger, stating that \$50 million be used for "Rehabilitation and to repair existing public housing to bring such housing into compliance with the State Sanitary Code, and provided further, that no unused authorization may be used for any purpose . . . unless and until such time as all public housing has been brought into compliance with the State Sanitary Code."²²

²¹Massachusetts, Legislature, Senate, An Act Clarifying the Authority of the Department of Community Affairs, 1976, Senate No. 1204.

Massachusetts, Legislature, Senate, An Act Assisting to Bring State-Aided Public Housing in the Commonwealth into Compliance with the State Sanitary Code, 1976, Senate No. 1205.

Massachusetts, Legislature, Senate, An Act Clarifying the Authority of Public Officials to Rehabilitate Public Housing, 1976, Senate No. 1206.

Massachusetts, Legislature, Senate, An Act Assisting to Bring State-Aided Public Housing into Compliance with the State Sanitary Code, 1976, Senate No. 1207.

²²Massachusetts, Legislature, Senate, Senate No. 1207.

In the meantime the Dukakis administration had put a freeze on all new authorizations in an effort to respond to the State's budget crisis. Ratner had talked with Secretary Flynn in March, 1976 and although Flynn was enthusiastic about such a program he could not support it due to the administration's fiscal policy.

The Department of Community Affairs, however, came up with a plan to spend Chapter 705 monies (used for construction of new family projects) for modernization rehabilitation. Senator Joseph F. Timilty, Chairman of the Joint Legislative Committee on Urban Affairs (UAC), became aware of this and in a news release, stated that he "would oppose any effort by the Dukakis administration and the Department of Community Affairs to spend money authorized by the Legislature for new housing construction and acquisition to fix up deteriorated projects."²³ He stated that the Legislature provides separate programs with different purposes and the Administration "should not rob one of (sic) the other."²⁴ Ratner along with Hollis Young and Cathy O'Grady (also with GBLS) were in constant communication with the UAC. Timilty and GBLS talked it over and compromised in a new modernization bill--Senate 1370--seeking authorization of \$50 million to bring rundown projects into compliance with the State Sanitary Code through the public housing modernization program. (The bill was presented April 1, 1976.)²⁵

In order to insure executive approval, some representatives met with Governor Dukakis. David Leiderman, Special Assistant to the Gover-

²³Office of Senator Joseph F. Timilty, News Release, April 15, 1976.

²⁴Ibid.

²⁵Interview with Gershon M. Ratner, attorney for Greater Boston Legal Services, Boston, Massachusetts, January 25, 1977.

nor, coordinated the sessions and persuaded them the Governor would sign the bill once approved. Speaker of the House McGee was also a prime mover at this stage. He was the original advocate of the 1970 modernization bill.

The next step was to make sure the new modernization authorization passed the House with a two thirds vote as required by law. Because this bill dealt with a large expenditure, the thrust of the lobbying effort was aimed at the House Ways and Means Committee. It is here that many actors came into play. Among them, tenant groups, LHA directors, other interest groups, legislators, DCA and the Governor himself.

In March a strategy session was held. In attendance were members of GBLs, Harry Spence, Executive Director of Cambridge Housing Authority, Howard Cohen, attorney for CHA, John Connolly of the Boston Housing Authority, Jack Plunkett and Bob McKay for the Citizens for Housing and Planning Association and Secretary Flynn. It was here that responsibilities were doled out.

A memorandum to all residents of state-aided public housing from the Massachusetts Union of Public Housing Tenants urged them to contact their legislators and lobby for support. The memo reminded tenants that it was an election year, urging them to register to vote, "It is your ultimate weapon with your legislators,"²⁶ and provided suggestions and techniques for approaching their legislators. This proved to be an effective method of lobbying with support coming from all areas of the Commonwealth. Along with specific lobbying input from special interest

²⁶Massachusetts Union of Public Housing Tenants, Time for Action on State Modernization, Memorandum to statewide local tenants organizations, September 2, 1976.

groups concerned about public housing, legislators soon banded in a concerted effort to push S-1370 through Ways and Means.

Representative Doris Bunte, of Roxbury, Jim Breagy, Special Assistant to Senator Timilty, and Lewis Crampton formerly of DCA and now a staff member in Speaker Thomas McGee's office, were instrumental in getting the bill through. Representative Bunte introduced two bills in mid-April, 1976: 1) providing for the modernization and renovation of federal public housing projects in Boston (House No. 2950), and 2) providing funds for modernization of the Franklin Hill and Franklin Field Project (House No. 2954).

Jim Breagy who works specifically with matters concerning the UAC, was instrumental in drafting S-1370. He followed the daily course of the bill and wrote the news releases for Timilty's office.

Lewis Crampton, because of his past ties with DCA made a strong case for modernization to Speaker McGee an original modernization advocate. All three personalities had to convince the Speaker and Ways and Means Committee that the Department of Community Affairs could administer the program. The \$50 million would allow for a multi-year funding concept to insure a "planned and systematic" approach.

One problem during the lobbying process were the large city housing authorities advocating the bill. There was a strong feeling that a substantial portion of the monies should go to Boston. Even though the bill originally started out as a Boston metropolitan area effort, it was drafted to have statewide implications. It is common knowledge that if a bill is specifically designed for residents of the Boston area, it dies.

The legislation was close to faltering at this stage. It languished during the summer months and by September faced with the closing of the legislative session, a final push had to be made. Late August and September strategy sessions were held by the key actors. Finally on Tuesday, October 12, 1976, the bill passed the House. It was only a few days before the bill passed the Senate and was on the Governor's desk. The bill was signed during impressive ceremonies at the Fairmount housing project in Hyde Park on Thursday, October 28, 1976. It is now known as Chapter 477 of the Acts of 1976.

Summary

There is now another \$50 million to spend on modernization over the next five years. From the story about the enactment of the legislature it is clear that strong personalities were tied to the passage of the act. They represent constituencies that must be served.

It is interesting to note that although the Commonwealth is encountering financial problems, the new bill which had almost no chance of passage was approved. This coupled with the fact that public housing is such an unappealing issue makes its enactment all the more remarkable.

Senator Joseph F. Timilty, initiator of the bill, was the key to developing support. Through a series of news releases, he kept the public informed of the pending legislation. The Urban Affairs Committee's network of contacts helped to define the lobbying process and actors involved.

The actual issues at stake were kept to a minimum. Only the need for increased funding to rehabilitate deteriorating public housing

was discussed. In answer to this basic issue a statewide inventory and inspection of projects was initiated by DCA. The inspection will produce a data base upon which the Department can set up a cost-benefit priority system for allocating modernization funds for local housing authorities.

Local housing authorities are expected to improve management of the modernization process through tenant participation. Management improvements paid out of regular operating budgets, particularly at the project level, will probably be a prime objective of modernization once again.

Exactly where does the new bill fit into the evolution of public housing policy in Massachusetts over the past decade? All that was passed is a "bare bones" authorization of funding. DCA is now compelled to develop policy. The regulations and guidelines that DCA adopts will provide the basis for an answer to this question.

CHAPTER II

DEVELOPING ALLOCATION CRITERIA

Past Experience

Allocation procedures during the past five modernization phases reflected somewhat futile efforts to define a process whereby monies were expended for physical modernization with tenant participation (i.e., non-physical modernization) in accordance with the Rules and Regulations of Chapter 694. Phases I, II and III distributed funding on a per unit basis, allocating a specified amount of money for every apartment in each public housing project. Thus, a specified amount went to each participating LHA.

During phases II and III concerns about non-physical modernization arose. This resulted in a push for regulations defining the appropriate role of tenants. The Massachusetts Union of Public Housing Tenants (MUPHT), the Massachusetts Law Reform Institute, and several local housing authorities formed a committee headed by Edward Blackman of the Boston Housing Authority to press for tenant participation in the modernization program. The effort was partly successful. DCA agreed that physical modernization would be processed only if they had tenant sign-off. This required, in most cases, the election of tenants to represent those living in the project.

Many housing authorities felt that tenants had no right to determine priorities for apartment renovation. Some LHA's felt that tenants would be too demanding and forceful in shaping modernization proposals and thus they did not even apply. A few tenant groups, took the initiative and made their own applications.²⁷

²⁷Interview with Brian Opert, 19 April, 1977.

Phase IV allocations involved a two step application process. The first step required each housing authority to provide the Department of Community Affairs with information concerning debt service, current status of operating reserves and average number of bedrooms per unit. This information was in a set formula determined by MAC and used to adjust the per unit allocation. Requests from housing authorities were then reviewed in light of these formula allocations.

In Phase V the review process was revamped to include a more comprehensive evaluation of the physical need for modernization. DCA placed highest priorities on work items involving major structural work (plumbing, roofs, electrical work). They feel that these improvements were most important. The allocation process moved away from a dollar per unit distribution to money for work items of critical importance. (For a more detailed description of Phases I - V please refer to Chapter I.)

Despite the changes in the allocation process, the modernization program did not achieve the objectives indicated in the Rules and Regulations. Modernization of tenant involvement procedures was only loosely related to physical modernization efforts. Planning for more than one year was discouraged, since applications were reviewed on a year-to-year basis. More importantly, policy regarding allocations and non-physical modernization varied one year to the next.

Changes are needed once again to ensure that the fiscal modernization program during the current year (Fiscal year 1978), encourages tenant participation and long range planning. The Massachusetts Union of Public Housing tenants suggested in 1976, that the physical conditions of each state housing project be assessed by an independent evaluator.²⁸

²⁸Mass. Union of Public Housing Tenants, Allocation Priorities.

Such an assessment would aid the DCA in allocating funds to LHA's for modernization purposes and in providing decent housing for the citizens of the Commonwealth.

Inspection

A survey of the physical conditions of all Chapter 200 housing projects in the state was undertaken from September 1976 to October 1976. The goals and organization of the Inspection were formulated by the staff of the Department of Community Affairs, recommendations of the Modernization Advisory Committee were taken into account. The architectural planning firm of Wallace, Floyd, Ellenzweig, Moore, Inc. (WFEM) and Lew Zetlin Associates, Inc. (LZA) worked for four months to design an effective inspection system.

The purpose of the Inspection was to estimate the actual cost of over 22 possible work items (involving both exterior and interior improvements) and the need for these improvements in individual housing projects. Most of these improvements were required to bring the housing projects into compliance with the State Sanitary Code.

Inspections were undertaken with the active involvement and cooperation of the local housing authorities, including their administrative and maintenance personnel, local tenant organizations as well as many individual tenants.

The Commonwealth was divided into six regions; inspections in each region were completed by different consulting groups. (See Table 7.) Teams (composed of five engineers and architects with modernization experience and inspectors) inspected an average of one site per day (large sites required two to three days). 265 items were reviewed at each site; 18

INDEX OF REGIONS

TABLE 7

TEAM 1: WEST - Caolo & Bienick, Inc.

Agawam	200-1,2	Gardner	200-2	Northampton	200-1
Chicopee	200-1		200-3	Pittsfield	200-1
Clinton	200-1	Greenfield	200-1	Springfield	200-1
Easthampton	200-1	Holyoke	200-1		200-2
Fitchburg	200-1	Leominster	200-1		200-3
Franklin	200-1	Montague	200-1	Westfield	200-1
				West Springfield	200-1

TEAM 2: WEST CENTRAL - Stull Associates, Inc.

Arlington	200-1	Franklin	200-1	Uxbridge	200-1
	200-2	Grafton	200-1	Watertown	200-3C
Bedford	200-1	Milford	200-1	Webster	200-1
Canton	200-1	Millbury	200-1	Wellesley	200-1
Dedham	200-1	Natick	200-1	Westborough	200-1
	200-2	Needham	200-1	Worcester	200-1
Framingham	200-1	Norwood	200-1		200-2
	200-2	Stoughton	200-1		

TEAM 3: NORTH SHORE - Childs, Bertman, Tseckares Associates, Inc.

Amesbury	200-1	Lowell	200-1	North Andover	200-1
Andover	200-1	Lynn	200-1	Peabody	200-1
Beverly	200-1		200-3		200-2
	200-2	Marblehead	200-1	Revere	200-1
Gloucester	200-1		200-2	Salem	200-1
Haverhill	200-1	Methuen	200-1		200-2
	200-2	Nahant	200-1	Swampscott	200-1
Ipswich	200-1	Newburyport	200-1		200-2
Lawrence	200-1			Winthrop	200-1
	200-2				

TEAM 4: INNER SUBURBS - Wallace, Floyd, Ellenzweig, Moore, Inc.

Belmont	200-1	Chelsea	200-1	Somerville	200-1
Brookline	200-1		200-2		200-2
	200-2		200-3	Stoneham	200-1
Cambridge	200-1	Everett	200-1		200-2
	200-2,6		200-2	Waltham	200-1
	200-3		200-3		200-2
	200-4	Malden	200-1		200-3
	200-5	Medford	200-2	Woburn	200-1
			200-1		200-2
					200-3

TABLE 7 (Continued)

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TEAM 5: BOSTON - Huygenst, Tappe, Inc.

Boston	200-1	Boston	200-5	Boston	200-11
	200-2		200-7		200-12
	200-3		200-8		
	200-4		200-10		

TEAM 6: SOUTH SHORE - Community Development Partnership, Inc.

Attleboro	200-1	Hull	200-1	North Attleboro	200-1
Barnstable	200-1	Mansfield	200-1	Plymouth	200-1
Brockton	200-1	Mattapoissett	200-1	Quincy	200-1
	200-2	Middleboro	200-1	Taunton	200-1
Fall River	200-1	New Bedford	200-1		200-2
	200-2		200-2	Weymouth	200-1,2
	200-3		200-3		

separate inspection forms were used. (See Table 8.)

The inspectors followed the instructions contained in a 300 page Manual of Instructions designed to standardize the inspections. Inspectors were required to answer the following questions:

1. Does the item require major work (replacement or minor work/repair)?
2. Should the work be done NOW (within a year) or LATER (within two to five years)?
3. What is the quantity of work to be done?
4. What are the NEEDS which prompt the work (health and safety, energy, security, other)?
5. What is the apparent cause of the condition which prompts the work (deterioration, damage, obsolescence)?²⁹

Inspections involved meetings with project managers, tenant representatives and LHA officials. Information was transmitted daily to the Department of Community Affairs. Field visits were made by WFEM and LZA prior to the actual inspections in order to 1) establish a random sampling of buildings and units in the project and notifying affected tenants of the inspection and 2) to monitor the team's work and the conduct of a post-inspection meeting.³⁰ An extensive post-inspection check of all returned data was made by WFEM/LZA for completeness and accuracy.

The information gathered has provided DCA with baseline information with which to formulate policy regarding the physical maintenance of Chapter 200 housing. The data base has been designed so that it can be "expanded or modified to serve as a useful management tool in assisting

²⁹Wallace, Floyd Ellenzwieg, Moore, Inc., "Summary Report," Modernization Inspections Chapter 200 State-Aided Family Housing, Vol. I, 1976, p. 45.

³⁰Ibid., p. 47.

TABLE 8

MAJOR WORK CATEGORIES AND WORK ITEMS

Sitework

Grounds

Building

Roofs and Gutters

Foundations/Siding

Windows and Doors

Stairs and Porches

Entries and Vestibules

Corridors and Stairs

Attics and Basements

Management/Maintenance Spaces

Community Spaces

Major Mechanical Systems

Heating & Ventilating

Water & Gas Supply and
Distribution

Waste and Sewage

Fire Protection

Electrical Service

Emergency Systems

Dwelling Unit

Kitchens (including mechanical &
electrical)

Bathrooms (including mechanical &
electrical)

Other Rooms

Other Mechanical Work

Source: Wallace, Floyd, Ellenzweig, Moore, Inc. Modernization Inspection Chapter 200 State-Aided Family Housing, Vol. 1, "Summary Report," (March 22, 1977), p. 13.

the Department to discharge its responsibility."³¹ For example the work priorities and rehabilitation items can be reviewed yearly as particular tasks are completed.

Another component of the Modernization Inspection, included an analysis of potential energy saving improvements that might be made. Detailed results of the inspection will not be published until the Summer of 1977. Preliminary results, however, are available. The Inspectors tried to pinpoint current energy losses that might be corrected.

Twelve major work items, e.g., storm windows and doors, insulation and piping, heating components and thermostats (from dwelling unit usage to central boiler plant design) which could affect energy conservation were investigated on a project-by-project basis.

Each work area has been assigned a value for potential annual BTU's to be saved should the item under consideration be repaired or replaced. To arrive at-cost savings, actual project fuel costs were used where available; otherwise an assumed value was used based on average Massachusetts fuel costs derived from local utility company statistics.³²

Many projects were suffering serious energy losses due to uncontrolled or deteriorated heating systems. Total repair costs for these items have been compared with annual fuel cost savings. DCA has concluded that energy efficiency could be increased by as much as 35% if modernization improvements were made.³³

Upon completion of the inspections, regional averages were tallied and compared to state averages. Intensive training sessions, standardi-

³¹Ibid., p. 2.

³²Wallace et al., "Special Reports," Vol. 2, Chapter 1, (1976).

³³Ibid.

zation of costs of items inspected, qualifications for inspectors, development of a Manual of Instruction were all used to ensure uniformity throughout the inspection process.

Inspection results suggested that \$138 million is required to bring all 200 projects into conformance with minimum standards. \$62 million worth of critical improvements that must be made within one year have also been identified.³⁴

Repairs to interior dwelling units will require most of the funding (41%). Kitchens and bathrooms represent the largest dwelling unit costs, \$15.3 million and \$16.5 million respectively.

Building exteriors are next in order of the funds required to make necessary repairs. Most work is concentrated on windows, roofs and siding (all-weather tightness problems).

In terms of electrical, heating, storm and sewage problems, substantial work is needed to bring these up to minimum standards. (See Table 9.)

Category	NOW Work Needed Within One Year (Statewide)		Total	
		%		%
DWELLING UNITS	\$30,962,148	50%	\$56,294,958	41%
BUILDINGS	17,322,972	28%	49,573,879	36%
MAJOR M/E SYSTEMS	9,899,583	16%	21,590,740	16%
SITWORK	3,501,502	6%	10,170,348	7%
SPECIAL PROBLEMS	601,120	1%	651,692	-
SPECIAL BUILDINGS	143,807	-	294,661	-

Source: Wallace, et al., "Summary Report," p. 14.

³⁴Interview with Allan B. Isbitz, Modernization Coordinator, Department of Community Affairs, Boston, Massachusetts, 14 April, 1977.

TABLE 9 (Continued)

Item Within Dwelling Unit	NOW WORK	%	Total	%
BATHS (INC. M/E)	\$11,925,459	39%	\$16,577,990	29%
KITCHENS (INC. M/E)	8,967,665	29%	15,366,598	28%
OTHER ROOMS	8,059,936	26%	19,922,018	35%
OTHER MECHANICAL	2,009,088	6%	4,428,352	8%

Improvements needed were sorted into NOW and LATER categories.

WFEM suggested that work done in the NOW category be done immediately to remedy situations threatening the health and safety of tenants. LATER items should be completed in two to five years.

Several projects in poor condition referred to as Distressed projects requiring large sums of funding are being considered for a "Pilot Study Program."³⁵ This experimental program will address "some of the management and social problems . . . as well as provide funds to repair physical structures." Richard Baron of McCormack and Associates of St. Louis, Missouri was selected to coordinate this program due to their success with distressed projects in St. Louis. McCormack devised a program design including site selection criteria, LHA commitment to the program, tenant organization and municipal support. The pilot project will seek to increase the long-term viability of the selected developments by upgrading the physical condition, developing and implementing an efficient operating budget and decreasing vacancies. The foremost objective is to permit tenants to have a greater say in the management and decision-making processes, as stipulated in the DCA "Regulations for

³⁵ Executive Office of Communities and Development, News Release, March 11, 1977.

Tenant Participation."³⁶

Only projects with 100 or more apartments were considered for the Pilot Program. The larger the project, the greater the number of people affected and the greater the benefit a Modernization Program will have. Indicators such as 1) amount of funding needed for renovation per dwelling unit; 2) amount needed per dwelling unit NOW; and, 3) a deferred maintenance factor (necessary renovation that has been postponed, whether intentional or not) per dwelling unit were also considered.³⁷ Above average scores in the above categories were presumed to be key indicators of physical distress. A result of 25% or more above team average was considered an "indicator" of project distress. Twenty such distressed projects were identified; ten projects showed distress either on two or three counts.³⁸

As of this writing the Pilot Program is still in an organizational stage, but implementation should begin early Summer, 1977.

For a detailed look at an inspection data packet sent to the projects, please refer to Appendix D.

³⁶ Interview with Allan Isbitz, 15 February, 1977.

³⁷ Wallace et al., "Special Reports," Ch. 3.

³⁸ It is recommended on the basis of the Inspection that the following projects be considered for Comprehensive Pilot Programs. ("Special Reports," Ch. 3.)

Lowell	200-1	292 Apts.
Springfield	200-1	200 Apts.
Gloucester	200-1	160 Apts.
Cambridge	200-2,6	309 Apts.
Cambridge	200-4	228 Apts.
Boston	200-1	972 Apts.
Boston	200-8	354 Apts.
Boston	200-11	504 Apts.
Taunton	200-1	102 Apts.
Watertown	200-3C	228 Apts.

Application Procedure

As soon as the preliminary Inspection results were returned to the DCA, the Application for Modernization funding was re-drafted. Because of past experiences and future hopes for the program, many requirements and philosophies had to be incorporated in the new Application.

The Massachusetts Union of Public Housing Tenants felt strongly that modernization should be linked to management improvement, specifically tenant participation. The Modernization Program required the identification of a tenant organization in every housing authority, a sign-off by tenant representatives was required prior to project approval. Not surprisingly, tenants and management occasionally came into conflict. Tenants often feel that Modernization funds should be expended on items to improve outdated facilities such as bathrooms and kitchens. However, management requests for roof repairs, siding, plumbing and other structural repairs have often been approved.³⁹

Under the direction of Allan Isbitz, Modernization Coordinator, the Department of Community Affairs mapped out a response to the Massachusetts Union. These priorities were incorporated into the new Modernization Program's expenditure of \$50 million. Long-term strategies for improvement included research into the multi-year problems dealt with in the program and long-term predictability in funding.

The new applications require a five-year Capital Improvement Plan (CIP) listing five year goals including a description of the community, a strategy for accomplishing physical improvements. A Management Improvement Plan (MIP) must also be included which covers preventive maintenance, local housing authority relationships with the community, and tenant

³⁹ Interview with John Keane, Director of Mass. Union of Public Housing Tenants, Boston, Massachusetts, 6 January, 1977.

employment. Tenant participation in the CIP and MIP will be compulsory both in the planning and implementation stages.

In addition to the above, non-physical Modernization priorities will include enforcement of the regulations enacted concerning tenant services. (See Chapter I) The new application will require full compliance with the regulations and may require the housing authority to demonstrate how these provisions will be met.⁴⁰

The WFEM report repeatedly pushed for the institution of a pilot project; a concentrated effort in rehabilitation of seven to twelve projects in dire need. Selection criteria and objectives for the pilot program have begun. Criteria for eligibility are:

1. Only projects containing 100 apartments and over;
2. physical deterioration in upper 50% of the above size class (approximately 27 projects);
3. current vacancy rate among top half of projects and increasing trend over the past six months;
4. invite the projects in these categories (10) projects to submit proposals and pick the best five or six.⁴¹

One objective of this program is to correct most of the state sanitary code violations. Also execution of major management improvements such as local control over maintenance staff and improving programming of maintenance work. Tenant Participation must be formalized at every level of the pilot effort. Therefore, tenants must be given access to outside professional expertise when needed. Neighborhood task forces will be established as a lobby for municipal services and

⁴⁰ Allan Isbitz, Mass. Union Position Paper of June 9, 1976, Memorandum to Members, Modernization Advisory Committee, July 1, 1976.

⁴¹ Criteria for Pilot Project Candidates, Modernization Memorandum, January, 1977.

private social services as well as to provide perspective and advice to the pilot effort and reducing the isolation of the pilot project from the rest of the community. The Conventional Modernization Program (e.g., Phases I-V) and the new experimental pilot project are competing for the same funds.

During the legislative lobbying for the \$50 million appropriation, the Department of Community Affairs sent a model budget calling for a \$25 million and \$23 million division between the Conventional Program and the pilot program.⁴² (See Table 10.) Decisions have had to be made about that split. Issues such as rectifying state sanitary code violations with the budget amounts, number of actual pilot projects in the program that can be done successfully, program commitments to elderly (Chapter 667) housing and renovations for the handicapped had to be settled. Basic questions as to where the money was to be budgeted and at what level had to be decided.

In December, 1976 an alternate budget was proposed by Isbitz. (See Table 11.) This budget lowered the total number of apartments in the pilot program to 3,000 units; the proposal also lowered the amounts granted for Chapter 667 by \$500,000 but added a concept called matching grants. The budget assumes that the average statewide distribution for Conventional Modernization will be approximately \$1,700 per unit. (The figure is for budgetary purposes only). However, the method of allocating funds will be determined after examination of the WFEM reports.

⁴²Allan Isbitz, Alternate Approaches in Budgeting for the \$50 Million Available Under the Modernization Act, Memorandum to Karen Falat, December 21, 1976.

TABLE 10

SPENDING PLAN

PROPOSED MODERNIZATION FUNDS

Project Category	Year 1	(\$ in millions)			TOTAL
		Year 2 FY 78	Year 3 FY 79	Year 4 FY 80	
<u>Total Program Cost</u>	12	12	12	12	50
<u>On-going Capital Improvements</u>					
Chapter 200	\$ 7.3	5.3	4.3	5.1	22
Chapter 667	.7	.7	.7	.9	3
\$/Apt.*	--	--	--	--	\$2,083
Total	8	6	5	6	25
<u>Pilot Program</u>					
Projects	2	3	4	3	12
\$/Pilot (Ave.)	2.0	2.0	1.75	2.0	--
\$/Apt.*	--	--	--	--	\$6,000*
Total	4	6	7	6	23
<u>Administrative Costs</u>	--	--	--	--	2

*Chapter 200 Projections Only

NOTE: Total Chapter 200 units under Pilot Programs = 4,000

Total Chapter 200 units under On-going Modernization 11,000

Above allocations may be altered in accordance with the results of general inspections.

TABLE 11

MODERNIZATION PROGRAM: PROPOSED 4 - YEAR BUDGET

ALTERNATE APPROACH

The following is the first draft of a suggested budget for use of the \$50 million. It is meant primarily as a discussion document, and not as a format department position. As such it contains some of the policy considerations we have mentioned at previous meetings.

CONVENTIONAL PROGRAM		\$24.5 Million
Entitlement Reserve	\$20.4 M	
(\$1,700 X 12,000 Apts)		
Incentive Pool	2.1 M	
(Matching grants) ²		
Appeals	1.5 M	
Local Administration	.5 M	
Total Program Costs	\$24.5 M	
PILOT PROGRAM		\$15.0 Million
Physical Improvements	\$12.0 M	
(\$4,000 X 3,000 Apts)		
Non-Physical Improve- ments	3.0 M ⁴	
(\$1,000 X 3,000 Apts)		
Total from Modernization Funds	15.0 M	
Matching Grants	6.0 M	
Total Pilot Program All Sources	\$21.0 M	
ELDERLY HOUSING 667 (5%)		\$ 2.5 Million
HANDICAPPED HOUSING IMPROVEMENTS (5%)		\$ 2.5 Million
DCA ADMINISTRATION (0.5%)		\$0.25 Million
CONTINGENCY (10.5%)		<u>\$ 5.25Million</u>
TOTAL MODERNIZATION PROGRAM (1977-1980)		\$50.00Million

TABLE 12
 MODERNIZATION PROGRAM
 PROPOSED 5-YEAR BUDGET

A.	Conventional Program	\$28.5 Million
	Chapter 200 Modernization	
	Entitlement Pool (\$1,695/apt. for 12,800 apts.)	\$ 21.7 M
	Incentive Bonus (10%)	2.2 M
	Local Administration	0.5 M
	Contingency (10%)	2.3 M
	<u>Total Chapter 200(\$2085/apt)</u>	\$ 26.7 M
	Chapter 667 Modernization (6% of \$28.5 M)	
B.	Pilot Demonstration Program	\$13.25 Million
	(\$6,023/apt for 2,000 apts)	
C.	Pilot or Conventional Reserve (Chapter 200 & 667)	\$ 2.5 Million
	(Not to be used until year 3)	
D.	Management Improvement Program (Subject to further review)	\$ 3.0 Million
	Maintenance Improvements	\$ 1.0 M
	Management Improvements	1.0 M
	Security	0.7 M
	Contingency	0.3 M
	<u>Total MIP</u>	\$ 3.0 M
E.	Energy Pilots	\$ 1.0 Million
F.	Handicapped Housing (3% of \$50 M)	\$ 1.5 Million
G.	DCA Administration	\$ 0.25 Million
	 TOTAL MODERNIZATION PROGRAM:	 \$50.0 Million

Through the use of matching grants (bonus funds) with monies from Modernization contingencies for that purpose, it is suggested that a project be able to increase its allocation by as much as 20%. The assumption is made that there will be substantial encouragement to match the use of Modernization monies on a two-to-one basis. That is, for every one dollar of Modernization money there will be a two dollar matching contribution from other sources such as Title XX, Community Development, Block Grants, etc. monies from Modernization contingencies will be used.

After much deliberation a final version was approved February 22, 1977 (See Table 12.) The resultant expenditures in terms of physical and non-physical improvements will be as follows:

	<u>Physical</u>	<u>Non-Physical & Administrative</u>
Conventional Program	\$22.2 million	\$2.2 million
Pilot Program	15.75	3.7
Elderly Chapter 667	1.8	000
Handicapped Housing	1.5	000
DCA Administration	000	.25
Contingency	000	2.6
Total all programs:	<u>\$41.25 million</u>	<u>\$8.75 million</u>

Calculations were done on a regional basis according to Table 7, taking into account the total number of units per region and dividing this amount by \$1 million. (Based on statewide allocation.) The quotient became the factor upon which calculations for the four categories used for presentation to the MAC committee in February. The Health and Safety NOW category was chosen. The criteria was chosen because the results of the WFEM survey indicated that more than \$90 million is

required to make improvements for the health and safety of the tenants. These needs are based primarily on the State Sanitary Code. Also, the inspection results show that almost every project has a substantial need for improvements in the health and safety category.

The legislation for the Modernization Program limits spending by the Department of Community Affairs to \$12 million a year. In order to insure that the spending ceiling is not exceeded, the Department of Community Affairs will make available in 1977 approximately half of the Entitlement money for distribution during fiscal years 1977 and 1978.

The significant advantage of the new Entitlement system is that the housing authority and tenant organization in each project know how much modernization money is available to their project(s) for the next five years. Local housing authorities and tenant organizations will be able to plan how to spend Modernization funds most effectively throughout this period of time.

Modernization Entitlement funds may be used for physical improvements only. According to Chapter 477 of the Acts of 1976 the Department of Community Affairs must "give priority to bringing existing state-aided projects into compliance with the State Sanitary Code." Therefore, to be eligible for Entitlement money, at least 80% of the physical improvements in each 1977 Modernization Program must be for work in the health and safety category as identified in the statewide physical survey, or as certified by local health officials. Funds will be available for Chapter 667 to correct certified violations of the State Sanitary Code. As of this writing no Entitlement system has been established for the elderly projects.

To receive Entitlement monies the housing authority must first satisfy the eligibility requirements. It must have adopted the Rules and Regulations of the Department promulgated May 5, 1976 pertaining to lease provisions, tenant grievance procedures, tenant participation, eligibility, and tenant selection and transfer. Furthermore, the lease and grievance regulations must have been implemented. In addition, the LHA must have expended all available operating reserves, or be in the process of spending those reserves.

The Rules and Regulations of the Modernization and Renovation Loan Act promulgated in 1971 spell out the requirements for tenant participation in the Modernization Program. The new Modernization application calls for three basic documents to be submitted jointly by the LHA and LTO. The first is a five-year capital improvement plan for expending the Entitlement money, reserves, and other funds, listing work in order of priority. Second, each LHA and LTO are to complete a current-year Capital Improvement Plan based on the Entitlement money plus any other funds secured by the LHA for 1977. Third, each Modernization application must include a Management Improvement Plan which identifies the top priority management or social problems at the project and defining an improvement program aimed at these problems.⁴³

The Department has established an incentive bonus system to encourage LHA's and municipal governments to seek other funds to use in conjunction with Modernization monies. Each Chapter 200 project may receive up to 20% more than its Entitlement amount if the LHA and/or LTO succeed in obtaining other funds for that project. These funds may come from Commu-

⁴³Allan Isbitz, Transmittal Memorandum on the 1977 Modernization Program, Memorandum to Karen Falat, Wayne Sherwood and Jon Steinberg, February 28, 1977.

ity Development Block Grants, Title XX public welfare, C.E.T.A., or other programs. They may be intended for either physical or non-physical purposes. However, they must be incorporated into the Capital Improvement or Management Improvement Plans when commitments are secured. For every such \$200 received from outside sources, the Department will grant the project an additional \$100 for physical improvements up to a limit of 20% of the Entitlement. Chapter 667 projects are not eligible for bonus money.

After several drafts of the application were developed, a final version was approved by the MAC in March, 1977. (See Appendix F.) Although it contains the improvements detailed earlier, all that remains to be seen is the implementation process.

CHAPTER III

POSSIBLE IMPLICATIONS OF DCA'S NEW PROGRAM GUIDELINES

Standards

The 1977-78 Modernization Program reflects several important changes. In an effort to encourage long term planning in the Conventional Program DCA has set aside an Entitlement amount for each housing project. The LHA's tenant organizations now know how much they can count on for the next five years assuming they meet all the necessary standards. (For details on the entitlement system please refer to Chapter II.)

Bonus funds are also available. DCA will match Title XX, Community Development Block Grants or other outside funds that LHA's can secure with a 50% contribution over and above the Entitlement. This can not exceed 20% of the Entitlement, however, DCA officials presume that the LHA and the local tenant organizations will focus on the most badly needed physical improvements, specifically those related to the State Sanitary Code as required by Chapter 477 of the Acts of 1976.

The new application process requires that LHA's indicate the number of full-time staff members responsible for the Program and the consultants employed. DCA hopes to be able to maintain a current mailing list of all tenant representatives and those responsible for modernization.

In order to receive Entitlement monies, LHA's must adopt the Rules and Regulations promulgated May 5, 1976 pertaining to lease provisions, tenant grievance procedures, tenant participation, eligibility for public housing, and tenant selection and transfer. These regulations were subject to stormy debate during the early months of 1977.

Regulations concerning lease provisions set forth standards and criteria for management-tenant relationships, LHA's and tenant organizations must prepare the leases in which management and tenants are aware of their respective duties and responsibilities. Grievance procedures allow for a tenant who feels aggrieved about any local housing authority action or failure to act in accordance with a lease or any regulation that affects a tenant's status, rights or duties to be entitled to a hearing before a hearing panel. The panel is composed of five members: two representatives of the LHA, two representatives of the tenant organization and one observer. Since the enactment of these provisions a year ago, only 130 local housing authorities have approved the lease provisions and 90 the grievance procedures of the 203 housing authorities with dwelling units under state aid.⁴⁴ There is still opposition from local housing authorities to the notion of tenant rights. Many authorities feel that the Commonwealth through the DCA has no control over them and that they can do as they please.

The Modernization Advisory Committee (MAC) composed of members of LHA's, tenant organizations and professionals in the area of public housing knew since 1976 that concern over the regulations was growing. During the January and February MAC meetings the debates began. Executive directors felt that requiring housing authority approval of the regulations was stringent.

The legislature was pressuring the DCA on the implementation of the Tenant Selection regulation. This regulation concerns allocation of available units to applicants and tenants of the LHA on the waiting

⁴⁴Interview with Jon Steinberg, Director, Bureau of Tenant Management Services, Department of Community Affairs, Boston, Massachusetts 27 April, 1977.

list. There must be no discrimination against any applicant based on non-residency in the municipality where the application is filed.

Thereby, tenant selection will not be done on a basis that favors only the town's residents. If a prospective applicant from Town A finds that there is a long waiting list in his town and virtually little waiting time in Town B, he should be able to apply there and treated on the same level as Town B's applicants.

The Ipswich Housing Authority had raised development funds to build Chapter 667 and 705 housing. However as of January 1977, they were not in compliance with the Rules and Regulations. Secretary of Communities and Development, William G. Flynn stated that they would have to pass a resolution in compliance with the Rules and Regulations in order to receive the funds for which they were otherwise eligible. On February 3, 1977 Ipswich approved by resolution the Rules and Regulations.

The DCA had to decide whether to require compliance with all regulations or to compromise on specific issues. The MAC March 1977 meeting was crucial. Time was short, the Modernization Applications had to be distributed in order to have adequate time for review and allocations before the end of the fiscal year. (See following section.)

The Massachusetts Union of Public Housing Tenants (John Keane) and the Massachusetts Law Reform Institute (Richard Allen) urged that all regulations be implemented. The housing authorities were in trouble with their local Board of Commissioners (acts as trustees to

oversee direction of the housing authority; is composed of five members, four appointed by town mayor or selectmen and one by the State) who want direct administration over the regulations. During the March meeting it was agreed that the local housing authorities would have to implement the lease and grievance procedures in order for eligibility for modernization funds. It was felt that these regulations were most basic to tenant concerns. The lease provisions, eviction procedures, and grievance regulations while important, were thought to be less crucial.⁴⁵

If the housing authority is not in compliance with the above regulations, they must give a rationale and indicate how implementation will occur in 90 days. (Please refer to Appendix F while reading this chapter in order to fully comprehend the narrative.)

Also the MAC March meeting it was decided that all regulations must be certified and adopted by the Board of Commissioners. Richard Allen of the Massachusetts Law Reform Institute urged that the resolution passed by the Board of Commissioners be signed under "penalty of perjury" i.e., if all the regulations are not enforced the signers will be under penalty of law. An immediate uproar ensued about the legality of such a clause. However, Jon Steinberg, Director of Tenant Management Services in an effort for compromise, proposed that the DCA require a formal board vote, minutes of the meeting and the seal of the local housing authority be affixed on the resolution. The Secretary of the Board (who is the Executive Director of the housing authority) acts as the official signer of the resolution. This is the method used

⁴⁵Interview with Allan Isbitz, 28 April, 1977.

in accordance with HUD policies.⁴⁶ This action met with approval and the way for effective management of the housing authorities had begun. The following criteria described are the basic components of the Modernization Application for 1977-78. (Modernization Conventional Program) Emphasis will be placed on those areas of the application requiring use of the WFEM reports, tenant participation and adherence to the regulations enacted May, 1976.

Applications for Modernization funds fiscal year 1978 must also conform to the Rules and Regulations of the Modernization Act of 1970, enacted March 16, 1971 which includes tenant participation and sign off. In addition Chapter 477 of the Acts of 1976 which makes available the \$50 million authorization for this Program, requires that the Department of Community Affairs "give priority to bringing existing state-aided public housing into compliance with the state Sanitary code."

Because Modernization Entitlement funds must be used for physical improvements only, a five-year Capital Improvement Plan (CIP) must be completed. (Please see Appendix F, Part IIIA.) This plan used in conjunction with the data provided by the WFEM inspection report will provide the basis for long term physical improvements to the project.

The CIP calls for listing all work items by priority with a detailed description of the item, source of funds and number of apartments and buildings involved. Data from the WFEM inspection is required. From the work priorities determined by the project it must be determined in conjunction with the WFEM report whether work can be done NOW or LATER.

⁴⁶Interview with Jon Steinberg, 29 April, 1977.

In order for the DCA to fully comprehend the physical needs and general condition of the project, photographs of the projects are required of the LHA's. These pictures will show the surrounding neighborhood and work priorities.

This portion of the application also requires the LHA's to explain the rationale behind the priorities chosen as they relate to health and safety. Also needed is a description of any anticipated funding sources other than Modernization. An energy conservation program should be discussed as well as depicting as accurately as possible the projected energy savings.

An accompaniment to the five-year CIP is the CIP for 1977-78. (Part IIIIB of Appendix F.) Using the Entitlement available for fiscal year 1977-78, the project must budget this amount in addition to any bonus funds and reserves to determine its total budget. The project is then required to allot 80% of its Modernization funding to health and safety rehabilitation. This must be done in order to be eligible for Modernization monies.

An innovation in the format will be a past performance record, whereby the DCA can monitor the rate of program expenditures.

The CIP also requires that the housing authority describe how tenant employment opportunities will be provided with the Modernization funds. It also includes employment of the LHA staff, or employment generated from contractors working on the Modernization program.

In relation to the CIP, the Management Improvement Plan (MIP) (Part IIIC of Appendix F) must also be completed to relate the physical

issues involved in the CIP to key management issues. The Rules and Regulations of the Modernization and Renovation Loan Act of 1970 require that tenants of each project affected by the Modernization Program "shall be involved in decisions related to the planning and implementation of the program."

The MIP is an attempt to focus on this requirement by coordinating the efforts of the LHA and tenant organization. The MIP is basically a problem solving process concerning this coordination.

Through a series of meetings, the parties involved discuss and define the major management problems confronted by their respective developments and choose one or two that will be dealt with in the application for one year.⁴⁷

The problem or need must be described, exploring all possible causes and trying to pinpoint those causes which contribute to the problem. At this point the LHA and tenant organization jointly must assess the problem and the possible solutions. In defining those solutions, a statement of the management objective is completed.

A work plan is begun by selecting specific tasks or work steps to be done for achieving the objective. A timetable is mapped out on a month-by-month scheme for implementation and completion of tasks during fiscal years 1977 and 1978.

Finally a monitoring and evaluation group must be established with members of both parties included. They will be responsible for determining how to evaluate and report the status of the work program. Responsibility for record keeping and gathering information is necessary in order for the group to report to the DCA Tenant Management Services

⁴⁷ Interview with Donna Killeen, Tenant Services Coordinator, Department of Community Affairs, Boston, Massachusetts, 22 April, 1977.

Bureau. This Bureau, which deals specifically with tenants needs (it is responsible for the promulgation of the Rules and Regulations May 5, 1976) will work closely with the Modernization staff on this aspect of the application. Tony Brown, newly-appointed Management Liason on the Modernization staff will work to coordinate communication efforts between the two Bureaus.

It is hoped that by means of the MIP, that a definite step toward non-physical modernization will be made.

In addition to the above portions of the application, an accurate assessment of the housing authorities' available operating reserves must be made. In the application a form requesting this information will be utilized. The projection of excess operating reserves will be incorporated in the Modernization budget.

In early summer 1977, the DCA will offer a Request for Proposal for Modernization funding for local housing authorities and tenant organizations to correct physical and related management conditions through the pilot program. Special interest will be in executing major management improvements such as decentralized project budgeting, local control over maintenance staff and programming of maintenance work. The projects interested in this program are encouraged to participate in the Conventional Modernization Program as outlined above. If a project is chosen, the Entitlement funds will be supplemented with additional funds from the pilot program. As of this writing, the details of this program and application procedures are not completed.

Criteria for Review of the 1977-1978 Modernization Application

Modernization Applications for 1977-1978 must be submitted to the Department of Community Affairs no later than May 6, 1977 in order to receive funding during fiscal year 1977. The DCA will begin reviewing all parts of the application. Penalties of a 25% loss in the five-year Entitlement amount will occur if applications are not received as of July 1, 1977. If applications are not received by September 1, 1977, the DCA will consider redistributing the funds based on competing needs.

In order for the LHA's and their projects to better understand the implications and logistics of the application, three workshops were held throughout the Commonwealth during the week of April 11, 1977. (The sessions were in Northampton, Framingham and Medford.) Members of the Modernization and Management staff as well as Barbara Manford a WFEM consultant were on hand to answer questions of concern to the housing authorities. Questions ranged from interpretation of WFEM data to page-by-page instructions for the Modernization Application. Emphasis was placed on presentations of the CIP and MIP. Enthusiastic response toward the Bonus funds portion was expressed and indication showed that many applicants will try for outside funding. Conferences were also scheduled for the remainder of April and first week of May for housing authorities with serious problems to come to the DCA for counseling and assistance in completing the application.

During April, Tony Brown, Modernization-Management liason began the task of developing criteria for review of the applications. The

first step was to divide the housing authorities into regions and distribute them among the modernization staff. (See Appendix G). This distribution was done so as to give an equitable load of work to all staff members who will be responsible for all communication with their assigned LHA's.

Mr. Brown also set up a monitoring system of the applications once they are received by the DCA. The process includes:

1. Logging in the application (i.e., date of arrival, and staff members responsible).
2. Preliminary check by Brown for completeness.
3. Photostating a copy of application.
4. Distribution of CIP, tenant and LHA staff organizations and Bonus funds portion to modernization staff members.
5. Distribution of Operating Reserve statement to Bureau of Accounting Services.
6. Allocating remainder of Application to Bureau of Tenant Management Services field representatives.
7. All staff members have two days to review material. (See Appendix H.)
8. If any deficiencies in the application are noted, the staff will put their accounts in escrow for 60-90 days, until they are corrected.
9. The review will be returned to Tony Brown, who will prepare a summary of the status of the application.

As of this writing the complete reviewing cycle has not been done. However, all staff members express support of this concept.

CHAPTER IV

CONCLUSION AND RECOMMENDATIONS

The Modernization Program has undergone constant change since it was initiated in 1971. However many inconsistencies remain. The following is a summary of issues and recommendations that may aid in the development of a smooth operation of this year's upcoming program.

Issues under Discussion

- 1) Issue. How does DCA encourage long term planning in the Conventional Program, insure that LHA's focus on the most serious physical improvements with the limited funds available, and seek additional outside funds for related non-physical improvements as well as physical improvements?
Conclusion. By establishing an Entitlement amount for each project, the LHA and tenant organizations know what the total resources will be over the next five years. by employing a matching fund the LHA and tenant organizations know they can set five year priorities.

- 2) Issue. What if any, are the implications in emphasizing short term structural improvements versus short term apartment renovations?
Conclusion. This conflict focuses on LHA and tenant disputes over renovation priorities. During the past modernization phases, the majority of funding was awarded to structural needs based on field visits conducted by the Bureau of Construction. However, with the impetus

toward structural capital improvements in the past, the outcome of the WFEM inspections show that priority must now be given to dwelling units. (See Chapter II, Table 9) Whatever improvements made in the short term (one to two years) in one area can be compensated in the long term for improvements in other areas. Eg., kitchen renovations done in the 1977-78 allocation can be compensated with storm window installation to occur later. Prime consideration will be given to work begun in other phases and not yet completed. It must be noted that DCA is the final authority on priority item recommendations. The modernization application requests must be for work items cited by the WFEM inspections. Above all, both the tenants and the authority must agree on the priorities submitted.

- 3) Issue. What are the implications of emphasizing short term physical improvements and long term non-physical improvements?

Conclusion. Past efforts of the modernization program have expressed token interest in the area of non-physical modernization and management. However, changes in the new application promise strong consideration of this element. The implications involved in the joint effort of capital improvements and tenant participation are many. First, it will promote greater communication

LHA's and tenants. The new application requires the housing authorities' recognition of the Rules and Regulations promulgated May, 1976. In addition, tenant sign-off is a basic requirement for completion of the application. The modernization program is beginning to focus attention on related management and tenant problems through the Management Improvement Plan. This will deal with management issues related to the physical improvements being addressed, (e.g. a maintenance plan for a new boiler system, or a security plan with new locks and exterior lighting).

- 4) Issue. What is the significance in having an independent assessment of the physical conditions?

Conclusion. By means of the WFEM report, the Department of Community Affairs now has at its disposal an assessment of all its Chapter 200 projects. Through the data provided, DCA can determine those housing authorities in greatest need and focus attention on them. It will provide the Department with cost estimates for each item needing rehabilitation and replacement as well as estimates of the need for annual routine maintenance expenditures. It will aid in developing program priorities and strategies for the future based on the data collected in con-

junction with the DCA's goals and policies. The fact that it is an independent survey aids the DCA in making priority work item decisions without bias.

- 5) Issue. To what extent is it important for DCA to target extensive work on a few chosen projects by means of concentrated funding rather than spreading out the monies to many?

Conclusion. The number of projects chosen will be small due to the budgeted amount of funding. It was determined that a small number of projects with large funding will show marked improvement with this concentration. On the other hand, if the funding was allocated to more projects the results would be less dramatic.

- 6) Issue. Reducing utility costs is a major DCA objective, and is part of the state's overall energy policy. How should the Modernization budget respond to this priority?

Conclusion. The Office of Planning and Program Development, a division of the DCA is responsible for computerizing and developing energy and land use policy, has determined that money may be available from the Federal Energy Administration (FEA) to meet the costs (in part) of implementing an energy policy in public housing. In response to this opportunity OPPD has requested that \$500,000 be set aside from

the Modernization bill to fund DCA's share of the FEA program. Further energy-related improvements may be possible among LIA's cooperatively, since heating system replacement and insulation of structures were items of significant need uncovered during the WFEM Chapter 200 physical inspection.

Presently the Modernization staff itself is undergoing a metamorphosis. The change will be from a non-descript staff of four to a Bureau of Modernization with a growing staff to meet the increasing responsibilities. Prime mover in this effort is William G. Flynn, Secretary of Communities and Development. His recognition of the program and its future implications aided the Bureau in setting its new policies and expectations.

Modernization will join with the Bureau of Construction and act as a unit. It is felt that this alliance will have the Construction staff readily accessible to the Modernization staff.⁴⁸ The Bureau of Construction conducts field visits to projects undergoing Modernization to determine the progress and quality of the work done.

The Bureau of Modernization is faced with many challenges, both old and new. The \$50 million bond authorization will aid in the continuance of renovation and rehabilitation of state-aided public housing. However, the innovations made by means of the new application are hoped to encourage constant improvements in the state projects as well as the program itself.

⁴⁸Interview with Edmund Mangini, 29 April, 1977.



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Pages 66 - 68 are missing due to pagination error.

APPENDIX A

APPENDIX A

DEPARTMENT OF COMMUNITY AFFAIRS

MODERNIZATION PROCESS

A. Application Process

1. The local housing authority (LHA) contacts every tenant living in State-aided housing and informs tenant of an open meeting scheduled to discuss the State Modernization Program.
2. A tenant organization (TO) is formed and elects official representatives. The TO may be formed for each project or may be city-wide. This may have already occurred, or may take place at this first or subsequent meeting.
3. The LHA and TO representatives meet to discuss all items which should be requested under modernization, and the order of their priority.
4. Once agreement has been reached in step #3, a modernization application is prepared by the LHA, with tenants approval, on appropriate DCA form (Exhibit A), and submitted to the Department. This application must be submitted with appropriate LHA and TO signatures. No applications will be accepted without appropriate TO signature.
5. A representative of the Department then inspects the housing development and evaluates critical need for work requested (Exhibit B).
6. After reviewing, approving or rejecting modernization items, DCA sends out Modernization Contract to LHA. This contract specifies the total grant under the particular phase and the approved modernization items (Exhibit C).
7. The LHA executes the contract and returns it to DCA.
8. DCA reviews the contract and it is signed by the Administrator, Division of Community Development.
9. The contract is sent to the Attorney General for his review and approval.
10. DCA authorized the Comptroller to encumber the grant amount in the name of the LHA. This, in effect, is a checking account which the LHA may use for authorized modernization work (Exhibit D).
11. The LHA may now proceed to initiate the modernization work.

B. Routine Procedures

1. If the modernization work is estimated to cost less than \$2,000 the LHA solicites three bids over the telephone; bids must later be submitted in writing (Exhibit E).

(Temporary in-force labor may also be used - Labor Industries approved wage rates must be used for all trades.)

2. Items estimated to cost over \$2,000 must be put out for public bid.
3. DCA reviews bid documents and make any necessary changes (Exhibit G).
4. DCA authorizes LHA to advertise for bids (Exhibit H).
5. LHA awards bid and executes contract with low bidder. If the LHA board votes to award the contract to a contractor other than the low bidder, the LHA must submit a written explanation to DCA stating the reasons for doing so.
6. DCA reviews and approves the contract; notifies LHA (Exhibit J); and notifies Comptroller to process payment request (Exhibit K).
7. Comptroller forwards payment to LHA.
8. Modernization staff notifies Construction Bureau of Contract approval for appropriate field inspections of work in progress (Exhibit L).
9. LHA notifies contractor to proceed with the work.
10. DCA inspector reviews work in progress (Exhibit M).
11. When the contractor completes the work, he forwards a certificate of completion and release to LHA.
12. LHA requests a final inspection by DCA.
13. DCA performs final inspection (Exhibit H); approves certificate of completion; and authorizes LHA to make final payment to contractor.

Please list the items needing replacements or repair as follows

Project Name and No.	Items and Work Recommended	No. of Units Affected	Year When Improvement Recommended	Will Operating Reserve Or Outside Subsidy Pay For Cost

COMMONWEALTH OF MASSACHUSETTS, EXECUTIVE OFFICE OF COMMUNITIES AND DEVELOPMENT
 FORM DCA (B), REVISED 9/1/75
 APPLICATION FOR MODERNIZATION FUNDS (PART I)

PAGE ___ OF ___

(Please type or print clearly name of housing authority (LHA) Address of LHA Executive Director Signature of Exec. Dir. Representative of Tenants Org. Signature of Rep. of T.O. Request Approved By: _____ Date _____ (Signature for LHA) (Title)	Characteristics of Project (Please complete a separate form for each Project)				
	Project Number: _____		Year Built: _____		
	Project Address: _____				
	No. of Bldgs. in Project	No. of Units in Project	Occupied	Vacant	Total
	1-Storey _____	1 Bedroom _____			
	2-Storey _____	2 Bedroom _____			
	3-Storey _____	3 Bedroom _____			
4 or more Storey _____	4 Bedroom _____				
Total _____	5 Bedroom _____				
	Total _____				

Project Number	Work Items Described in Detail	No. of Units Affected	Estimated Cost	Operating Reserves Available	Modernization Funds Requested	Funds Approved	Modifications Request	Actual Cost

APPENDIX B

APPENDIX B

APPROVED FUNDS FOR MOD-CIP FY'77

BY WORK ITEM

PHASE V \$ LHA 200	ROOFING GUTTERS DOWNSPOUTS	PLUMBING DRAINAGE SEWERAGE	ELECTRICAL	KITCHENS	BATHS	WINDOWS	SECURITY	EXTERIOR WORK	HEATING	BASEMENTS	FEES	HANDICAPPED
Agawam.....			26,000									
Arlington.....	14,500							12,600				
Barnstable.....									4,000			
Boston.....												
Brockton.....	22,200											
Cambridge.....	60,000	16,000	68,000	67,000								
Chelsea.....								12,000	79,000			7,000
Clinton.....	13,100							8,700				
Easthampton.....												
Fall River.....			50,000									
Gardner.....									16,400			
Gloucester.....	14,000											
Holyoke.....								30,000				
Lawrence.....									40,000			
Lowell.....		131,400										
Malden.....									34,000			
Medford.....									40,000			
Methuen.....	11,875							8,375	7,500			
Natick.....		11,500				5,500			9,000			
Needham.....												
New Bedford.....									6,700			
No. Andover.....			3,000						12,000			
Northampton.....												16,500
Peabody.....									22,000			
Somerville.....			205,200									
Springfield.....	60,000	88,600	9,400						61,400			8,800
Waltham.....	35,000											
Watertown.....						80,000			40,000			
Webster.....									9,000			
W. Springfield.....									27,000			
Woburn.....	16,500	5,300	14,500		27,900		7,500					
Worcester.....	107,450						25,500		42,825			
Sub-Total	354,625	252,800	376,100	67,000	27,900	85,500	33,000	11,675	391,825	-0-	-0-	32,300
+Appeals	-0-	-0-	-0-	89,000	60,000	30,000	-0-	-0-	59,240	-0-	-0-	-0-
TOTAL	354,625	252,800	376,100	156,000	87,900	115,500	33,000	11,675	451,065	-0-	-0-	32,300

PHASE V \$ LHA 667	ROOFING GUTTERS DOWNSPOUTS	PLUMBING DRAINAGE SEWERAGE	ELECTRICAL	KITCHENS	BATHS	WINDOWS	SECURITY	EXTERIOR WORK	HEATING	BASEMENTS	FEES	HANDICAPPED
Arlington.....	14,000											
Bourne.....	10,100											
Eurlington.....								15,000				
Chelsea.....	14,000											
Dartmouth.....								2,200				
Easthampton.....							7,000					
Gardner.....								10,000				
Ipswich.....	8,000						4,800					
Ludlow.....	10,000							2,000				
Malden.....	14,000											
Mendon.....								2,500				
Methuen.....												24,640
Millis.....	3,000											
Northbridge.....	10,000											
Oxford.....								3,500				
Peabody.....	10,000								5,000			
Somerville.....									18,000			
Woburn.....								11,000				
Sub-Total	93,100	-0-	-0-	-0-	-0-	-0-	11,800	46,200	23,000	-0-	-0-	24,640
+Appeals	-0-	-0-	-0-	-0-	-0-	-0-	-0-	-0-	7,210	-0-	-0-	-0-
TOTAL	93,100	-0-	-0-	-0-	-0-	-0-	11,800	46,200	30,210	-0-	-0-	24,640

APPENDIX C

APPENDIX C

APPEAL PROCESS

PHASE V MODERNIZATION PROGRAM

In order to respond to unusual local circumstances and critical priorities not covered by the guidelines under which Phase V funds have been allocated, an appeals procedure has been established by the Department. The details of the appeals procedure are as follows:

A. Grounds for Appeal

1. Where LHA's or LTO's believe that certain items not approved for Phase V funds are more important in eliminating major violations of the sanitary code or major building deficiencies than those items actually selected by the Department; or
2. Where LHA's or LTO's believe that special consideration should be given to work which was begun, or which was approved, in an earlier phase, where the work is part of an established plan or modernization application; or
3. Where the LHA's or LTO's feel the Phase V allocation is insufficient to fund priorities approved by the Department; or
4. Where LHA's or LTO's believe that consideration should be given to a work item previously approved by DCA but which has been repeatedly deferred by circumstances beyond the control of the LHA, e.g. the occurrence of emergency work, or overruns from other portions of prior applications. The deferred work will not be approved at the expense of work on a major code violation or building deficiency.

The Department points out that because Phase V funds are extremely limited, only appeals of unusual merit have a likelihood of being granted.

B. Procedures

1. The LHA/LTO will have three weeks from the date of the enclosed letter to appeal.
2. The Department will schedule meetings between LHA/LTO representatives and a DCA review committee to discuss the appeal. Both LHA and LTO are invited to attend. Meetings will be scheduled during the first two weeks of September. The DCA will notify both the LHA and LTO of the time and place of the appeal meeting.
3. The Appeals Committee will include:

Director of Modernization and Development
Director of Housing Management and Tenant Services
Modernization Coordinator

In addition, at the request of the Modernization Advisory Committee, the appeals process will include in an advisory capacity, three representatives from the Modernization Advisory Committee. DCA staff participation will also occur from construction and architectural services and

from the appropriate management field representative.

4. Decisions concerning the appeal requests will be made for all LHA's receiving Phase V funds at the completion of all scheduled appeals meetings in the latter part of September.

C. Documentation

1. Form of Appeal: Submit a letter to DCA, stating the nature of the appeal grounds (from part A above) and describing in simple, brief terms the circumstances surrounding the appeal.
2. The following information will greatly facilitate the Department's review and is requested, although not required, for consideration:
 - a) Priority change based on greater need: Submit evidence of greater need. Describe situation, estimate cost of improvement, include evaluation from architect, engineer or local inspector.
 - b) Priority change based on work in progress: Submit written evidence that the DCA recognized the work begun in an earlier Phase was to continue in Phase V. Examples of this would be prior correspondence between LHA and DCA, or a Phase IV application indicating work which was approved was to continue in the next year. In addition, the LHA/LTO must be prepared to show that in continuing the work begun on an earlier phase other serious work priorities are not being unreasonably postponed.
 - c) Insufficient budget: Submit evidence that Phase V allocation is insufficient to fund priorities approved by the Department.
 - d) Repeated deferral: Submit evidence where work items submitted in previous modernization applications has been repeatedly deferred by circumstances beyond the control of the LHA such as emergency work or overruns from other priorities. The deferred work will not be approved at the expense of work on a major code violation or building deficiency.

APPENDIX D

APPENDIX D

CHAPTER 200 HOUSING MODERNIZATION PROGRAM

EXPLANATION OF LHA AND PROJECT INSPECTION INFORMATION

Enclosed is the LHA and project-level information gathered from the Chapter 200 housing inspection conducted for purposes of the Modernization Program. For each Chapter 200 project, there are several tables and lists of information about the existing conditions. This information is to be used by your Authority and tenant organization in planning for your Modernization Programs for 1977 - 1978 as well as for longer range improvements.

The inspection survey is intended to supplement existing information and serve as another aid in planning for capital improvements over the next five years. It is not meant to replace your normal planning process. You may find that your records and experience contain more detailed and therefore more accurate information on a specific item than the inspection results. Therefore, the Department expects that your Modernization Program will include experience and the inspection results.

As you know, the inspection information was gathered by regional teams of experienced architects and engineers with the active assistance of housing authority staff and tenants. At each project a team of five architects and engineers met at least twice with both tenants and authority representatives of the project to discuss problems and help select the sample of buildings and apartments to be inspected. The enclosed information is a result of the meetings and physical inspection conducted at that time.

There are eight different sets of information provided for each project (some projects only have seven). These are as follows:

1. Project Inspection Summary
2. Cost Related to Major Work Items
3. Costs Related to Need
4. Costs Related to Causes
5. Special Problem Detail (not included for every project)
6. Annual Energy Savings Related to Specific Work Items
7. Deferred Maintenance Factors
8. Inspection Detail

Each of these sets of data describes the conditions of your project in a slightly different way. An explanation of each of the sets of data follows:

1. Project Inspection Summary: This 3 page form briefly lists the most extensive physical problems in the project. It also tells whether the work, in the judgement of the inspection team, should be done now (i.e. within one year), or can be deferred for LATER (i.e. 2-5 years). Also, there are comments on energy related problems, maintenance problems and other general comments where appropriate.
2. Costs Related to Major Work Items: This table gives a summary of the costs for all improvements found to be necessary by the inspection team. This information is divided into 22 Major Work categories (A thru V). Each of the 22 Major Work categories is composed of specific building and apartment needs which the inspection teams actually examined. These building and apartment needs are listed by each Major Work category in the report entitled Inspection Detail (see paragraph 7 below). The Major Work Item table therefore is a summary of the Inspection Detail. The table is divided into the costs (in dollars) for work to be done NOW (within one year) and LATER (within 2-5 years).
3. Costs Related to Needs: The information given here is divided into four categories. The "Health and Safety" category consists primarily of sanitary code related problems, but also includes costs to correct other items which pose a clear and present danger to the health and safety of the tenants who live there. "Security" and "Energy" are self explanatory. "Other" means the cost to correct problems which do not fall into the Health and Safety, Security, or Energy categories, but which should be corrected as a matter of prudent real-estate management. The identification code given on this table (H,S,E, and O) is the same code used in the Inspection Detail Report to describe the need category for each building and apartment item. The project Entitlement amounts were based on the total costs needed NOW in the Health and Safety category.
4. Costs Related to Causes: There are three cause categories used in the inspection and they are defined as follows:
 - a. Deterioration: This is by far the largest category in every project, and represents normal wear and tear. State-wide, this category reflects over 70% of the problems identified by the inspection. This result implies that most of the problems faced in Chapter 200 housing today are a result of age. If obsolescence is viewed as just another age-related problem, then over 90% of the problems in Chapter 200 projects is due largely to the fact that the housing stock is 25-30 years old.

- b. Obsolescence: This means any item or system which does not meet reasonable current standards-of-living, or project management. This includes such items as upgrading of electrical systems and plumbing systems where increases in usage and changing standards required it.
 - c. Damage: No attempt was made to determine how the damage was made, to assess blame, or to explain why the damage occurred. This simply consists of the cost of property which the inspection team witnessed to be in a damaged state. The Department leaves it to the local community to make the appropriate assessment. This category was usually very small (less than 10%).
5. Special Problem Detail: Only some projects receive this report which contains special situations not sufficiently covered in other parts of the inspection. It includes problems such as elevators, incinerators, and structural repairs. The note numbers indicated in the last column refer to comments made by the inspecting team. They appear only on the raw data forms on file at DCA. To determine what the note says, you are welcome to visit the Department and examine the material from the actual inspection forms containing the notes.
6. Annual Energy Savings Related Specific Work Items: Of the 265 different items which the inspection teams examined at each project, 14 were related to potential energy savings. These savings were then compared to the cost of making the improvement to determine the "energy impact". The "energy impact" is the number of years of savings in operating costs needed to equal the cost of making the improvement. Therefore, the lower the number the more it pays to make the improvements indicated.
7. Deferred Maintenance Factor: This chart gives an indication of the backlog of maintenance (i.e. capital improvement work) which has accumulated over the years. It is divided into six work categories. For each category there is given a rating indicating its general condition. There are only three ratings of condition: good (0.1), fair (0.4) and poor (0.7). The rating is related to the amount of capital improvements required in each category and this comparison is expressed as the deferred maintenance factor. In general, the deferred maintenance factor shows which of the six capital improvement categories is most in need of attention.
8. Inspection Detail: For each of the 265 items listed in this report you can determine the extent of the repair or replacement (in terms of the quantities in which it was measured), and the cost to make the improvement NOW and LATER. The abbreviations used for the measurements (Major Units and Minor Units) are as follows:

SY = Square Yards
LF = Linear Feet
SF = Square Feet
LS = Lump sum cost of improvement
EA = Each item
CY = Cubic yards
SQ = Roofing squares
DU = Dwelling unit or apartment
FL = Floors
OPNG = Openings

The report also classifies the need for the item (H = Health and Safety, S = Security, E = Energy, and O = Other). Each inspection item may contain multiple listings of the NEED code according to the number of problems found by the inspection team during their survey. Frequently, one inspection team reflects two or three types of need.

Each time the inspection team entered a descriptive comment on the original data sheet, it is noted in the NOTE column of the Inspection Detail. There is only one copy of the original data sheet and it is being kept on file at DCA. Tenants and authority staff are welcome to examine these records. The volume of this data made it impractical to duplicate and distribute the material to all projects across the state.

The information gathered by the inspection teams was extensive. Over thirty architects and engineers surveyed a sampling of almost 15,000 apartments and 3,000 buildings in every one of the 124 Chapter 200 family projects across the state for a period of about one month. The inspectors spent an average of 5 man-days at each project (i.e. 5 persons for one day). After the inspections were completed almost 100,000 record cards were punched to feed this data into computers for processing.

To minimize the inaccuracies in the results of the survey the inspection team worked with the Department to eliminate typographical errors, computer problems, and instances in which the data was not recorded correctly on the inspection forms. In spite of all this care there is bound to be a few errors remaining in the information we are transmitting. Should you find any, the Department would appreciate it if you record the location of the error on a copy of the enclosed form and describe the problem. The Department will then review your comments and make the appropriate corrections. Your cooperation in this matter will be greatly appreciated.

REPORT OF POSSIBLE INSPECTION ERROR

LOCAL HOUSING AUTHORITY _____

PROJECT NAME AND NUMBER _____

IDENTIFICATION OF REPORT _____

LOCATION OF ERROR: LINE _____

COLUMN _____

Please Describe below the nature of the error you suspect:

Submitted by _____ Date _____

Title or Position _____

Organization Name _____

ATTACHMENT 1

PROJECT ENTITLEMENT

The Department of Community Affairs is setting aside Entitlement funds under the Modernization and Renovation Loan Act of 1970, as amended in 1976. Given below is the amount of the project Entitlement for the next five (5) years and the sum which is available for the 1977 application period. The funds available for this application period cover improvements to be made during fiscal years 1977 and 1978.

PROJECT	200-3
HOUSING AUTHORITY	Cambridge
ENTITLEMENT (5 year period)	\$128,346.00
AVAILABLE FOR FISCAL YEARS 1977-78 (through June 30, 1978)	\$65,057.00

The above Entitlement is conditioned upon the LHA's ability to meet the following requirements:

1. Satisfactory completion of the 1977 Modernization application in accordance with the appropriate instructions and the Rules and Regulations of the Modernization Program promulgated in 1971.
2. Adoption of other Rules and Regulations of the Department pertaining to a) lease provisions, b) tenant grievance procedures, c) tenant participation, d) eligibility and e) tenant selection and transfer.
3. Full implementation of the Rules and Regulations pertaining to lease provisions and tenant grievance procedures.
4. Use of all excess operating reserves, or a commitment to expend these reserves as part of the 1977 Modernization Program.

NOTE: Applications to receive funds in FY 1977 must be submitted by May 6, 1977

CAMBRIDGE HOUSING AUTHORITY

**200-3
Walden Street (Lincoln Way)**

PROJECT INSPECTION SUMMARY: Major Work Items -1

TOTALS		SAMPLES		RES. BLDG. TYPE	SPEC. BLDG.	BUILDING CONSTRUCTION		
BLDG.	D.U.	BLDG.	D.U.			FRAME	SIDING	ROOF
7	60	3	6	WALK-UP	BOILER TRASH ROOMS MAINT. SHOP	WOOD	BRICK	ASPHALT SHINGLES

SITE- WORK	MAJOR WORK ITEM	EXTENSIVE WORK REQ.		REMARKS
		N	L	
	SITWORK	✓	(✓)	ROADS/PARKING; WALKS & PLAYGR.; STORM MAINHOLES SITE GRADING; LANDSCAPING.
BUILDING EXTERIOR	WINDOWS & DOORS	✓		MINOR REPAIRS. TRY-OUT; BASEMENT WINDOW SECURITY ENTRANCE DOORS.
BUILDING INTERIOR	ATTICS/BASEMENTS	✓	✓	6" ATTIC INSUL./BASEMENT FINISHES.
DWELLING UNIT	KITCHENS	✓		COUNTER/CABINET MODERN. PLUMBING REPAIRS, ELECTRIC WORK.
	OTHER ROOMS		(✓)	FINISHWORK; STAIRS ELECTRIC WORK
	BATHS	(✓)		FLOORS, WALLS, CEILING, PLUMBING WORK ELECTRIC WORK
SPECIAL BUILD'GS	BOILER, TRASH (3), MAINT. SHOP	✓		ROOFS, GUTTERS, ATTICS & BASEMENTS
SPECIAL PROBLEMS	(NONE)			

NOTE: N = NOW (WITHIN 1 YEAR OF INSPECTION)
 L = LATER (WITHIN 2 - 5 YEARS OF INSPECTION)

PROJECT INSPECTION SUMMARY: Major Work Items -2

HEATING		DOMESTIC HOT WATER	ELECTRICAL DISTRIBUTION		
CENTRAL STATION with	FUEL	DIRECT CONNECTION	PRIMARY	SECONDARY	D.U.
2 Hot Water Boilers	GAS				120/2300

	MAJOR WORK ITEM	EXTENSIVE WORK REQ.		REMARKS
		N	L	
HEATING AND VENTILATING	Central Heating Station		✓	REQUIRES EXTENSIVE WORK
WATER/ GAS SUP. & DIST.	Hot Water Generator	✓		REQUIRES REPLACEMENT
STORM & SANITARY				
FIRE PROTEC'N				
ELECTRICAL (INC. EMERGENCY SYSTEMS)	Site Lighting	✓		REQUIRES UPGRADING
	Elect. Distr.		(✓)	REQUIRES UPGRADING
	Fire & Smoke Alarm			NO PROVISIONS REQUIRED

PROJECT INSPECTION SUMMARY: Energy & Maintenance

ENERGY REPORT SUMMARY	Temperature Control Systems Repair
	Add attic insulation; Add boiler chemical water treatment
MAINTENANCE REPORT SUMMARY	✓

General Comments: _____

- (a) STUDY Hot Water Generation System considering individual unit gas Hot Water Heaters
- (b) STUDY Site Subsurface Water Drainage System

COMMONWEALTH OF MASSACHUSETTS - DEPARTMENT OF COMMUNITY AFFAIRS
 MODERNIZATION-INSPECTION - CHAPTER-200-STATE-AIDED-FAMILY-HOUSING
 SEPTEMBER 1976

CITY/TOWN REGION
 REGION
 NUMBER OF BUILDINGS
 NUMBER OF DWELLING UNITS

CAMBRIDGE
 IV-B
 7
 60

CAMBRIDGE 200-3
 COSTS-RELATED-TO-NEEDS

IDENT	NEED CLASSIFICATION	NOW		LATER		TOTAL	
		TOTAL\$	\$/D.U.	TOTAL\$	\$/D.U.	TOTAL\$	\$/D.U.
H	HEALTH AND SAFETY	231407	3857	164548	2742	395955	6599
S	SECURITY	27387	456	400	7	27787	463
E	ENERGY	3041	51	11408	190	14448	241
O	OTHER	9844	164	15689	261	25533	426

COMMONWEALTH OF MASSACHUSETTS - DEPARTMENT OF COMMUNITY AFFAIRS
 MODERNIZATION-INSPECTION - CHAPTER 200 STATE AIDED FAMILY HOUSING
 SEPTEMBER 1976

CITY/TOWN CAMBRIDGE
 REGION IV-B
 NUMBER OF BUILDINGS 7
 NUMBER OF DWELLING UNITS 60

CAMBRIDGE 200-3
 COSTS RELATED TO MAJOR WORK ITEMS

MAJOR WORK ITEMS	NOW		LATER		TOTAL	
	TOTAL\$	\$/D.U.	TOTAL\$	\$/D.U.	TOTAL\$	\$/D.U.
A SITEWORK	28105	468	42473	708	70578	1176
BUILDING WORK (EXT)						
B ROOFS + GUTTERS	863	14	20805	347	21668	361
C FOUNDATIONS/SIDING	5115	85	0	0	5115	85
D WINDOWS + DOORS	51135	852	0	0	51135	852
E STAIRS/PORCHES	5625	94	0	0	5625	94
BUILDING WORK (INT)						
F ENTRIES + VESTIBULES	0	0	0	0	0	0
G CORRIDORS + STAIRS	0	0	0	0	0	0
H ATTICS + BASEMENTS	17539	292	20228	337	37766	629
I MANAGMNT/MAINT SPACE	385	6	4500	75	4885	81
J COMMUNITY SPACES	10	0	324	5	334	6
DWELLING-UNIT WORK						
K KITCHENS (INCL M/E)	54849	914	15299	255	70148	1169
L BATHS (INCL M/E)	37258	621	19390	323	56648	944
M OTHER ROOMS	28154	470	50150	836	78344	1306
N OTHER MECH WORK	1612	27	8850	148	10462	174
O SPECIAL PROBLEMS	0	0	0	0	0	0
MAJOR MECH/ELEC WORK						
P HEATING/VENTILATING	12544	209	8375	140	20919	349
Q WATER/GAS SUP + DIST	10500	175	0	0	10500	175
R WASTE + SEWAGE	3900	65	0	0	3900	65
S FIRE PROTECTION	0	0	0	0	0	0
T ELECTRICAL SERVICE	11244	187	1651	28	12895	215
U EMERGENCY SYSTEMS	0	0	0	0	0	0
V SPECIAL BUILDINGS	5802	97	0	0	5802	97
TOTALS	274678	4578	192045	3201	466722	7779

SITE- 028
 DATE OF REPORT- 12/10/76

COMMONWEALTH OF MASSACHUSETTS - DEPARTMENT OF COMMUNITY AFFAIRS
 MODERNIZATION INSPECTION - CHAPTER 200 STATE AIDED FAMILY HOUSING
 SEPTEMBER 1976

CITY/TOWN REGION
 CAMBRIDGE
 IV-8
 NUMBER OF BUILDINGS 7
 NUMBER OF DWELLING UNITS 60

CAMBRIDGE 200-3
 COSTS RELATED TO CAUSES

IDENT	CAUSE CLASSIFICATION	TOTAL TOTAL\$	\$/D.U.
D	DAMAGE	11901	198
O	OBSOLESCENCE	89066	1484
W	DETERIORATION	362756	6046
TOTALS		463722	7729

COMMONWEALTH OF MASSACHUSETTS - DEPARTMENT OF COMMUNITY AFFAIRS
 MODERNIZATION-INSPECTION - CHAPTER 200-STATE-AIDED-FAMILY-HOUSING
 SEPTEMBER 1976

CITY/TOWN CAMBRIDGE
 REGION IV-B
 NUMBER OF BUILDINGS 7
 NUMBER OF DWELLING UNITS 60

CAMBRIDGE 200-3
 ANNUAL-ENERGY-SAVINGS-RELATED-TO-SPECIFIC-WORK-ITEMS

HEATING SYSTEM CTL BOILER PLANT
 FUEL TYPE GAS
 AV. FUEL COST 2.500 ESTIMATED
 COST PER BTU .00000321

LINE ITEM	DESCRIPTION	QUANTITY	BTU SAVED PER UNIT	TOTAL ANNUAL BTU SAVED	TOTAL \$ SAVED ANNUALLY	CONSTRUC- TION COST	ENERGY IMPACT
D04	STORM WINDOWS	0	0	0	0	0	.000
D07	UNIT-STORM-DOORS	0	0	0	0	0	.000
H01	ATTIC INSULATION	22125	26880	594720000	1906	8408	4.411
H04	CRAWLSPACE INSULATION	0	0	0	0	0	.000
N01	SPACE THERMOSTAT	0	0	0	0	0	.000
N04	RADIATOR STEAM TRAPS	0	0	0	0	0	.000
P03	SITE U.G. PIPE INSUL 4 IN. + SML	0	0	0	0	0	.000
P04	SITE U.G. PIPE INSUL 5 IN. + LAR	0	0	0	0	0	.000
P09	BLDG HTG PIPE INSUL 3 IN. + SMAL	0	0	0	0	0	.000
P10	BLDG HTG PIPE INSUL 4 IN. + LARG	0	0	0	0	0	.000
P11	BLDG HOT-WATER-ZONE-VALVES	19	13000000	243750000	781	4219	5.400
P13	BOILERS (CENTRALIZED STATIONS)	*	0	0	0	0	.000
P18	BOILER CHEMICAL WATER TREATMENT	*	69000000	69000000	221	1500	6.783
Q08	PIPE INSULATION	0	0	0	0	0	.000

SITE- 028
 DATE OF REPORT- 02/01/77

COMMONWEALTH OF MASSACHUSETTS - DEPARTMENT OF COMMUNITY AFFAIRS
 MODERNIZATION INSPECTION - CHAPTER 200 STATE AIDED FAMILY HOUSING
 SEPTEMBER 1976

CITY/TOWN CAMBRIDGE
 REGION IV-B
 NUMBER OF BUILDINGS 7
 NUMBER OF DWELLING UNITS 60

CAMBRIDGE 200-3
 DEFERRED MAINTENANCE FACTOR

CATEGORY	RATINGS	DEFERRED MAINTENANCE FACTOR/CU
A SITE	.70	575.651
B BUILDINGS AND PUBLIC SPACES	.40	729.345
C DWELLING UNITS INCLUDING MECH/ELEC WORK	.40	1125.042
D HEATING AND VENTILATING EXCLUDING DWELLING UNITS	.40	111.542
E PLUMBING EXCLUDING DWELLING UNITS	.40	96.000
F ELECTRICAL EXCLUDING DWELLING UNITS	.40	80.461
	TOTAL	2718.040

CAMBRIDGE HOUSING AUTHORITY

200-3

Walden Street (Lincoln Way)

COMMONWEALTH OF MASSACHUSETTS - DEPARTMENT OF COMMUNITY AFFAIRS
 MODERNIZATION INSPECTION - CHAPTER 200 STATE FAMILY HOUSING

INSPECTION DETAIL		PROJECT CAMBRIDGE 200-3							
ID	DESCRIPTION	TOTAL QUANT	MAJOR UNITS	MINOR UNITS	NOW COST	LATER COST	TOTAL COST	NEED	NOTE
A SITEWORK									
A01	ROADS + PARKING AREAS	3000	SY	SY	4665	4750	9415	HH	
A02	WALKS/PLAYGROUNDS/PAVED AREAS	1750	SY	SY	9490	6985	16475	HH	
A03	FENCES	40	LF	LF	0	400	400	S	
A04	RETAINING WALLS + RAILS	20	SF	LF	0	378	378	H	
A05	LANDSCAPING	24000	LS	LS	0	24000	24000	H	
A06	BENCHES + PLAYGROUND EQUIPMENT	3200	LS	LS	0	3200	3200	H	
A07	LAUNDRY DRYING AREA + EQUIPMENT	30	EA	EA	0	1500	1500	H	
A08	GARBAGE/TRASH STORAGE + CONTAINMENT	21	EA	EA	0	1260	1260	H	1
A09	STORM MANHOLES + CATCHBASINS	5200	LS	LS	5200	0	5200	H	
A10	SANITARY MANHOLES	0	LS	LS	0	0	0		
A11	SITE GRADING + DRAINAGE	250	CY	CY	8750	0	8750	H	2
B ROOFS + GUTTERS									
B01	ASPHALT SHINGLES	308	SQ	SQ	0	18750	18750	HH	
B02	GUTTERS + DOWNSPOUTS	285	LF	LF	863	180	1043	HHH	1
B04	BUILT-UP ROOFING/FLASHING/INSULATION	8	SQ	SQ	0	1875	1875	H	
C FOUNDATIONS/SIDING									
C01	EXPOSED FOUNDATIONS	75	LF	SF	638	0	638	HH	
C02	AREAWAYS	0	EA	TREAD	0	0	0		
C03	MASONRY + BRICK WALLS	435	SF	SF	3653	0	3653	HH	
C05	TRIM	750	LF	LF	825	0	825	H	
D WINDOWS + DOORS									
D01	WINDOWS	540	EA	EA	21600	0	21600	HH	21
D02	BASEMENT WINDOWS + AREAWAYS	86	EA	EA	2760	0	2760	HH	
D03	BASEMENT WINDOW SECURITY	86	EA	EA	5175	0	5175	SS	
D04	STORM WINDOWS	0	EA	EA	0	0	0		
D06	UNIT ENTRANCE DOORS	120	EA	EA	21600	0	21600	SS	1
D07	UNIT STORM DOORS	0	EA	EA	0	0	0		
E STAIRS/PORCHES									
E01	PORCHES/PORTICOES + BALCONIES	1875	LS	LS	1875	0	1875	H	3
E02	EXTERIOR STAIRS + HANDRAILS	3750	LS	LS	3750	0	3750	HH	32
H ATTICS + BASEMENTS									

COMMONWEALTH OF MASSACHUSETTS - DEPARTMENT OF COMMUNITY AFFAIRS
 MODERNIZATION INSPECTION - CHAPTER 200 STATE FAMILY HOUSING

INSPECTION DETAIL		PROJECT CAMBRIDGE 200-3							
ID	DESCRIPTION	TOTAL QUANT	MAJOR UNITS	MINOR UNITS	NOW COST	LATER COST	TOTAL COST	NEED	NOTE
H01	ATTIC INSULATION	22125	SF	SF	0	8408	8408	EEEEEE	
H02	ATTIC VENTILATION	0	EA	EA	0	0	0		
H06	BASEMENT WALLS	267	LF	SF	2269	0	2269	HHH	1
H07	BASEMENT FLOORS	32	LF	SF	270	0	270	H	
H08	BASEMENT FINISHES	26820	LS	LS	15000	11820	26820	HHHHH	1
I MANAGMNT/MAINT SPACE									
I00	PROVIDE MANAGEMENT/MAINTENANCE SPACES	4500	LS	LS	0	4500	4500	0	1
I01	FLOORS	385	LS	LS	385	0	385	H	
I02	WALLS	0	SF	SF	0	0	0		
I03	CEILINGS	0	SF	SF	0	0	0		
I04	TRIM	0	EA	EA	0	0	0		
I05	STAIRS	0	EA	EA	0	0	0		
I06	DOORS + HARDWARE	0	EA	EA	0	0	0		
J COMMUNITY SPACES									
J07	HEATING + VENTILATING	0	LS	LS	0	0	0		
J08	PLUMBING	0	LS	LS	0	0	0		
J09	ELECTRICAL	334	LS	LS	10	324	334	HH	
K KITCHENS (INCL M/E)									
K01	FLOOR	45	EA	EA	2765	265	3030	HHHHH	
K02	WALLS	30	EA	EA	2140	3920	6060	HHHH	
K03	CEILING	45	EA	EA	4688	1764	6452	HHHHH	
K04	TRIM	25	EA	EA	159	591	750	HHH	
K05	WALL + BASE CABINETS	590	LF	LF	29500	0	29500	HHHHHH	
K06	COUNTERTOP	295	LF	LF	6490	0	6490	HHHHHH	
K07	REFRIGERATOR	5	EA	EA	2041	0	2041	E	
K08	RANGE WITH OVEN	25	EA	EA	1166	4334	5500	HHH	
K11	KITCHEN SINK + TRIM	59	EA	EA	5900	0	5900	HHHHHH	
K12	GAS RANGE PIPING HOOK UP	0	EA	EA	0	0	0		
K15	LIGHT FIXTURE + OUTLET BOX	0	EA	EA	0	0	0		
K16	LIGHT SWITCH PLATE + OUTLET BOX	59	EA	EA	0	413	413	HHHHHH	
K17	ELECT CONV OUTLET PLATE + OUTLET BOX	177	EA	EA	0	1239	1239	HHHHHH	
K18	15/20A 120V BRANCH CIRCUIT WIRING	59	EA	EA	0	1298	1298	HHHHHH	3333
K19	20A-120V-KITCHEN-APPLIANCE-CIRCUIT	59	EA	EA	0	1475	1475	HHHHHH	
L BATHS (INCL M/E)									

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COMMONWEALTH OF MASSACHUSETTS - DEPARTMENT OF COMMUNITY AFFAIRS
 MODERNIZATION INSPECTION - CHAPTER 200 STATE FAMILY HOUSING

INSPECTION DETAIL		PROJECT : CAMBRIDGE 200-3							
ID	DESCRIPTION	TOTAL QUANT	MAJOR UNITS	MINOR UNITS	NOW COST	LATER COST	TOTAL COST	NEED	NOTE
L01	FLOOR	39	EA	EA	1149	686	1835	HHPH	
L02	WALLS	59	EA	EA	9599	4407	14006	HHHHHH	
L03	CEILING	54	EA	EA	7249	980	8229	HHHHH	
L04	TRIM	34	EA	EA	212	1148	1360	OH	
L05	ACCESSORIES	4179	LS	LS	4179	0	4179	HHHHH	11
L07	LAVATORY + TRIM	59	EA	EA	4425	0	4425	HHHHHH	
L08	BATHTUB/SHOWER + TRIM	59	EA	EA	5900	0	5900	HHHHHH	
L09	TOILET + TRIM	59	EA	EA	4545	10045	14590	HHPHHH	
L10	LIGHT FIXTURE + OUTLET BOX	0	EA	EA	0	0	0		
L11	LIGHT SWITCH PLATE + OUTLET BOX	59	EA		0	413	413	HHHHHH	
L12	ELECT CONV OUTLET PLATE + OUTLET BOX	59	EA		0	413	413	HHHHHH	
L13	15/20A 120V BRANCH CIRCUIT WIRING	59	EA		0	1298	1298	HHHHHH	
-M- OTHER ROOMS									
M01	FLOORS	154	EA	EA	4980	10370	15350	HHHHH	
M02	WALLS	120	EA	EA	6758	18620	25378	HHHH	
M03	CEILINGS	143	EA	EA	8412	5910	14322	HHHHH	
M04	TRIM	93	EA	EA	1500	1287	2787	HHH	
M05	STAIRS	30	EA	EA	2576	0	2576	HHHH	
M06	DOORS + HARDWARE	88	EA	EA	3856	3152	7008	OH	
M07	STORAGE + MILLWORK	0	LF	LF	0	0	0		
M08	LIGHT FIXTURE + OUTLET BOX	220	EA	EA	0	3300	3300	HHHHHH	2222
M09	LIGHT SWITCH PLATE + OUTLET BOX	408	EA		76	2779	2855	HHHHHSH	
M10	ELECT CONV OUTLET PLATE + OUTLET BOX	681	EA		37	4732	4769	HHHHHHPH	4
M11	15/20A 120V BRANCH CIRCUIT WIRING	0	EA		0	0	0		
-N- OTHER MECH WORK									
N01	SPACE THERMOSTAT	0	EA	EA	0	0	0		2
N03	RADIATORS + VALVES	0	EA	EA	0	0	0		
N05	CLOTHES DRYER VENT	59	EA	EA	0	2950	2950	OOOOO	
N06	CLOTHES WASHER PLUMBING CONNECTIONS	59	EA	EA	0	5900	5900	HHHHHH	
N07	30A 220V CLOTHES DRYER ELECT CONN	29	EA		273	0	273	HH	
N08	30A 220V BRANCH CIRCUIT	29	EA		804	0	804	HH	
N09	DOOR SIGNAL	107	EA	EA	536	0	536	SSSSS	
-P- HEATING/VENTILATING									
P02	SITE UNDERGROUND DIST SYST 5 IN. + LARGER	0	LF	EA	0	0	0		1
P04	SITE U.G. PIPE INSUL 5 IN. + LARGER	0	LF		0	0	0		1
P07	BUILDING HTG PIPE DIST 3 IN. + SMALLER	0	LF	LF	0	0	0		

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COMMONWEALTH OF MASSACHUSETTS - DEPARTMENT OF COMMUNITY AFFAIRS
 MODERNIZATION INSPECTION - CHAPTER 200 STATE FAMILY HOUSING

INSPECTION DETAIL

PROJECT

CAMBRIDGE 200-3

ID	DESCRIPTION	TOTAL QUANT	MAJOR UNITS	MINOR UNITS	NOW COST	LATER COST	TOTAL COST	NEED	NOTE
P08	BLDG HTG PIPE DIST 4 IN. + LARGER	0	LF	LF	0	0	0		
P09	BLDG HTG PIPE INSUL 3 IN. + SMALLER	0	LF	LF	0	0	0		
P10	BLDG HTG PIPE INSUL 4 IN. + LARGER	0	LF	LF	0	0	0		
P11	BLDG HOT WATER ZONE VALVES	19	EA	EA	844	3375	4219	000	
P13	BOILERS (CENTRALIZED STATIONS)	0	LS	LS	0	0	0		3
P14	DRAFT SYSTEMS -- BREECHING -- FANS	500	LS	LS	0	500	500	0	
P15	COMBUSTION AIR SYSTEMS	1000	LS	LS	1000	0	1000	E	
P16	HOT WATER + STEAM CONDENSATE PUMPS	1700	LS	LS	1700	0	1700	H	
P17	BOILER POLLUTION MONITORING EQUIPMENT	3000	LS	LS	0	3000	3000	E	4
P18	BOILER CHEMICAL WATER TREATMENT	1500	LS	LS	0	1500	1500	0	4
P25	MISC HEATING HOT WATER EQUIPMENT	9000	LS	LS	9000	0	9000	0	
Q WATER/GAS SUP + DIST									
Q01	SITE DOMESTIC CW DISTRIBUTION	0	LS	LS	0	0	0		
Q02	SITE DOMESTIC HW DISTRIBUTION	0	LS	LS	0	0	0		
Q05	LANDSCAPE YARD HYDRANTS/SILL COCKS	0	LS	LS	0	0	0		
Q06	DOMESTIC WATER SYS FOR INDIV UNITS	0	LS	LS	0	0	0		
Q07	CENTRAL H+CW BUILDING DISTRIBUTION	0	LF	EA	0	0	0		
Q08	PIPE INSULATION	0	LF	LF	0	0	0		
Q09	BLDG GAS DISTRIBUTION	0	LS	LS	0	0	0		
Q10	WATER METERS	0	LS	LS	0	0	0		
Q11	DOMESTIC WATER PUMPS	0	LS	LS	0	0	0		
Q12	CENTRAL HW GENERATION	10500	LS	LS	10500	0	10500	H	
Q13	CENTRAL BOILER WATER MAKE UP	0	LS	LS	0	0	0		
Q14	CROSS CONNECTION PREVENTION	0	LS	LS	0	0	0		
R WASTE + SEWAGE									
R01	SITE UNDERGROUND SAN WASTE PIPING SYS	0	LS	LS	0	0	0		1
R04	SITE STORM DRAINAGE SYSTEM	0	LS	LS	0	0	0		2
R05	SUBSURFACE WATER DRAINAGE SYSTEM	3000	LS	LS	3000	0	3000		2
R06	WASTE SYSTEM FOR INDIV UNITS	0	LS	LS	0	0	0		
R11	SUMP PUMPS + CONTROLS	900	LS	LS	900	0	900	H	4
T ELECTRICAL SERVICE									
T03	ELECTRIC SERVICE RISER	0	LS	LS	0	0	0		
T05	WALL MOUNTED AREA FLOOD LIGHT	4375	LS	LS	4375	0	4375	H	1
T07	PORCH/FRONT ENTRY STAIR LIGHT FIXTURE	5445	LS	LS	5445	0	5445	FHH	
T08	ELECTRIC SERVICE METERING/DIST CENTER	0	LS	LS	0	0	0		
T09	ELECTRICAL FEEDERS	0	LS	LS	0	0	0		

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COMMONWEALTH OF MASSACHUSETTS - DEPARTMENT OF COMMUNITY AFFAIRS
 MODERNIZATION INSPECTION - CHAPTER 200 STATE FAMILY HOUSING

INSPECTION DETAIL

PROJECT

CAMBRIDGE 200-3

ID	DESCRIPTION	TOTAL QUANT	MAJOR UNITS	MINOR UNITS	NOW COST	LATER COST	TOTAL COST	NEED	NOTE
T10	HOUSE LIGHTING + POWER PANELS	298	LS	LS	0	298	298	H	11
T11	ELECT LOAD CENTER OR PANEL	584	LS	LS	584	0	584	HHHHH	1111
T12	POWER FOR H+V-EQUIPMENT	510	LS	LS	0	510	510	H	33
T13	POWER FOR WATER SUPPLY SYSTEM (INCL DFW)	0	LS	LS	0	0	0		
T14	POWER FOR STORM + WASTE WATER SYSTEMS	0	LS	LS	0	0	0		22
T15	LIGHT FIXTURE + OUTLET-BOX-HOUSE	0	LS	LS	0	0	0		
T16	LIGHT SWITCH/PLATE/OUTLET BOX + CONN - HOUSE	847	LS	LS	840	7	847	HHH	
T17	CONVENIENCE OUTLET/PLATE/BOX + CONN - HOUSE	28	LS	LS	0	28	28	H	
T19	120V ELECTRIFIED-EQUIPMENT-CONNECTIONS-HOUSE	0	LS	LS	0	0	0		
T20	220V 1 OR 3 PHASE ELECT EQUIP CONN - HOUSE	0	LS	LS	0	0	0		
T21	15/20A 120V BRANCH CIRCUIT WIRING - HOUSE	348	LS	LS	0	348	348	H	
T22	30A/50A 220V 1 OR 3 PHASE-BRANCH-CKT - HOUSE	460	LS	LS	0	460	460	H	
T25	UNDERGRCOND TELEPHONE SYSTEM	0	LS	LS	0	0	0		1
V	SPECIAL BUILDINGS								
V01	ROOFS + GUTTERS	2700	LS	LS	2700	0	2700	H	
V02	EXPOSED FOUNDATIONS/SIDING/TRIM	500	LS	LS	500	0	500	H	
V03	WINDOWS + DOORS	0	LS	LS	0	0	0		
V06	ATTICS + BASEMENTS	802	LS	LS	802	0	802	H	
V07	FINISHED FLOORS	0	LS	LS	0	0	0		
V08	FINISHED WALLS	0	LS	LS	0	0	0		
V09	FINISHED CEILINGS	0	LS	LS	0	0	0		
V11	DOORS + HARDWARE	3	EA	EA	1800	0	1800	H	
V12	SPECIAL CONSTRUCTION	0	LS	LS	0	0	0		

01/31/77

APPENDIX E

APPENDIX E

<u>HOUSING AUTHORITY</u>	<u>CHAPTER</u> 200	<u>UNITS</u>	<u>ALLOCATION</u> PER/UNIT	<u>5-YEAR</u> <u>ENTITLEMENT</u>	<u>1st ROUND AVAILABILITY</u>
Attleboro	1	93	\$2,291	\$ 213,022	\$ 107,979
Agawam	1,2	44	2,131	93,765	47,528
Amesbury	1	27	1,265	34,174	17,323
Andover	1	56	1,266	89,296	45,263
Arlington	1	126	2,123	267,534	135,611
Arlington	2	50	1,205	60,225	30,527
Barnstable	1	4	203	812	411
Bedford	1	12	1,033	12,339	6,254
Belmont	1	100	194	19,397	9,832
Beverly	1	76	741	56,264	28,519
	2	40	456	18,255	9,253
Boston	1	972	2,570	2,497,738	1,037,772
	2	72	2,161	155,622	63,359
	3	648	2,185	1,416,163	588,725
	4	258	995	256,777	108,301
	5	202	1,194	241,215	101,196
	7	288	1,945	560,240	233,101
	8	354	2,396	848,141	352,071
	10	252	1,420	357,931	148,712
	11	504	2,455	1,237,197	513,062
	12	132	1,592	210,090	86,640
Brockton	1	124	2,050	254,179	128,841
	2	50	1,534	76,728	38,893
Brookline	1	177	1,360	240,722	122,020
	2	114	1,522	173,489	87,785
Cambridge	1	69	3,464	239,016	120,942
	2,6	309	2,619	809,204	410,179
	3	60	2,139	128,346	65,057
	4	228	3,024	689,643	349,574
	5	46	3,464	159,344	80,628
Canton	1	26	1,627	42,299	21,441
Chelsea	1	70	3,205	224,371	113,732
	2	128	733	93,790	47,541
	3	96	2,098	201,444	102,110
Chicopee	1	226	1,606	362,975	183,989
Clinton	1	34	639	21,733	11,016
Dedham	1	80	1,892	151,324	76,705
	2	26	1,520	39,532	20,038
Easthampton	1	31	2,678	83,025	42,084
Everett	1	268	964	258,343	130,952
	2	60	860	51,617	26,164
	3	64	600	38,415	19,472
Fall River	1	131	1,579	206,801	104,826
	2	196	2,290	448,869	227,528
	3	100	2,385	238,539	120,913
Fitchburg	1	160	578	92,419	46,486
Framingham	1	110	786	86,503	43,848
	2	75	1,251	93,866	47,580
Franklin	1	28	2,318	64,896	32,895
Garnder	2	41	1,430	58,625	29,716
	3	26	835	23,714	12,020
Gloucester	1	160	2,662	425,993	215,932
Grafton	1	16	2,436	38,973	19,755
Greenfield	1	72	180	12,999	6,589

<u>HOUSING AUTHORITY</u>	<u>CHAPTER</u> <u>200</u>	<u>UNITS</u>	<u>ALLOCATION</u> <u>PER/UNIT</u>	<u>5 - YEAR</u> <u>ENTITLEMENT</u>	<u>1st ROUND AVAILABILITY</u>
Haverhill	1	36	\$1,300	46,819	\$ 23,732
	2	68	205	13,964	7,078
Holyoke	1	219	2,502	548,017	277,786
Hull	1	28	21	583	296
Ipswich	1	24	768	18,433	9,343
Lawrence	1	256	1,386	354,952	179,922
	2	195	1,916	373,664	189,407
Leominster	1	73	846	61,799	31,325
Lowell	1	292	3,177	927,725	470,256
Lynn	1	78	2,809	219,115	111,068
	3	48	2,354	112,985	57,271
Malden	1	124	1,230	152,517	77,310
	2	6	1,614	154,980	78,558
Mansfield	1	10	571	5,712	2,895
Marblehead	1	22	519	11,425	5,791
	2	54	587	31,686	16,061
Mattapoisette	1	10	533	5,331	2,702
Medford	1	150	1,046	156,935	79,549
Methuen	1	60	2,272	136,318	69,099
Middleboro	1	28	1,496	41,893	21,235
Milford	1	69	859	59,285	30,051
Millbury	1	25	1,899	47,479	24,066
Montague	1	30	893	26,786	13,577
Nahant	1	14	858	12,009	6,087
Natick	1	52	2,406	125,096	63,410
Needham	1	80	647	51,744	26,229
New Bedford	1	100	952	95,187	48,249
	2	150	1,448	217,262	110,128
	3	80	965	77,236	39,150
Newburyport	1	42	745	31,280	15,585
Northampton	1	80	1,606	128,524	65,147
No. Andover	1	24	1,850	44,407	22,509
No. Attleboro	1	20	956	19,118	9,691
Norwood	1	75	1,231	92,343	46,808
Peabody	1	68	2,756	187,428	95,006
	2	24	2,402	57,660	29,227
Pittsfield	1	126	2,118	266,848	135,263
Plymouth	1	40	609	12,187	6,177
Quincy	1	400	1,622	648,845	328,712
Revere	1	286	715	204,389	103,706
Salem	1	32	2,311	73,961	37,490
	2	136	2,268	308,412	156,331
Somerville	1	216	1,325	286,170	145,057
	2	240	1,620	388,847	197,104
Springfield	1	200	3,218	643,560	326,215
	2	196	1,707	334,640	169,226
	3	136	1,876	255,144	129,330
Stoneham	1	48	1,147	55,070	27,915
	2	24	936	22,470	11,389
Stoughton	2	26	1,442	37,501	19,008
Swampscott	1	36	582	20,946	10,617

<u>HOUSING AUTHORITY</u>	<u>CHAPTER</u> <u>200</u>	<u>UNITS</u>	<u>ALLOCATION</u> <u>PER/UNIT</u>	<u>5-YEAR</u> <u>ENTITLEMENT</u>	<u>1st ROUND AVAILABILITY</u>
Taunton	1	102	2,298	305,822	155,019
	2	40	2,998	119,916	60,785
Uxbridge	1	22	2,594	57,076	28,931
Waltham	1	140	1,469	205,684	104,259
	2	100	1,633	163,308	82,779
	3	32	1,051	33,641	17,052
Watertown	1	228	3,880	656,686	332,869
Webster	1	30	3,199	95,974	48,648
Wellesley	1	90	1,240	111,639	56,589
Westborough	1	14	448	6,271	3,178
Westfield	1	62	1,685	104,454	52,947
W. Springfield	1	90	861	77,515	39,292
Weymouth	1,2	208	1,576	327,937	166,228
Winthrop	1	73	619	45,168	22,895
Woburn	1	68	2,082	141,600	71,775
	2	60	2,062	123,750	62,728
	3	48	1,399	67,156	34,041
Worcester	1	204	1,626	331,669	168,120
	2	390	1,747	681,543	345,469

APPENDIX F

APPENDIX F

CONVENTIONAL MODERNIZATION PROGRAM FOR STATE-AIDED PUBLIC HOUSING

(CHAPTER 694 MODERNIZATION AND RENOVATION LOAN ACT OF 1970)

APPLICATION FOR MODERNIZATION FUNDS FY 1977-1978

PROJECT NAME & NUMBER _____

PROJECT ADDRESS _____

HOUSING AUTHORITY _____

ADDRESS _____

TELEPHONE _____

SIGNATURES

CHAIRMAN _____

LTO PRESIDENT _____

DATE OF SUBMISSION _____

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COVER PAGE WITH APPROVAL SIGNATURES

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Section D	Certification of Housing Management Regulations	ID _____
Part II.	LHA AND PROJECT INFORMATION	
Section A	LHA Program Administration	IIA _____
Section B	Projection of Operating Reserves	IIB _____
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Section D	Implementation Status of Management Regulations	IID _____
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Section B	Capital Improvement Plan for this Fiscal Year 1977-1978	IIIB _____
Section C	Management Improvement Plan	IIIC* _____
Section D	Bonus Funds Application	IIID* _____

*Not applicable to Chapter 667

PART I. ENDORSEMENTS AND CERTIFICATES

SECTION I (A): TRANSMITTAL LETTER FROM LOCAL HOUSING AUTHORITY
(SAMPLE TEXT)

DATE _____

William G. Flynn, Secretary
Department of Community Affairs
100 Cambridge Street
Boston, Ma. 02202

ATTN: Administrator, Division of Community Development

Dear Secretary Flynn:

We hereby transmit our application for funds under the Modernization program (Chapter 694 of the Acts of 1970) for the application period covering Fiscal years 1977 and 1978. This application has been reviewed and approved by vote of the Board of Commissioners on _____, and a certified copy of the minutes of that Resolution is attached.

Sincerely yours,

Executive Director for the Authority

cc: Local Tenants Organization
Project Manager

SECTION I (B): RESOLUTION OF BOARD OF COMMISSIONERS
(SAMPLE TEXT)

WHEREAS, the Department of Community Affairs of the Commonwealth of Massachusetts has made available funds for improvements to public housing under the Modernization and Renovation Loan Act of 1970, as amended.

WHEREAS, the _____ Housing Authority recognizes the _____ Tenant Organization as the group duly authorized by the tenants of the _____ project (Project #____) to negotiate on all matters concerning the Modernization Program.

WHEREAS, the _____ Housing Authority and the _____ Tenant Organization have jointly agreed to make application for Modernization funds for improvements as specified in the application dated _____.

THEREFORE, BE IT MOVED, that the _____ Housing Authority approves the application for Modernization funds dated _____, and authorizes the Executive Director to transmit said application to the Department of Community Affairs for review and approval.

ATTEST:

SECRETARY TO THE BOARD

DATE

SEAL

SECTION I (D): CERTIFICATION OF HOUSING MANAGEMENT REGULATIONS

I. The _____ Housing Authority certifies that by vote of the Board it has adopted and accepted the Rules and Regulations for the administration of state-aided public housing, promulgated by the Department of Community Affairs under the provisions of Massachusetts General Laws, Chapter 121B, Section 29, including but not limited to;

- a. Regulations Prescribing Lease Provisions for Public Housing Promulgated February 22, 1973, Amended May 5, 1976
- b. Regulations for Tenant Grievance Procedures, Promulgated February 22, 1973, Amended May 5, 1976
- c. Regulations for Tenant Participation in the Administration of Public Housing, Promulgated February 22, 1973, Amended May 5, 1976
- d. Regulations for Eligibility in State-Aided Public Housing, Promulgated August 9, 1973, Amended May 5, 1976
- e. Regulations Prescribing Standards and Procedures for Tenant Selection and Tenant Transfer, Promulgated May 5, 1976
- f. Regulations for the Determination of Rents for State-Aided Low Rent Housing, Promulgated February 22, 1973

I hereby certify that the above information is true and correct and based upon official records of the authority of which a true copy is attached.

ATTEST:

SECRETARY TO THE BOARD

DATE

SEAL

PART II - LHA AND PROJECT INFORMATION

SECTION II (A): HOUSING AUTHORITY PROGRAM ADMINISTRATION

1) Administrative Staff

Staff Person-in-charge _____

Title _____

Phone _____

Is this person assigned
full-time to Modernization yes _____ no _____

If no, what % of time _____

Mod. Appl. prepared by _____

Title _____

Duties _____

Phone _____

2) Technical Staff or Consultants (if known):

Architect _____

Firm _____

Address _____

Phone _____

Engineer _____

Firm _____

Address _____

Phone _____

3) Other Personnel

4) Does the LHA require full time modernization staff? yes _____ no _____ (see instructions)

SECTION II (B): PROJECTION OF OPERATING RESERVES FOR CHAPTER 200 (667) PROGRAM

LHA Fiscal Year Cycle: FROM _____ TO _____

Most Recent Quarterly Statement _____

- 1. Operating Reserve entered in most recent Operating Statement \$ _____
- 2. Prior Year surplus/deficit if not included in operating reserve account of most recent quarterly statement +\$ _____
- 3. a) Subsidy to be received for prior Fiscal Year (if applicable) as approved in Annual Operating Budget +\$ _____
- b) Subsidy received this Fiscal Year (if applicable) -\$ _____
- 4. Accrual for Operating Reserve:
 - a) Quarterly Accrual rate: \$ _____
 - b) No. Quarters left in fiscal year _____
 - c) = Total accrual to operating reserve for remainder of Fiscal Year +\$ _____
- 5. Other Income anticipated to be added to Operating Reserve (eg. income from salvage, insurance claims, etc.)

<u>ITEM</u>	<u>AMOUNT</u>	<u>DATE RECD.</u>	
_____	_____	_____	
_____	_____	_____	
_____	_____	_____	+\$ _____

6. Charges anticipated against Operating Reserve this year.

<u>ITEM</u>	<u>AMOUNT</u>	<u>CONTRACT DATE</u>	
_____	_____	_____	
_____	_____	_____	
_____	_____	_____	-\$ _____

- 7. Total Estimated Operating Reserves \$ _____
- 8. Prorated Operating Reserve for this project
 - a) Number apartments in this application _____
 - b) Total apartments in Chapter ____ Program _____
 - c) Prorated Operating Reserve for this project \$ _____
- 9. Determination of Excess Reserves: 8c minus 8a X \$400.00= (\$400 x no. of units is max. reserve) \$ _____

Prepared by _____

Chairman _____ Date _____

INSTRUCTION FOR SECTION II (B)

PROJECTION OF OPERATING RESERVES FOR CHAPTER 200 (667) PROGRAM

Enter LHA fiscal year cycle and the date of the most recent quarterly operating statement already submitted to DCA.

Item 1. Enter balance of the operating reserve as it appears on this statement.

Item 2. If the prior year surplus or deficit has not been included in this operating statement when submitted to DCA, enter the amount here.

Item 3(a) If applicable, add approved operating subsidy that has not yet been received from previous fiscal year, and is due as of the date of the operating statement above; or (b) subtract subsidy that has been received for this fiscal year.

Item 4(a) State the amount of the quarterly accrual for operating reserve (not to be entered in the calculation), (b) multiply by number of quarters left in fiscal year, and (c) enter the amount to be accrued in operating reserves for the remainder of this fiscal year.

Item 5. If applicable, enter any other income that will be credited to your operating reserve during this fiscal year. State item, amount, and either actual or estimated date received. Enter total amount.

Item 6. Enter anticipated charges against operating reserve for the remainder of the fiscal year (same manner as 5).

Item 7. Enter sub-total of steps 1-6.

Item 8. Enter the total number of units as reported on the quarterly operating statement in #1 above. In determining the pro-rated operating reserve, divide the number of units in this project application by the total number of units as stated in the quarterly operating statement and multiply this ratio by the total operating reserve as estimated in #7 above. This figure will determine the amount of the estimated operating reserve applicable to this project.

Item 9. Calculation of Excess Operating Reserve. To be eligible for Modernization funds, the LHA operating reserve can be no greater than \$400 per apartment. If the LHA does have a reserve in excess of this amount, then the Entitlement funds available for this application period will be reduced by that amount. However, if the LHA uses the excess reserve in its application for Modernization funds, the Entitlement will not be reduced. Note that consideration of excess operating reserves will not reduce the five-year Entitlement set-aside but will reduce the amount which can be drawn in the current application period.

SECTION II (C): PROJECT PARTICIPANTS IN APPLICATION PROCESS

1. Project Manager

Name _____

Address _____

Phone _____

2. Local Tenant Organization

a) Name of LTO _____

b) President _____

Address _____

Phone _____

c) Modernization Rep. _____

Address _____

Phone _____

d) Indicate who is authorized to Sign-Off:

President (from 2b) _____

Modernization Rep. _____
(from 2c)

e) Indicate which is Proper Mailing Address

President (from 2b) _____

Modernization Rep. _____
(from 2c)

3. If no local tenant organization exists give name and address of temporary chairperson and date of meeting when elected. (see instructions)

Name _____

Phone _____

Address _____

Number Attending _____

Date Elected: _____

4. Describe your modernization process and how your Authority and Tenants met the requirements for tenant participation contained in Section 4A of the Rules and Regulations of the Modernization and Renovation Loan Act of 1970, promulgated on March 1, 1971.

SECTION II (D): IMPLEMENTATION STATUS OF MANAGEMENT REGULATIONS

1. Lease

- a. Have you received approval from the Department of Community Affairs for a lease which meets the requirements of the Regulations Prescribing Lease Provisions for Public Housing, as amended May 5, 1976.

yes _____ no _____ (if no, attach explanation)

- b. If yes, has the Department of Community Affairs approved lease been executed by each tenant household occupying a state-aided public housing unit?

yes _____ no _____ (if no, attach explanation)

2. Grievance Procedure

- a. Have you received approval from the Department of Community Affairs for a grievance procedure which meets the requirements of the Regulation for Tenant Grievance Procedures in Massachusetts, as amended May 5, 1976.

yes _____ no _____ (if no, attach explanation)

- b. Is a properly constituted hearing panel functioning in accordance with the approved grievance procedure? (if no, attach explanation)

3. Tenant Participation

- a. Do you make available to the tenant organization representing the tenants in this project the funds required by Section 6.2 of the Regulations for Tenant Participation in the Administration of Public Housing, as amended May 5, 1976.

yes _____ no _____ (if no, attach explanation)

- b. Is the LTO provided an opportunity at Board meetings to present reports, request information, and voice communications, as required by Section 11 of the Tenant Participation Regulations?

yes _____ no _____ (if no, attach explanation)

SECTION II (E): PROJECT INFORMATION

1. Project Composition and Vacancy Data for most recent Quarter Ending

BR.	# of Units	# of Units in Possession	# of Move Outs During this Quarter	# of Units Vacant at End of Quarter	% of Vacant Units to Total # of Units
1 BR					
2 BR					
3 BR					
4 BR					
5 BR					
6 BR					
TOTAL					

2. Vacancy Data for Four Previous Quarter:

Quarter Ending	# of Move Outs this Quarter	# of Units Vacant at End of Quarter	% of Vacant Units to Total # Units

3. Rent Collections for most recent and four previous Quarters

Quarter Ending	Max. Dwelling Income*	Charges to Tenants	Amount & % Collected		Accounts Rec'd End of Quarter		Charges Loss This Period
			AMT.	%	AMT.	%	

*Maximum dwelling income=Total number of Dwelling Units X average monthly rent x 3 months

3. DESCRIBE GENERAL CONDITIONS OF PROJECT
PLEASE SUBMIT PHOTOGRAPHS OF THE PROJECT DEPICTING: A) GENERAL CONDITIONS OF THE PROJECT AND B) AREAS THAT COVER WORK TO BE DONE BY
MODERNIZATION. C) DESCRIBE THE CONDITIONS DEPICTED IN PHOTOGRAPHS.

4. EXPLANATION OF PRIORITIES AND "OTHER" FUNDING SOURCES (INCLUDE ENERGY SAVING APPROACHES).

5. <u>PROJECTED ENERGY SAVINGS</u> <u>WORK ITEM</u>	<u>ESTIMATED ANNUAL</u> <u>BTU SAVING</u>	<u>ESTIMATED SAVINGS IN</u> <u>ANNUAL OPERATING BUDGET</u>	<u>TOTAL AMOUNT OF SAVING TO BE</u> <u>INVESTED IN CAPITAL IMPROVEMENT</u>	<u>ENERGY BONUS FUNDS</u> <u>EARNED FROM MOD.</u>
--	--	---	---	--

COMMONWEALTH of MASSACHUSETTS, EXECUTIVE OFFICE of COMMUNITIES and DEVELOPMENT
 MODERNIZATION APPLICATION, SECTION III (B) PAGE _____ of _____
 PROJECT NAME _____, #200- _____ #667 _____
 PROJECT ADDRESS _____

DATE _____ 19 _____
 NUMBER APARTMENTS _____
 NUMBER BUILDINGS _____

CAPITAL IMPROVEMENTS PROGRAM
 FOR FISCAL YEAR 1977-78
 _____ HOUSING AUTHORITY

1. TOTAL CIP BUDGET for FY 1977-78*
 A) ENTITLEMENT FUNDS AVAILABLE FY77-78 \$ _____
 **B)+BONUS FUNDS EARNED (MAX. 20% of A) \$ _____
 C)=TOTAL MODERNIZATION REQUEST \$ _____
 D) LHA RESERVES \$ _____
 **E) OTHER SOURCES \$ _____
 F) TOTAL CIP BUDGET \$ _____
 **TAKEN FROM SEC. III (D) (BONUS FUNDS APPLICATIONS)

2. ELIGIBILITY*
 A) TOTAL HEALTH/SAFETY (MOD) \$ _____
 B) TOTAL ALL WORK ITEMS (MOD) \$ _____
 (A) ÷ (B) = _____ % (>80%)
 3. PAST PERFORMANCE RECORD
 TOTAL MOD. FUNDS FROM PAST YEARS \$ _____
 TOTAL FUNDS USED BY LHA \$ _____
 % FUNDS USED _____ %

PROJECT MANAGER (print) _____
 SIGNATURE _____ DATE _____
 LTO PRESIDENT (print) _____
 (or designee)
 SIGNATURE _____ DATE _____
 EXECUTIVE DIRECTOR
 SIGNATURE _____ DATE _____

4. WORK PROGRAM

WORK PRIORITY	WORK ITEM DESCRIPTION	a. WORK ITEM BUDGET				b. SOURCE of FUNDS					MOD. FUNDS APPROVED -DCA USE-	QUAN.	NUMBER UNITS AFFECT. BLD/APT	INSPECTION DATA*		
		COST	WORK	FEES	C	TOTAL	LHA	C	OTHER	C				MOD	NEED CODE	NOW/LATER
77-1																
77-2																
77-3																
77-4																
77-5																
TOTAL FOR ALL WORK ITEMS																
TOTAL ONLY HEALTH/SAFETY WORK																

*NOT APPLICABLE TO CHAPTER 667 APPLICATIONS

FEE CODE:
 A-ARCHITECT, ENGINEER
 C-CLERK of WORKS
 T-TENANT COORDINATOR
 O-OTHER (SPECIFY)
 L-LHA STAFF

NEED CODE:
 H-HEALTH and SAFETY
 S-SECURITY
 E-ENERGY
 O-OTHER

SOURCE of FUNDS CODES
LHA
 OR-OPERATING RESERVES
 DS-DEBT SERVICE
 _____ (SPECIFY) _____
 _____ (SPECIFY) _____
OTHER
 CD-COMMUNITY DEVELOPMENT BLOCK GRANT
 EM-EXTRAORDINARY MAINTENANCE PROGRAM
 _____ (SPECIFY) _____
 _____ (SPECIFY) _____

5. TOTAL PROGRAM COST

a)	TOTAL FOR ALL WORK ITEMS	\$ _____
b)	FEEs AND ADMIN.	
	TOTAL FEES \$ _____	
	MISC. ADMIN. \$ _____	
	TOTAL FEES AND ADMIN.	\$ _____
	(MAX 10%)	
c)	CONTINGENCY (10%)	\$ _____
d)	TOTAL PROGRAM COST	\$ _____

6. TENANT EMPLOYMENT OPPORTUNITIES: (DESCRIBE HOW AUTHORITY IS PROVIDING FOR TENANT EMPLOYMENT OPPORTUNITIES WITH MOD. FUNDS REQUESTED)

7. OTHER COMMENTS:

COMMONWEALTH OF MASSACHUSETTS, EXECUTIVE OFFICE OF COMMUNITIES & DEVELOPMENT
MODERNIZATION APPLICATION, SECTION III (C) PAGE _____ OF _____
PROJECT NAME _____, #200 _____ #667 _____
PROJECT ADDRESS _____

DATE _____ 19 _____
NUMBER APARTMENTS _____
NUMBER BUILDINGS _____

MANAGEMENT IMPROVEMENT PLAN
FISCAL YEAR 1977-78
HOUSING AUTHORITY _____

1. DESCRIPTION OF MANAGEMENT PROBLEM OR NEED.

2. DESCRIPTION OF PLANNING PROCESS/TENANT PARTICIPATION.

3. STATEMENT OF MAJOR MANAGEMENT IMPROVEMENT OBJECTIVE.

4. WORK PLAN & TASKS.

4a. NARRATIVE DESCRIPTION

PROJECT MANAGER (print) _____
SIGNATURE _____ DATE _____
LTO PRESIDENT (print) _____
(or designee)
SIGNATURE _____ DATE _____
EXECUTIVE DIRECTOR _____
SIGNATURE _____ DATE _____

SECTION III (C)

PAGE _____ OF _____
 LHA _____
 PROJECT _____

4b. WORK PLAN

T A S K S	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June
1.												
2.												
3.												
4.												
5.												
6.												
7.												

5. EVALUATION OF WORK PLAN

5a. EVALUATION CHART

TASK #	TASK Performance Measure	Starting Point	Desired Level of Achievement

*List TASKS by number assigned in 4b above

COMMONWEALTH OF MASSACHUSETTS, EXECUTIVE OFFICE OF COMMUNITIES & DEVELOPMENT
 MODERNIZATION APPLICATION, SECTION III (C) PAGE _____ OF _____
 PROJECT NAME _____ #200- _____ #667- _____
 PROJECT ADDRESS _____

DATE _____ 19 _____
 NUMBER APARTMENTS _____
 NUMBER BUILDINGS _____

MANAGEMENT IMPROVEMENT PLAN
 FISCAL YEAR 1977-78
 _____ HOUSING AUTHORITY

5b. MONITORING AND EVALUATION PROCESS

5c. EVALUATION GROUP.

<u>Chairperson</u>	<u>(Check Status)</u>		<u>Other (Describe)</u>
	<u>LHA</u>	<u>LTO</u>	
Name _____	_____	_____	_____
Address _____			

Phone _____			
<u>Other Members</u>			
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

SECTION III (D) BONUS FUNDS APPLICATION

1. Maximum possible bonus is limited to 20% of the Entitlement.

Entitlement \$ _____
 x20% \$ _____

2. List cash contributions to the Capital Improvement Plan from other programs (attach budget detail for each program)

<u>Program Name</u>	<u>Contribution</u>
TOTAL	\$ _____

3. List cash contributions to the Mangement Improvement Plan from other programs. (attach budget detail for each program)

<u>Program Name</u>	<u>Contribution</u>
TOTAL	\$ _____

4. List operating budget contributions to the Capital Improvement Plan resulting from energy savings.

<u>Modernization Work Item</u>	<u>Estimated Annual Savings</u>	<u>CIP Contribution</u>
TOTAL	\$ _____	\$ _____

5. Calculation of Bonus Funds Earned
- a. Cash Contributions to CIP from other programs \$ _____
 - b. Cash Contributions to MIP from other programs \$ _____
 - c. Operating budget contributions to CIP from energy savings \$ _____
 - d. Total Contributions to Modernization Program \$ _____
 - e. Bonus Funds Earned (Smaller of the following)

50% times (d) is \$ _____
 Maximum bonus is \$ _____

INSTRUCTIONS FOR COMPLETING THE MODERNIZATION

PROGRAM APPLICATION FOR 1977 - 1978

INTRODUCTION

General Program Information. Funds are now available under the Modernization Program for capital improvements in public housing. All state-aided public housing under Chapter 200 and 667 is eligible for Modernization funds. However, a priority is being given to Chapter 200 housing, since it is the oldest and most deteriorated portion of the public housing stock.

Chapter 477 of the Acts of 1976 makes available \$50 million of bonding authorization over a five-year period for Modernization improvements. Thus, for the first time there is a predictable amount of money for local authorities to plan capital improvements over several years. To take full advantage of the planning efficiency this allows, the Department of Community Affairs has created an Entitlement allocation system which is designed to pass to local authorities a known amount of funds for each Chapter 200 project (based on its need) for the next five years. Each housing authority and tenant organization will know how much they will receive if the minimum application requirements and procedures are fulfilled.

The \$50 million available for the next five years, although twice the sum available for the past five years, is still short of the total need. Total capital improvements required in public housing are estimated to be almost three times this amount. Therefore, the Entitlement amounts are sufficient to cover only some of the most pressing needs in each project. All allocations were determined using the results of the Chapter 200 statewide inspection, and represent a fair share distribution of the monies currently available. In addition, each project Entitlement can be increased by as much as 20% by combining it with certain other grants from local, state and federal governments.

Deadline for Applications. All applications should be submitted to the Department by May 6, 1977 in order to receive funding during FY 1977. The Department will begin reviewing applications immediately upon receipt and process funds upon validating that all parts of the submittal are complete and satisfactory. Applications not received by July 1, 1977 may result in loss of 25% of the 5-year Entitlement amount due for that project. If applications are not received by September 1, 1977, the Department will consider redistributing the 1977 - 1978 Entitlement funds based on competing needs. Please submit two copies of each project application.

Modernization Rules and Regulations. Each application for Modernization funds must be completed in accordance with the Rules and Regulations of the Modernization and Renovation Loan Act of 1970, promulgated on March 16, 1971.

Tenant Participation. The Modernization Rules and Regulations require that the local tenant organization participate with the housing authority in determining work priorities and other application content. The LTO must also approve the application submission and have its representative sign-off on the application forms.

Management Regulations. The LHA is required by the contract for modernization funds to adopt the Management Regulations, as amended May 5, 1976, pertaining to lease provisions, grievance procedure, tenant participation, eligibility, tenant selection and transfer (newly promulgated), and rent determination Regulation promulgated February 22, 1973. Certification that these Regulations have been adopted is a requirement of eligibility for Modernization funds. The LHA

must have a DCA approved lease and grievance procedure. The lease must be executed with each tenant household, the grievance panel must be properly constituted and functioning as required.

Application Deficiencies. No application will be processed unless it is completed in full. Each authority and tenant organization will be notified within two weeks of receipt of their application by DCA whether it is complete. Any deficiencies will be specifically enumerated. Complete but substantively deficient applications will not be approved. The Entitlement money, in these cases, will be held in escrow for up to 60 days to allow the local authority and tenant organization to correct the deficiencies. This procedure will also be employed for failure to comply with basic requirements of the program such as tenant participation, or lack of compliance with the Management Regulations of the Department. If the deficiencies noted by the Department are not corrected within a 90 - day escrow period, the project may lose 25% of its five year Entitlement amount.

The Chapter 200 Inspection Data. The Department recently transmitted the project level results of the Chapter 200 inspection survey to all LHA's and LTO's having Chapter 200 projects along with an explanation of how to use the data in developing the Modernization application. The Department will use the inspection results in evaluating the content of each Modernization application submitted.

State Sanitary Code. The law requires that the Department "give priority to bringing existing state-aided public housing into compliance with the state sanitary code". The Chapter 200 state-wide inspection, therefore, gave special attention to conditions covered by the State Sanitary Code and certain other situations which endanger the health and safety of public housing tenants.

Each Modernization application submitted for Chapter 200 projects must have at least 80% of its Modernization funds devoted to items described in the Chapter 200 inspection related to "Health and Safety" (see the "Inspection Detail" for each project), or separately certified as work necessary to correct violations of the State Sanitary Code.

Chapter 667 projects may receive funds only for correcting certified violations of the State Sanitary Code and for situations causing an immediate danger to the health and safety of the tenants.

Other Eligible Expenditures. Entitlement funds in the Modernization Program may be designated only for capital improvements. Eligible expenses will also include the technical fees and administrative costs necessary to conduct a capital improvements program. The total fees and administrative costs may not exceed 10% of the current year Modernization budget. Contingencies must also be provided for within the LHA entitlement amount or its own program funds.

Appeal. An authority or tenant organization may appeal a decision of the Department on funding for critically needed work or for reconsideration of an application which is disapproved. Appeals for additional funds will be granted only in cases of unusual merit related to the health and safety of tenants.

Pilot Demonstration Program. The Department will circulate at a later date a Request for Proposal for Modernization Funds for LHA's and LTO's to make concentrated improvements to physical and related management conditions on a demonstration basis in a small number of Chapter 200 projects. Special emphasis will be given to tenant management proposals. However, LHA's and LTO's interested in the Pilot Demonstration Program should apply now for Conventional Entitlement funds. Entitlement funds will be released during 1977 on a limited basis to projects under consideration for the Pilot program to insure that expenditure of these funds will be consistent with the Pilot proposal, if accepted by the Department. Should the project subsequently be designated as a Pilot project, the Entitlement funds will be supplemented with additional funds from the Pilot program, and the two proposals will be combined. The Department will announce the details of this program at a later date.

EXPLANATION OF THE APPLICATION FORMS

Composition of the Application. The application form is composed of three major parts:

- Part I: Endorsements and Certifications
- Part II: LHA and Project Information
- Part III: Modernization Work Program

Cover Page. The cover page is a simple introductory form for the application packet. Please note that a separate application must be made for each project for which funds are requested and must be signed by the LHA and LTO representatives.

Table of Contents. For convenience, a list of all the application components is provided in checklist form for use by the applicants. All components must be present in order for the application to be considered complete, including the letter of endorsement from the LTO. Please use the checklist to prepare your application.

PART I: ENDORSEMENTS AND CERTIFICATIONS

Section I (A) LHA Transmittal Letter. Each application submission must have a transmittal letter indicating that the Board of Commissioners has reviewed and approved it. A sample text for this letter is included in the application packet.

Section I (B) Resolution of Board of Commissioners. A certified copy of the minutes approving the application is also to be attached to the transmittal letter. A sample text of the appropriate Resolution of approval is included in the application packet. This resolution must contain the statement recognizing the tenant organization participating in the application process. If no LTO exists then omit the statement on recognition and substitute for the last Whereas statement the following:

"WHEREAS, the _____ Housing Authority met with the tenants of the _____ project (project # _____) on _____, 1977 and jointly agreed to make application for Modernization funds for improvements as specified in the application dated _____."

The above statement cannot be used as a substitute for recognition of an existing organization, or can it be used in the case of competing LTO's.

Section I (C) Letters of Endorsement from LTO. Each application must contain a letter of endorsement from the appropriate local tenant organization which participated in the application process. In each case where reference is made to an LTO in this application, or to an LTO President, this should be interpreted as the project tenant organization, or the project LTO President. In cases of a city-wide tenant organization, the project tenants must be designated as the primary participant in the application process. If no LTO exists, then section 4A of the Modernization Rules and Regulations requires that the housing authority meet with the tenants, explain the program, involve them in the preparation and review of the application, and request a vote of approval. In this case, a temporary chairperson must be elected for the purpose of signing off on the Modernization application and other documents in the program requiring the LTO representative to sign.

Section I (D) Certification of Housing Management Regulations. The Housing Authority must certify that it has adopted the Department's Rules and Regulations for Public Housing Management in order to be eligible for Modernization funds. The certification must be in the form specified in the application.

PART II: LHA AND PROJECT INFORMATION

Section II (A) Housing Authority Program Administration. This section of the application is designed to ascertain the staffing for execution of the Modernization Program on a day-to-day basis. Local authorities with more than 1500 units of State and Federal public housing combined may request supplemental funds to cover the cost of a full time administrative staff. Such requests will be reviewed on a case-by-case basis. Salaries for an administrative coordinator will be allowed only if the employee works full time on the Modernization Program, and only if such an administrative overhead is justified by the size of the local Modernization effort. The coordinator may work part of the time on the Federal Modernization Program, in which case the salary will be pro-rated. Local housing authorities may apply by submitting the application form entitled "Request for Supplemental Administrative Funds."

Section II (B) Projected Operating Reserves. This form will be utilized to estimate the amount of excess operating reserves at the end of your current fiscal year. It is recommended that the LHA accountant complete this form. The projection of excess operating reserves will be used as part of the Modernization budget. Instructions for completing this information appear on the back of the form.

Section II (C) Project Participants in the Application Process.

Item 1. Project Manager If there is not an on-site Project Manager, the person to be entered wherever Project Manager appears in this application is the official who takes on all the responsibilities of the on-site manager and is directly responsible for rent collection and maintenance.

Item 2. Local Tenant Organization An LTO mailing list will be compiled from the names and addresses entered on this form. Copies of all significant correspondence concerning the Modernization Program for the project will be regularly sent to the LTO representative indicated. Should the representative change during the execution of the program, the LTO should notify the Department of Community Affairs Modernization staff in writing.

Item 3. If no local tenant organization exists, list the name and address of the temporary chairperson here. If an LTO does exist, omit this item.

Item 4. Please describe the Modernization process your Authority and tenant organization used to prepare this application. Please give dates of meetings, purpose and attendance and other information helpful in describing the process used.

Section II (D) Implementation Status of Management Regulations. The Lease and Grievance Procedure must be implemented for an LHA to be eligible for Modernization funds. If any of the questions on lease and grievance are not answered in the affirmative, please attach a full explanation and indicate how implementation will occur within 90 days. Questions on Tenant Participation Regulation must also be addressed.

Section II (E) Project Information. This section of the application requires the submission of occupancy and vacancy information as well as the amounts of rent collected and receivable for the last four quarters. Should trends toward increasing vacancies and rent arrearages be evident on this form, the Department recommends that the LHA and LTO relate these problems to the Management Improvement Plan in Section III (C).

PART III: MODERNIZATION WORK PROGRAM

Section III (A) Capital Improvement 5-year Plan.

Item 1. CIP Budget. As part of the Modernization application for fiscal years 1977 - 1978, the housing authority and tenant organization are required to submit a proposal for expending its full Entitlement plus any reserves and other program funds (such as Community Development Block Grant) that will be used to carry out the capital improvements program for the next five years. Include estimates of bonus funds which the Authority anticipates over the 5 year period. Use this budget total to complete Item 2, Work Program.

Item 2. Work Program. Please list all work items by priority, with a description of the item, the source of funds, and the number of apartments involved. Enter also the pertinent data requested from the Chapter 200 inspection. Use the NEED code found on the back of Section III (B), and the NOW/LATER information from the Inspection Detail Report.

When completing the Modernization 5 - year plan, be sure to include an estimated contingency (10%). No contingency funds will be provided by the Department for cost overruns and underestimates.

Item 3. Describe General Conditions of Project. A photographic description of the project and work to be done is required. Please also submit at least one photograph showing the surrounding neighborhood. Try to show the need for the requested work items when this is possible. For each photograph describe the conditions shown.

Item 4. Explanation of Priorities and "Other" Funding Sources. Give a brief narrative on the major physical improvement strategies, including the reason for the priority order in item 2 (Work Program) as it relates to the health and safety needs of the project, and a description of the anticipated funding sources other than Modernization and LHA reserves. Energy conservation should be an important consideration in planning your 5 - year program. Please discuss the energy implications of the capital improvements program you propose.

Item 5. Projected Energy Savings. As part of the energy policy in the Commonwealth, the Department is gathering information on energy conservation measures related to Modernization improvements. The inspection survey contains information showing reduced energy usage resulting from various physical improvements. Use this information or other information generated by your Authority in planning your work program. Bonus funds can be earned, if some of the savings in operating costs are redirected for further capital improvements. See section III (D) below. A more detailed explanation of this energy bonus will be sent to local housing authorities and tenant groups under separate cover within 30 days. Please give the energy items your careful consideration.

Section III (B) The Capital Improvement Program for Fiscal Years 1977 - 1978.

Item 1. Total Project Budget for Fiscal Years 1977 - 1978. Using the Entitlement available for fiscal year 1977 - 1978, and an estimate of the bonus funds you expect to earn, plus other program funds, reserves, etc., calculate the total Modernization budget. Use this figure as the bottom line for Total Program cost (item 5).

Item 2. Eligibility. Calculate the percentage of Modernization funds to be directed for Health and Safety improvements. (Use amounts in item 4b. Source of funds). Unless this amount is equal to or greater than 80% of the total budget, the application will not be considered. In the case of Chapter 667 projects, only improvements needed to correct certified violations or conditions which pose an immediate danger to the health & safety of the tenants will be considered.

Item 3. Past Performance Record. The Department will begin to monitor the rate of program expenditures. In future rounds, this record may effect the amount of money available to the Authority in a given fiscal year.

Item 4. Work Program. List all work items in order of LHA/LTO priority established for each item. Briefly describe each item, including type of labor force (contract, LHA or CETA: Force Account is not allowed for work in excess of \$2000). Also, make reference to other LHA programs which may relate to the Modernization item. Complete the work item budget using the fees acceptable to the Department (see Appendix A). Using the Chapter 200 inspection results for this project enter the need code and indicate whether the item was supposed to be done NOW or LATER. Use the Health and Safety total ("H" items) to complete item 2, eligibility. (Chapter 667 projects should omit these columns).

The Department is requiring that fees, NEED and Source of funds be explained using the code legends shown on the back side of Section III (B). Enter the appropriate code in the "C" columns following the Fees, NEED and Source of Funds columns.

Item 5. Total Program Cost. Complete this summary of total program cost by carrying over the cost of work from item 4a, Work Item Budget. Total fees (from item 4a) and miscellaneous administration costs may not be more than 10% of the total work item budget. Each applicant must also set aside a contingency of 10%, since the Department will not provide funds for under estimates and cost overruns, nor for any other reason than what is specifically spelled out in these instructions.

Item 6. Tenant Employment Opportunities. Tenant employment is an important objective in the modernization program. Please describe how the Authority is using the Modernization program to provide employment opportunity. This includes employment on the LHA staff, or employment generated from contractors working on the Modernization program.

Section III (C) The Management Improvement Plan. The Modernization applications for fiscal year 1977 - 1978 requires that a management improvement plan (MIP) accompany the application for capital improvement funding. The sound operation of state-aided public housing requires that in addition to upgrading physical structures, LHA's and LTO's work to improve the routine maintenance of individual apartments, buildings and grounds, and insure that the environment provides for the safety and security of the tenants, and fiscal economy of management. Thus, the Modernization application must reflect a coordinated approach to improving both the physical and non-physical aspects of a housing project.

The MIP requires that the LHA and LTO discuss and identify the main management problems faced by both tenants and authority at each project and select one or two by mutual agreement for improvement efforts during the next year. The application form is designed to provide LHA's and LTO's with a planning guide. It requires information on (1) the description of the management problem to be addressed, (2) the process for planning improvements, including the methods used to have tenants project manager and maintenance staff participate together, (3) a statement of objectives to be met by the end of the improvement period, (4) a work plan for making improvements, and (5) a description of how success will be evaluated during and at the end of the improvement period.

Appendix B is attached to assist you in completing this section. It includes a list of sample project level management concerns and an example of a completed Management Improvement Plan. The information requested on the MIP form is intended to be brief and specific. However, if the LHA/LTO feel they require more space, additional sheets may be attached.

Item 1. Description of the Management Problem or Need. Problems and needs may vary project by project or may be general administrative improvements affecting all project levels. Often an identified problem is in fact a symptom of a larger, more complex problem. In the example (see Appendix B) attached both the LHA/LTO have identified broken windows as a critical problem. Before reaching an objective it was necessary to explore possible causes and possible solutions. Therefore repairing the broken windows becomes one of the tasks (or work steps) involved in reaching the objective. Repair of windows is not in and of itself the full objective.

The LHA and LTO must agree to make improvements to one (or two) management problems. It may be taken from the list of suggested areas in Appendix B, or represent any other matter of serious concern to both LHA and LTO. Once selected, the management problem agreed upon should be described in specific detail including the following information: problem from authority point of view, problem from tenant point of view, costs related to the problem, and relationship to central LHA operation.

Item 2. Description of Planning Process/Tenant Participation. The management improvement effort must be a joint effort of management and tenants. In order to insure tenant participation in the planning and implementation stages, the LHA and LTO should:

- a. Meet and discuss the requirements of the Management Improvement Plan.

- b. Both the LTO and LHA must designate a Co-Chairperson to coordinate the MIP plan.
- c. The LHA/LTO should schedule any and all meetings, and/or conferences necessary to develop an MIP in a timely fashion.

When completing this section of the application give names of the LTO and LHA MIP Co-Chairpeople and describe the actions taken by the LHA/LTO to insure tenant input on project planning and implementation.

Item 3. Statement of Major Management Improvement Objectives. Once the problem area in need of improvement is identified, the LHA/LTO must explore possible causes and pinpoint those which contribute to the problem. The selection of an objective, therefore, must be based on the LHA's/LTO's assessment of the problem area(s) and probable cause(s). It must be determined that the selected problem is one which can be dealt with during fiscal years 1977 and 1978.

Item 4. Work Plan. This part of the application form represents the LHA/LTO planning document, giving specific tasks and timetables. The tasks should be action oriented, and reflect fully the LHA's proposed management plan. The tasks then become work steps to meeting the MIP objective. Progress on the tasks must be measured. Describe the tasks in narrative form in item 4a, list them briefly in table 4b and indicate the time when each task will begin and when it is expected to be completed.

Item 5. Monitoring and Evaluation. The local housing authority and tenant organization have the primary responsibility for monitoring and evaluating the management improvement plan. In order to determine whether the efforts to improve a management problem are succeeding three steps are necessary. First, a small committee (see item 5c: Evaluation Group) must be selected by the LHA and LTO to monitor progress and to give regular status reports. Second, the LHA and LTO must decide what the status reports should contain and how often they will be submitted. The Evaluation Table (item 5a) should identify the proposed contents of the status reports, including how success will be measured. Third, there must be a process for keeping records, and gathering the information needed to make the evaluation reports (see item 5b: Monitoring and Evaluation Process).

Item 5a. Evaluation Chart. Each task listed in the work plan will have one or more ways to measure whether LHA/LTO efforts to improve the management problem are working. For each task, list the way(s) the Evaluation Group will be required to measure success. Then give the situation as it exists now for each measure (Starting Point) and state what the LHA/LTO want the measure to be if improvement activities are completely successful (Desired Level of Achievement).

Item 5b. Monitoring and Evaluation Process. In this item describe the way records will be kept to allow progress to be measured. State who is responsible for keeping records, and when and how these records will be made available to the Evaluation Group for their reports. In the above example, it was decided that the maintenance foreman would be responsible for keeping track of the time it takes to turn over a vacant apartment, and that he will give the chairperson of the Evaluation Group a brief periodic report on vacancies and boardings.

Item 5c: Evaluation Group. A small group of tenants and authority staff, with some objective outsiders, if desired, must be selected to watch over the MIP activities and judge how successful they are. They must give regular reports to the LHA and LTO indicating how well they feel progress is being made using the Evaluation Table in item 5a as their guide. The Department of Community Affairs recommends that this group be small (no more than 5 people) and that it not involve the two people responsible for implementing the MIP (that is, the MIP chairpersons for the LHA and LTO. Membership must include a balance of representatives from both the LHA and LTO.

The work plan as approved by the Department will be the basic document for DCA to monitor the progress of the specific tasks selected by the LHA and LTO. The Department will carry out periodic inspections of activities described in the work plan. If the results of these inspections indicates that the LHA and LTO have not progressed with the implementation of the MIP, the Department may offer its assistance. If it is determined that either the LHA or LTO are showing lack of support and/or interest then the Department may require a conference of all parties. As a last resort, the Department may withhold further Modernization funding, pending the resolution of those obstacles impeding progress on the MIP.

NOTE: Your Authority and tenant organization may choose a Management Improvement objective which is less comprehensive than the example given in the attachment. Keep in mind that the objective must be achievable within the FY 1977 and 1978 time frame. The Department will review the MIP portion of the application as to whether the objective(s) and tasks are capable of being achieved during this period of time.

Section III (D) Bonus Funds Application (Chapter 200 only).

Use this form to calculate estimated bonus funds earned or to be earned. Bonus funds are limited to 20% of the Entitlement available for fiscal years 1977 - 1978. There are three ways to obtain bonus money.

1. Cash contributions to the CIP from other programs, such as Community Development Block Grant, CETA labor, or local appropriation.
2. Cash contributions to the MIP from other programs, such as Title XX of the Social Security Act, CDBG, private foundation funds, or local appropriation.
3. Operating budget contributions to the CIP which result from energy savings achieved from improvements made during the Modernization Program. An estimate of energy savings will be made based on an energy schedule.

All contributions from other programs must be in the form of cash contributions to the CIP or MIP in order to earn bonus money. Funds may be contributed from any federal, state or local agency, but the commitments must have been secured after March 1, 1977 and before June 30, 1978. The Department will accept commitments made in any written form from the grantee for the purposes of approving the Modernization Program budget. However, the bonus funds cannot be drawn from the Commonwealth until the appropriate grant contracts are executed for the contributions upon which the bonus funds were based.

Description of Program Sources. For each outside grant contribution, please attach a sheet giving the program source, purpose of grant, description of program, and the program budget. If program applies to more than one project, please delineate and explain the portion of budget pertaining to this project only.

APPENDIX A

Modernization Consultant Fee Schedule

The following percentages will be used to determine a lump sum fee for architectural and engineering contracts for the Modernization Program.

<u>TYPE OF CONTRACT</u>	<u>CONTRACT AMOUNTS</u>		
	\$10,000 - 30,000	\$80,000	\$120,000
Roofing	5%	4%	3.5%
Windows and doors	5	4	3.5
Siding	5	4	3.5
Kitchens	6	5	4.5
Baths	6	5	4.5
Plumbing	6	5	4.5
Heating	6	5	4.5
Electrical	6	5	4.5
Other	as determined by DCA		

Interpolate between contract amounts for proper percentages.

The Authority may increase or decrease the above percentages by ½% according to its assessment of the following:

Extent of preliminary investigation.

Amount of layout or system redesign.

Extent of construction inspection or testing.

The fee for jobs less than \$10,000 or greater than \$120,000 will be determined by the Department.

All Fees are subject to review and approval by the Department.

APPENDIX B
PROJECT MANAGEMENT CONCERNS

The following is a basic list of project operations. It does not represent a comprehensive list of duties and responsibilities and should not inhibit local housing authorities and tenant organizations from identifying other problem areas or needs requiring attention. Although some of the items mentioned relate to department regulations, actual implementation of DCA regulations is not viewed as an acceptable management improvement. Implementation of DCA regulations is a mandatory requirement of housing authorities and not a special item in the modernization program. However, if an LHA and LTO identify as a problem area a high vacancy rate and/or high concentration of a minority within a specific project, you may choose to improve the unit assignment plan or transfer policy consistent with the intent of the Department's Tenant Selection Regulation. Proposals must address those areas identified by the LHA and LTO as critical problems or needs.

ADMINISTRATION

- I. Personnel
 - a. table or organization
 - b. hiring policies
 - c. training/career development
 - d. staff evaluation
 - d. tenant services
 - e. develop & maintain relationships with community agencies
 - f. represent authority in discussions with LTO
 - g. supervise administration & maintenance
 - h. conduct staff meetings
 - i. rent collection procedures
2. Fiscal
 - a. budget planning, preparation and control
 - b. bookkeeping/accounting
 - c. preparation of financial reports & quarterly statements
 - d. assist maintenance dept. w/ quarterly & year-end reports
3. General
 - a. maintain inventory of office supplies, equipment
 - b. prepare purchase orders
 - c. develop & maintain system of maintenance follow-up

MAINTENANCE

1. Routine (including preventive)
 - a. processing work orders
 - b. scheduling & assignment procedures
 - c. identification of immediate needs
 - d. information intake system
 - e. record keeping
 - f. maintenance control
2. Grounds and Janitorial
 - a. scheduling
 - b. use of special programs
 - c. tenant vs maintenance dept. responsibilities
 - d. maximum use of staff skills
3. Preventive
 - a. scheduling
 - b. inspections
 - c. reducing emergency repairs
 - d. planning replacement
 - e. tenant orientation & tenant education
4. General
 - a. staff assignments matching staff skills
 - b. maintenance training and orientation
 - c. evaluation
 - d. reporting

MANAGEMENT

1. Admissions & Occupancy
 - a. application intake
 - b. interview/explanation of tenant selection regulation
 - c. verification of income
 - d. project/unit assignment
 - e. unit inspection w/tenant
 - f. tenant orientation
 - g. vacancy turnover
 - h. annual redetermination
2. General
 - a. rent arrearages
 - b. security
 - c. tenant complaints & grievances

MANAGEMENT IMPROVEMENT PLAN

- AN EXAMPLE -

In the following example, the local housing authority of Bay City met with the tenant organization, the Maple Tenant Council, to discuss the management improvement program. As a result of this and subsequent meetings the housing authority and tenant organization agreed upon the methods they would use to identify management concerns. These methods included an outline for implementing and evaluating the chosen management plan, as well as the means by which tenants would participate in all phases of the program.

After listing several management problems, the group then decided which ones could be most successfully dealt with in the fiscal 1977-78 time period. In addition, the objectives selected were those that were most specific and measureable.

As it seemed unlikely that both the LHA and LTO would attach the same order of importance to the problems on the list, the LHA & LTO agreed to employ the method of group consensus to make their choices. Although the problems and objectives selected did not meet with everyone's complete approval, all participants did partially agree with the objective finally selected.

The next step in the process was to come up with a set of tasks which would lead to completion of the selected objective. The following criteria were used to ensure that tasks would be appropriate:

1. tasks must be specific work steps necessary to achieve the objective;
2. a time schedule must be established within the fiscal year for completion of the selected tasks;
3. a means of measuring both the progress and success of the tasks had to accompany each task.

When mapping out their work plan the group referred back to the criteria used in selecting the tasks to ensure that the plan could be easily monitored and evaluated. As part of the evaluation process the group included a time schedule for weekly and quarterly progress reports to keep the proposed plan on track.

COMMONWEALTH OF MASSACHUSETTS, EXECUTIVE OFFICE OF COMMUNITIES & DEVELOPMENT
MODERNIZATION APPLICATION, SECTION III (C) PAGE 12 OF 15
PROJECT NAME MAPLE PROJECT, #200-1 #667
PROJECT ADDRESS Main Street, Bay City

DATE April 25 1977
NUMBER APARTMENTS 75
NUMBER BUILDINGS 12

MANAGEMENT IMPROVEMENT PLAN
FISCAL YEAR 1977-78
BAV CITY HOUSING AUTHORITY

1. DESCRIPTION OF MANAGEMENT PROBLEM OR NEED. *Vandalism has caused many broken windows at Maple. The primary cause of this breakage is known to be teenagers living in and around the project. LTO feels that broken windows causes discomfort in winter, looks bad to outsider and littered glass is dangerous to small children. Management feels that window breakage results in expensive repairs, ties up maintenance staff, and increases cost of heat during winter. Present costs are \$4.05 P.U.M. and Mrs. Smith is suing the Authority for cuts her son suffered from courtyard sandbox. Related central office problem: Purchasing Dept. is slow in filling window glass order.*
2. DESCRIPTION OF PLANNING PROCESS/TENANT PARTICIPATION. *The Maple Tenants Council, project manager and maintenance foreman met 3 times in April. The first 2 meetings were on April 5th and 7th. Various management problems were discussed and on April 7th it was agreed that broken windows are a priority problem. The MTC appointed Michael Green as its MIP Chairperson. The project manager, Henry Johnson, became the designated MIP Chairperson for the Authority. These two people plus one tenant and the maintenance man for the project formed a committee to put together a rough draft of an improvement plan, complete the MIP Modernization form and submit the results to the MTC and the Authority for discussion and approval. On April 12th the MTC met, reviewed the plan and approved it. The manager met with the Executive Director during the same week and got his support to include it in the application sent to the Board for approval. It was decided that the MIP committee would continue to meet once every two weeks to complete the details of the plan, and initiate the activities necessary to bring about the improvement desired.*
3. STATEMENT OF MAJOR MANAGEMENT IMPROVEMENT OBJECTIVE. (1) Quicker repair of windows and reduction of glass litter. Place a high priority on window repairs in the work order system. (2) Strengthen communication with teens and involve them in window problem solution. (3) Develop a system of charges which both MTC and the Authority feel is defined clearly and used fairly in cases of intentional damage. (4) Improve routing police protection in the project - strengthen police involvement to deter vandalism. (5) Keep tenants and management updated on progress of the improvement program, including keeping figures on trends in window breakage and costs.
4. WORK PLAN & TASKS.
- 4a. NARRATIVE DESCRIPTION *The important first step is to repair all windows, and reduce repair time for future breakage to show tenants that the Bay City Housing Authority recognizes the importance of this problem. Concurrently, the adults at Maple Project will meet with teens to identify why the window breakage is going on, and to develop discouragements to this behavior and incentives for more constructive behavior, including a set of rules related to the problem developed with the assistance of a new committee of teens. Since vacant apartments act as a major target for window breakage, one objective will be to reduce the time from move out to move in. This involves improved communication and coordination between management maintenance and tenant selection. At the same time police presence will be increased to act as a deterrent. The Maple Tenants Council will also begin to put teen problems regularly on its agenda to encourage teens to attend council meetings. Finally, the MTC and the manager will implement a reasonable system of charges for intentional window damage. Although this is not felt to be the main part of the problem, it is felt necessary to show the teens by example that window breakage among adults will also not be tolerated any longer. Regular bulletins will be prepared for all tenants and authority staff to publicize the efforts being made on the problem in order to increase the sense that this is a community project and to maximize the cooperation from related staff at the central office (e.g. Purchasing Dept.)*

PROJECT MANAGER (print) Henry Johnson
SIGNATURE Henry Johnson DATE 4/17/77
ITO PRESIDENT (print) Michael Green
(or designee)
SIGNATURE Michael Green DATE 4-17-77
EXECUTIVE DIRECTOR A. L. Baringer
SIGNATURE _____ DATE 4/25/77

4b. WORK PLAN

T A S K S	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	
1. Reduce the number of broken windows	[Bar from July to Sept]												
2. Meet-regularly with teens	[Bar from July to June]												
3. Reduce vacancy time				[Bar from Oct to Feb]									
4. Develop charge system for intentional damage		[Bar from Aug to Sept]											
5. Increase security through better police presence	[Bar from July to Oct]									[Bar from Apr to June]			
6. Distribute regular bulletin on MIP process		[Bar from Aug to June]											
7.													

5. EVALUATION OF WORK PLAN

5a. EVALUATION CHART

TASK #	TASK Performance Measure	Starting Point	Desired Level of Achievement
1	Rate of window breakage	30/mo	5/mo
1	Number of broken windows	65	3
2	LTO meetings with teens	0	1/mo
2	Number of teens attending tenant council meetings	0	5/meeting
3	Time between move out and move in	30 days	5 days
4	Rules for new charge for intentional damage	0	Approved rules
5	Number of police patrolling project	0	3 patrols/day
6	Number of tenant bulletins on window problem	0	1/mo

*List TASKS by number assigned in 4b above

COMMONWEALTH OF MASSACHUSETTS, EXECUTIVE OFFICE OF COMMUNITIES & DEVELOPMENT
 MODERNIZATION APPLICATION, SECTION III (C) PAGE 14 OF 15
 PROJECT NAME MAPLE PROJECT #200- 1 #667-
 PROJECT ADDRESS Main Street, Bay City

DATE April 25 1977
 NUMBER APARTMENTS 75
 NUMBER BUILDINGS 12

MANAGEMENT IMPROVEMENT PLAN
 FISCAL YEAR 1977-78
BAY CITY HOUSING AUTHORITY

5b. MONITORING AND EVALUATION PROCESS The MIP committee will meet weekly to discuss progress on each task. Each month a report will be given by the MIP committee at a regular Tenant Council meeting. Every three months the Evaluation Group will report to the LTO, LHA, and DCA on how much improvement is being made according to the performance measures in table 5a. The Evaluation Group will give constructive criticism on what is working well and what efforts need to be better, and if necessary, what objectives need to be changed. The WHA Maintenance foreman will be responsible for keeping track of the time it takes to turn over vacant apartments and will give the Chairperson of the Evaluation group a brief periodic report on vacancies & boardings.

5c. EVALUATION GROUP.

<u>Chairperson</u>	<u>(Check Status)</u>		<u>Other (Describe)</u>
	<u>LHA</u>	<u>LTO</u>	
Name <u>Mr. Sam Jones</u>	<u> </u>	<u>X</u>	<u> </u>
Address <u>76 Main Street</u> <u>Bay City, Mass.</u>	<u> </u>	<u> </u>	<u> </u>
Phone <u>617-333-7777</u>	<u> </u>	<u> </u>	<u> </u>
<u>Other Members</u>			
<u>Mary Smith - Maintenance Supervisor</u>	<u>X</u>	<u> </u>	<u> </u>
<u>James Mason, LTO Mod. Representative</u>	<u> </u>	<u>X</u>	<u> </u>
<u>Laymond Cranston</u>	<u> </u>	<u> </u>	<u>Local School Teacher</u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>
<u> </u>	<u> </u>	<u> </u>	<u> </u>

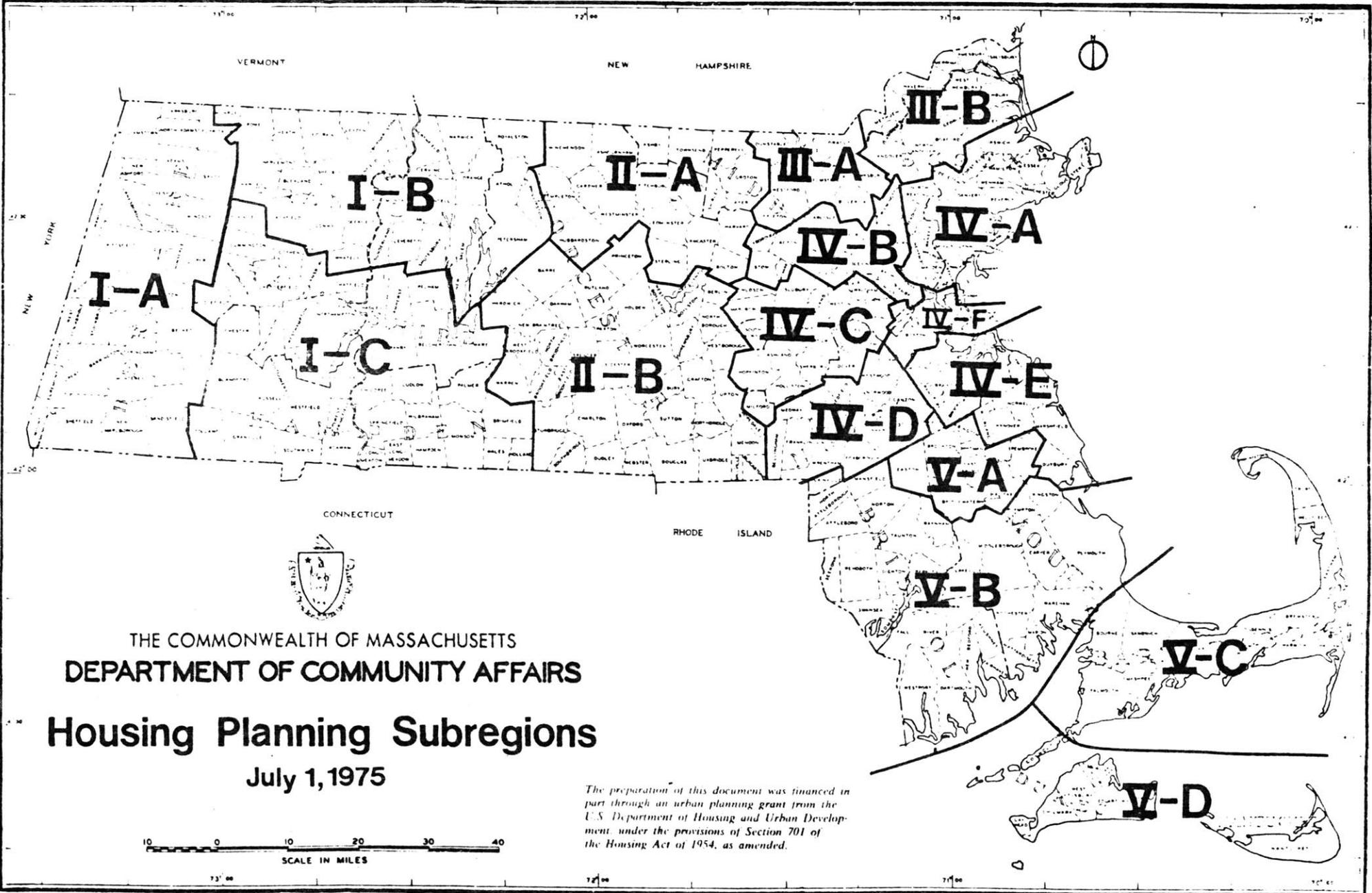
APPENDIX G

APPENDIX G

MODERNIZATION STAFF ASSIGNMENTS

May 3, 1977

Staff Assigned	Region(s)	# Mod Projects	Total # Units	% Total Work	Backup Staff
Ed Ringland	IV-F	14	4,111	15%	Tony Brown
Tony Brown	IV-A	29	2,588	16%	Ed Ringland
Bob DeVirgilio	III-B IV-B	21 24 <u>45</u>	1,477 2,394 <u>3,871</u>	24%	Bernie Stewart
Bernie Stewart	IV-C IV-E	21 5 <u>26</u>	1,300 958 <u>2,258</u>	15%	Bob DeVirgilio
Barbara Manford	V-A V-B V-C	4 18 2 <u>24</u>	404 1,631 80 <u>2,115</u>	13%	Janina Dwyer
Janina Dwyer	II-A II-B III-A IV-D	6 14 3 9 <u>32</u>	445 1,169 421 412 <u>2,447</u>	17%	Barbara Manford
TOTALS		170	17,390	100%	



THE COMMONWEALTH OF MASSACHUSETTS
 DEPARTMENT OF COMMUNITY AFFAIRS

Housing Planning Subregions

July 1, 1975

10 0 10 20 30 40
 SCALE IN MILES

The preparation of this document was financed in part through an urban planning grant from the U.S. Department of Housing and Urban Development under the provisions of Section 701 of the Housing Act of 1954, as amended.

APPENDIX H

APPENDIX H

MGT		Acct		Review Begins	
Mod.		Enrg.		Return to Brown	

This Status Report has been designed for the purpose of expeditiously processing Modernization Applications. Your responsibility is to examine thoroughly each Application for completeness and/or deficiencies in satisfying Department requirements for eligibility in obtaining funding. This Status Report is also designed to coordinate reviews by Modernization, Management, and Accounting. Each reviewer will mark the review date in the appropriate box next to each item in the Detailed Status Review section of this report. The status summary will be prepared by Tony Brown upon the return of the individual reviewers reports.

Summary of Status (Check Appropriate Box) (MOD. STAFF USE ONLY)

- Application has completed departmental review. It has been found complete enough for funding approval. No further information is required for processing application, but some additional information or clarification may be useful and is noted below, List D.
- Application has been reviewed and certain deficiencies noted. Funds can be committed, but unless these deficiencies are corrected within 60 days of this report, 25% of applicant's 5 - year entitlement may be withdrawn.
- Application has been reviewed and found not to comply with the major requirements of the Modernization Program. No further action will be taken by DCA until these requirements have been met. If application is still not in compliance with 90 days of this report, 25% of applicant's 5-year entitlement may be withdrawn.
- Application approvals and/or LHA Certifications are missing or not acceptable. This application cannot be processed until these approval and certifications are in order. If these actions are not taken by July 1, 1977, 25% of applicant's 5-year entitlement may be withdrawn.

 Signed Date
 Director of Modernization

Detailed Status Review (Complete all items that apply to your portion of the application; put review date in any box marked "NO" and a check if "YES".)

A. Basic Program Requirements

The items reviewed in this section are considered to be basic requirements of the Modernization Program. No further action is to be taken on the application unless LHA makes July 1 deadline for compliance.

- | YES | NO | | COMMENTS |
|--------------------------|--------------------------|--|----------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. Cover page have been signed by LHA Chairman and LTO president. | _____ |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. The Resolution of the Board of Commissioners has been certified - the LTO has been recognized. (IB) | _____ |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. The Certification of Housing Management Regulations is properly certified. (ID) | _____ |

B. Major Application Requirements

Non-compliance means no commitment of funds. Status Report is completed and entitlement placed in 90 day escrow.

- | | | | |
|--------------------------|--------------------------|--|-------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. Letter of endorsement from LTO submitted. (IC) | _____ |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. Projection of Operating Reserves submitted. (IIB) | _____ |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. MIP(s) submitted (IIIC) | _____ |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. 80% of Mod. funds from CIP budget (FY 77-78 and 5-yr.) is Health and Safety (from Inspection data or Health Dept. certification) (IIIB) | _____ |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. All signatures present on both CIP's and MIP(s) (III A,B,C) | _____ |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. Lease and Grievance procedures implemented. (IID-1,2) | _____ |

C. Basic Application Content
 Funds will be committed and Status Report Completed, but grant contracts will not be executed unless deficiencies are corrected. LHA has 60 days to correct these deficiencies.

YES No

1. "Project Participants in Application Process" (IIC) complete.

2. "Admin. staff-person-in-charge" on LHA/Project Information (IIA).

3. Operating Reserves correctly calculated.

4. The CIP (5 year-plan) is acceptably complete (IIIA)

a. Total budget amount agrees with total program cost.

b. Work program consistent with Inspection Data.

c. Contingency/Fees set aside

d. Photographs included.

e. All other items complete (except for these in sections B and D of this checklist)

5. The CIP (1977-78) is acceptably complete (III B)

a. Total budget amount (Item 1F) agrees with total program costs (Item 5d).

b. Work program consistent with Inspection Data.

c. Work program consistent with 5-yr. plan.

d. Fees according to fee schedule.

e. Contingencies provided for.

f. All other items complete (except for those in B and D of this checklist).

6. The MIP(s) is/are correctly and adequately completed (III C)

a. Co-Chairpersons for MIP designated

b. Evaluation group formed correctly.

c. Objectives clearly stated and achievable within 1 year.

d. Other major items correctly completed.

7. All items of project information (IIE) generally complete.

D. Other Application Items

Deficiencies in this category warrant further consideration, although the status report is completed and the application processed completely, with grant contract executed. Delays may occur in particular areas of work in the CIP if appropriate clarification and/or correction is not made.

1. Section IIA (LHA/Program Administration complete.)

2. Tenant participation certified in Implementation Status.... (IID-3).

3. Project Information (IIE) complete in all details.

4. The "tenant employment" section of the 1977-78 CIP is adequately completed. (III B)

5. The "Projected Energy Savings" on the 5 yr. CIP is correctly figured. (IIIA)

6. The "Past Performance Record" on the 1977-78 CIP has been correctly filled-in. (IIIB)

7. The "Bonus Fund Application" has been accurately completed. (documentation of fund contributions included, program descriptions included, calculations correct, MIP contribution compatible with MIP project, etc.) (IV D)

8. Other

Comments on the Entire Application: _____