

# Lewiston Housing Moving To Work Demonstration Plan and Application

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# Lewiston Housing Moving to Work Demonstration Plan and Application

## Part 1 – Moving to Work Plan and Landlord Incentive Activities

### A. Moving to Work Plan

#### 1. Vision for Lewiston Housing’s Moving to Work Program

Lewiston Housing (LHA) is skilled and creative in meeting the affordable housing needs of the Lewiston community and is a very strong real estate asset manager. It is a HUD High Performer with PHAS scores of 90+ in each of the past ten years, and its Public Housing vacancy rate has been effectively 0% for many years. But its portfolio is old: 15% of its units are in 100+ year old wood frame triple deckers purchased and rehabbed in the 1970s and the rest are 1960s and 1970s construction with no substantial rehab since. Faced with this well maintained but aged housing stock, LHA has focused its work on recapitalizing or replacing its entire portfolio using the RAD and Choice Neighborhoods programs, and on becoming the production engine for new affordable housing development in the region. LHA secured a \$30 million FY 2020 Choice Neighborhoods Implementation grant to replace 92 units of the distressed public and assisted housing under LHA’s control with 185 mixed income units and has begun to move all of its remaining public housing portfolio to a Section 8 platform through RAD. LHA expects this repositioning to be completed by 2025.

Unlike its portfolio of owned-units, Lewiston Housing has no direct control over the private market inventory of units available for lease through the HCV program, or of the economics driving that market in Lewiston. LHA has set the HCV payment standard at 110% of FMR, the maximum allowable under the conventional program, to expand its reach of desirable units and locations. While it has captured a substantial share of the units on the market within that range that meet HQS, its utilization of HCV resources has been stalled at or below 85% for several years. And because of historic development patterns in the city and current real estate valuations, a disproportionate share of the units priced within the payment standard are located in similar 100+ year old wood frame structures, in and around the 40 square blocks of the Downtown, compounding the concentration of deeply subsidized units and poverty in this neighborhood. **The first purpose for participation in the Moving to Work program is to develop incentives for landlords of quality units outside of areas of concentrated poverty, where rents are higher than the current payment standard, to participate in the HCV program so as to expand the housing options of low-income residents of Lewiston.**

Lewiston Housing’s recapitalization and replacement activities, and the expanded use of HCVs through landlord incentives will not increase the supply of permanently affordable units in the market, however, and faced with effectively no vacancies, limited turnover, and long waitlists for its existing units, LHA has begun to participate in new development with private

partners to create more hard units, such as the redevelopment of the Martel School (44 LIHTC units including 23 with PBVs) now under construction. The use of PBVs is a key opportunity because of LHA's significant excess capacity in its HCV program, so **the second purpose for participation in the Moving to Work program is to expand the supply of new, permanently affordable units through partnerships which harness Project Based Vouchers to increase the number of permanently affordable unit in areas of opportunity.**

Concurrent with its FY 2020 Choice Neighborhoods Implementation Grant award and the creation of its Choice People Plan, Lewiston Housing significantly strengthened its Family Self Sufficiency program. LHA's FSS program helps families and individuals become financially stable by providing individualized goals, services, and financial incentives. The program emphasizes employment, career development, education, training, independence from public assistance, homeownership, and credit readiness. When an FSS participant's rental share increases due to increased earned income, Lewiston Housing deposits a portion of the change in rent into a savings account held in escrow for the participant. At the successful completion of the FSS program, qualifying families will have access to those accumulated funds. **The third purpose for participating in the Moving to Work program is to expand Family Self Sufficiency supports and incentives to all Public Housing and HCV participants in LHA's portfolio who chose to participate.**

In doing these things, Lewiston Housing seeks to act more efficiently and effectively to stretch limited public dollars to meet the ever-expanding needs of a growing low-income population in Lewiston. LHA operates in a small city in an under-resourced State, without regular access to other public or private funds. The fund fungibility and regulatory flexibility afforded by Moving to Work will enable LHA to adopt business processes attuned to reducing costs, enhancing service, and adapting to the demands of a complex and changing housing market. **The fourth purpose for participating in the Moving to Work Demonstration is to significantly increase efficiency in delivery of housing assistance and family support services to low-income families.**

The LHA's new leadership team principals (Executive Director, Deputy Executive Director, Director of Property Management and Rental Assistance, and Director of Resident Success/FSS) were each recruited from highly successful private non-profit mixed income housing development entities (Avesta Housing, POAH, The Community Builders), and are well practiced in the on-budget development and operation of permanently affordable housing and family support. Securing the FY 2020 Choice award is evidence of HUD's existing confidence in the capacity of this team. Their partnerships in developing Healey Terrace (32 units) and the Martell School (44 units) with private developers is evidence that the LHA's new direction is bearing fruit.

Lewiston Housing certifies that it has and will continue to Affirmatively Further Fair Housing under 24 CFR 5.151; to carry out its Plan in conformity with title VI of the Civil Rights Act of 1964 (42 U.S.C. 20000d-2000d-4), the Fair Housing Act (42 U.S.C. 3601-19), section 504 of

the Rehabilitation Act of 1973 (29 U.S.C. 794), and title II of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 *et seq.*), and other applicable Federal civil rights laws; and that this MTW Plan is consistent with all of the requirements of the City of Lewiston Consolidated Plan and the Fair Housing provisions under 24 CFR 903.15. A Certification of Compliance is attached in Appendix 1.

## 2. Plan for Future Resident and Community Engagement

COVID has severely constrained resident engagement in civic activities, but LHA has a direct if socially distanced connection with every one of its residents. Through its ResiDesk texting app, LHA staff are in two-way contact with every single resident household every single day to check on family wellness and needs and is using the app to communicate MTW meeting information and program updates to all households. This is especially effective among the widely dispersed HCV participant families who have no central community meeting facilities. LHA has created high speed internet access within most of its communities resident meetings are ZOOM-based and widely accessible. LHA will continue to communicate through this and other socially-distanced modes until public health conditions permit a return to conventional group meetings.

## 3. Lewiston Housing Operating and Inventory Information

Lewiston Housing owns and operates 488 affordable housing units in the City of Lewiston. These include 437 Public Housing Units at five multifamily sites and five scattered site clusters. Over half (249) of the public housing units are designated for seniors or persons with disabilities:

	<b>Total</b>	<b>SRO</b>	<b>1BR</b>	<b>2BR</b>	<b>3BR</b>	<b>4 BR</b>	<b>5+BR</b>
Blake Street Towers (Sr/Dis)	97	21	76				
Meadowview Park (Sr/Dis)	152	92	60				
Hillview Apartments	94			8	54	30	2
Lafayette Park	30		8	16	6		
Rosedale Acres	30		10	20			
Scattered Sites (5-5)	25		12	13			
Scattered Sites (5-6)	9				9		
<b>Subtotal Public Housing</b>	<b>437</b>	<b>113</b>	<b>166</b>	<b>57</b>	<b>69</b>	<b>30</b>	<b>2</b>

Lewiston Housing has partnered with one private developer to supply 32 PBVs to make an LIHTC development deeply affordable to low-income seniors:

	<b>Total</b>	<b>SRO</b>	<b>1BR</b>	<b>2BR</b>	<b>3BR</b>	<b>4 BR</b>	<b>5+BR</b>
Healey Terrace (Sr)	32		26	6			
<b>Subtotal PBV/LIHTC</b>	<b>32</b>		<b>26</b>	<b>6</b>			

Finally, LHA has acquired 19 units in three scattered sites which are unsubsidized but affordable, representing Naturally Occurring Affordable Housing (NOAH) for families:

	<b>Total</b>	<b>SRO</b>	<b>1BR</b>	<b>2BR</b>	<b>3BR</b>	<b>4 BR</b>	<b>5+BR</b>
292 Bates	8		4	1	3		
30 River Street	8			8			
31 River Street	8		2	4	1	1	
74 Birch St	3				3		
<b>Subtotal NOAH</b>	<b>27</b>		<b>6</b>	<b>13</b>	<b>7</b>	<b>1</b>	

This existing portfolio, developed largely in the 1960s and 1970s, reflects the demand for smaller units, including senior and disabled units, in a state with the most aged population in the nation. Lewiston Housing anticipates that this demand will shift somewhat to larger family units in the coming years, as Lewiston has become a major resettlement location for immigrant and refugee families with children, from Africa and the Middle East, and as other Maine families with children are priced out of the Portland and coastal regional housing markets and move north to Lewiston. In a first installment on meeting this demand for new family housing, LHA’s Choice Neighborhoods Housing Plan includes 25 3-Bedroom and eight 4-Bedroom units in its total 185-unit mix. LHA intends to expand its use of Project Based Vouchers through MTW principally to incentivize the creation of family units in mixed-income developments to serve low-income families now attracted to Lewiston, and to prototype permanent housing solutions for persons with disabilities and homeless persons and families.

Current HCV utilization is only 85% (contracted), and the approximately 200 unused but authorized vouchers can be put to good use through the core MTW activities proposed in this application – multiple landlord incentives to expand private unit supply into strong locations of the region, and increased use of PBVs in mixed-income development partnerships.

### **Housing Choice Voucher Resources**

	<b>Total</b>	<b>SRO</b>	<b>1BR</b>	<b>2BR</b>	<b>3BR</b>	<b>4 BR</b>	<b>5+BR</b>
Authorized HCV	1,244						
Active Tenant Based	953	6	310	292	221	101	23
Active Project Based	68		48	17	3		
Temporary Inactive	40						
Total Contracted	1,061	6	358	309	224	101	23
% Contracted	85%						

Lewiston Housing also includes a number of specialized program vouchers in its portfolio, and manages Mod Rehab contracts for 157 authorized units in properties owned by others on behalf of the Maine State Housing Authority:

## Other Section 8 Resources

	Total	SRO	1BR	2BR	3BR	4 BR	5+BR
Authorized MainStream	139						
Total Active	54	3	32	14	5		
Total Active Ported Out	13						
Authorized Mod Rehab	157	6	119	19	13		
Total Contracted	136	4	108	16	8		
Authorized MO 62 SRO	6	6					
Total Contracted MO 62 SRO	4	4					
Tenant Vouchers Ported In	3						
Tenant Vouchers Ported Out	63						

The current LHA HCV payment standard, even at 110% of FMR, is insufficient to meet today's market in Lewiston and contributes to its 15% underutilization. The market analysis conducted for Lewiston Housing's successful FY 2020 Choice Neighborhoods application shows actual rents for 1-, 2-, and 3-bedroom standard units at market to be from 121% and 126% of the FMR, indicating that raising the payment standard through MTW is a key opportunity to increase landlord participation.

	2021 FMR	Payment Std 110% FMR	Market Rents Choice Analysis	Market Rent as Percent of FMR
1 Bedroom	\$737	\$811	\$925	126%
2 Bedroom	\$947	\$1,041	\$1,150	121%
3 Bedroom	\$1,214	\$1,335	\$1,500	124%

Source: Real Estate Strategies, Inc., Residential Market Assessment for Lewiston Choice, November 29, 2020.

As described above, LHA's innovation and capacity are demonstrated by its successful FY2020 Choice Neighborhoods award, its in-process conversion of all remaining units to Section 8 under RAD, and its multiple partnerships to increase units through mixed-income PBV investments.

#### 4. Plan for Local Moving to Work Program

Lewiston Housing is on a trajectory to convert its entire portfolio to a Section 8 platform by 2025, so all of the proposed MTW initiatives, except self-sufficiency initiatives, reflect changes needed to make the HCV program more efficient and a more effective driver of

housing choice. Self-sufficiency initiatives will be applied across the portfolio while it is converting to Section 8.

Lewiston Housing intends to implement the following initiatives through the regulatory flexibility and fund fungibility afforded by MTW participation:

**Operation Notice Activities**

Activity	Initiative	Waiver Request	Statutory Objective
1	Payment Standards – Fair Market Rents	2.b	Housing Choice
2	Vacancy Loss (between HCV tenants)	4.a	Housing Choice
3	Damage Claims	4.b	Housing Choice
4	Other Landlord Incentives – Signing Bonus	4.c	Housing Choice
5	Other Landlord Incentives – Repair Program	4.c	Housing Choice
6	Other Landlord Incentives – Security Deposit	4.c	Housing Choice
7	Pre-Qualifying Unit Inspections	5.a	Cost Effectiveness
8	Alternative Inspection Schedule	5.d	Cost Effectiveness

**Landlord Incentives Activities**

Activity	Initiative	Waiver Request	Statutory Objective
9	Waiver Of Mandatory Initial Inspection	4.1	Cost Effectiveness
10	Front-End Vacancy Loss Payment	4.2	Housing Choice

**MTW Program-Wide Activities**

Activity	Initiative	Waiver Request	Statutory Objective
11	Increase PBV Program Cap	9.a	Cost Effectiveness
12	Alternative PBV Selection Process	9.d	Cost Effectiveness
13	Alternative Family Selection Procedures	11.a	Self-Sufficiency
14	Family Income Increases Policies	11.b	Self-Sufficiency
15	Incentive for Economic Progress	13	Self-Sufficiency

Housing Choice (activities 1, 2, 3, 4, 5, 6, 10)

Lewiston Housing has begun to prototype certain Landlord Incentives to expand housing choice with limited local funding from Maine State Housing. Funding fungibility under MTW will permit LHA to expand and sustain the most successful of these with MTW funds:

1. Landlord Signing Bonus – To encourage landlords to rent to voucher holders, LHA offers a signing bonus of up to \$750 for every apartment newly leased to HCV holders, and up to \$1,000 if the HCV holder was homeless just prior to leasing.

2. Landlord Repair Grant – LHA may provide up to a \$5,000 to repair items that have failed in an initial HQS inspection. The Landlord pays the first \$250 and must enter into a year-long lease with a HCV participant.
3. Security Deposit Assistance – LHA may pay the security deposit for a first-time voucher applicant. Landlords must hold the deposit consistent with Maine State rental statutes.
4. Damage Reimbursement Grant – LHA may grant up to \$1,500 per unit and \$6,000 per landlord per year to repair damage created by prior HCV participant tenants in order to re-lease within the HCV program. The prior tenant’s damage deposit must be exhausted first.

LHA believes that sustaining these early initiatives, creating a program to fund front-end and between-tenant vacancy loss, and increasing the payment standard to 120% FMR will open up HCV opportunities in strong regional neighborhoods adjacent to quality schools, shopping, and jobs.

#### Cost Effectiveness (activities 7, 8, 9, 11,12)

Several initiatives to responsibly streamline the unit inspection processes (activities 7, 8, 9) will save staff time and expense for the LHA, expedite the availability of quality units, and reduce vacancy loss among landlords, further reducing the perceived risk of participating in the program. Making the inspection process more efficient complements LHA’s other incentives to make the HCV program attractive to new landlords with quality units.

Increasing the PBV program cap to the safe harbor 50% (activity 11) and streamlining the procurement of PBV partners (activity 12) will enable LHA to deploy its unused voucher authority more quickly and effectively and to expand the supply of permanently affordable hard units.

#### Self-Sufficiency (activities 13, 14, 15)

LHA intends to expand the opportunity to participate in FSS to all families in its housing programs. MTW fund fungibility, along with other creative funding approaches will be essential to make this work. Alternative recruitment and selection procedures (activity 13) may be necessary.

Work success should serve as an incentive and reward, not a punishment, so LHA intends to adopt policies that permit diversion of income-related rent increases to family savings accounts, similar to its current FSS program (activity 14), and to extend the period for which a household can be over-income while remaining in their public housing or PBV unit, with subsidy, as a further incentive to economic progress and eventual self-sufficiency (activity 15).



## 5. Use of Moving to Work Funds

Lewiston Housing requests the authority to use Public Housing Operating funds, Public Housing Capital funds, and Housing Choice Voucher funds flexibly and with full fungibility among the programs in order to meet the vision and objectives described above.

First, LHA's HCV budget authority of \$8,000,000 (2021) is projected to be only 85% utilized through year-end. LHA proposes to allocate up to 2%, or \$160,000, of the annual HCV budget authority to fund the landlord incentives, ramping up or down over the next several years while the incentives are refined and their effectiveness are assessed. Further, as these incentives are largely one-time rather than recurring investments (signing bonus and front-end vacancy loss for new landlords) or episodic (damage claims, repair program), the budget for these programs may taper to a lower, steady state over time.

Second, LHA proposes to allocate up to 5% or \$400,000 annually to the FSS program expansion initiatives, to support potentially all non-elderly non-disabled households in its HCV and hard unit portfolios. Since LHA's mission is to continuously serve low-income families, and new low-income families will continuously cycle in to occupancy as successful families cycle out, these initiatives are expected to be needed indefinitely. As this program grows to its full potential, LHA anticipates a further need to re-allocate public housing funds to this key initiative.

### **Public Housing Sources and Uses**

#### **REVENUE**

Total Dwelling Rental	\$1,827,246
Total HUD Operating Grants	\$1,702,773
Total Fee Revenue (Administrative and Management Fees)	\$90,949
Interest	\$0
Other Revenue	\$40,030
<b>Total Operating Revenues</b>	<b>\$3,660,998</b>

#### **OPERATING EXPENSES**

Fee Expense	
Total Administration	\$1,115,638
Total Tenant Services	\$243,769
Total Utilities	\$745,660
Total Maintenance Costs	\$1,070,932
Total Insurance	\$192,645
Total Other Expense	\$135,881
<b>Total Operating Expenses</b>	<b>\$3,510,456</b>

**OPERATING INCOME (LOSS) \$150,542**

## Housing Choice Voucher (Section 8) Sources and Uses

### **REVENUE**

Total Dwelling Rental	\$0
Total HUD Operating Grants	\$29,437
Total Fee Revenue (Administrative and Management Fees)	\$1,146,645
Interest	\$300
Other Revenue	\$39,086
<b>Total Operating Revenues</b>	<b>\$1,215,467</b>

### **OPERATING EXPENSES**

Fee Expense	
Total Administration	\$971,214
Total Tenant Services	\$51,696
Total Utilities	\$0
Total Maintenance Costs	\$3,403
Total Insurance	\$28,494
Total Other Expense	\$33,850
<b>Total Operating Expenses</b>	<b>\$1,088,657</b>

	\$0
<b>OPERATING INCOME (LOSS)</b>	<b>\$126,810</b>

### **HAP**

S8 Funding	\$9,897,584
HAP Expense	\$9,354,971
FSS Expense	\$25,000
Total Housing Assistance Payments	\$517,613

## 6. Evidence of Significant Partnerships

Lewiston Housing's most significant partnerships to-date are those that were generated through its successful FY2020 Choice Neighborhood Implementation Grant award. LHA is the Applicant/Awardee, the People Implementation Entity, and Housing co-developer with Avesta Housing. The City of Lewiston is Co-Applicant and serves as the Neighborhood Implementation Entity. In the lead-up to the FY 2020 Implementation Grant, the City, LHA and its community partners developed a Choice Transformation Plan through a process that included over 525 community residents, speaking eight languages, in stakeholder interviews, meetings, workshops, and public hearings. The Choice implementation plan includes formal partnership among Lewiston Housing and:

- Community Concepts, Inc, the regional non-profit CAP Agency, for case management and service coordination among LHA replacement housing families.
- Promise Early Education, the county Head Start Agency, to expand to five additional Head Start and Early Head Start classrooms at LHA's 1 College Street site.
- Community Clinical Services, a FQHC "look alike" affiliated with St. Mary's Health System providing comprehensive affordable health and wellness services to low-income families, to expand its B-Street Clinic at LHA's 57 Birch Street site.
- Tree Street Youth and The Root Cellar, two neighborhood-based non-profits focused on constructive out-of-school time, mentoring, leadership development, and academic support for neighborhood youth.
- Strengthen LA, a comprehensive workforce development strategy led by the Lewiston Auburn Chamber of Commerce.

To date, these Choice partnerships to support low-income families have created over \$3 million in leverage.

Lewiston Housing is proud to partner with Maine's Department of Health and Human Services and HUD on the Foster Youth to Independence program. This program is designed for youth 18-24 who have aged out of foster care and are experiencing homelessness or at risk of homelessness.

LHA partners with the Main State Housing Authority in all facets of affordable housing production and preservation. In addition to capital support for LHA's RAD, Choice, and PBV development activities through its LIHTC programs, Main Housing provides the limited funding for the local landlord incentive programs described in Part 4, above, and Section B, Part 2 below.

Finally, LHA is a member of the Maine Centralized Waiting List, a consortium of statewide housing authorities that maintains a single application and wait list service for low-income families seeking housing across the state.

## **B. Landlord Incentives Activities**

### 1. Landlord Needs Assessment

The Real Estate Market Assessment (MA) conducted in 2020 for Lewiston’s Choice Neighborhoods proposal noted American Communities Survey data show an overall rental vacancy rate in the County of 2.2%, less than half of the 5% rate typically associated with normal turnover and providing choices for renters seeking housing in the market. The MA estimated that the vacancy rate within Lewiston city is even lower, as in-migrating families are generally low-income and market rents do not support the production of additional units, either through new construction or renovation of obsolete or otherwise off-line units. Further, the MA reported that

“ . . . most affordable and mixed-income properties had no vacancies at all and reported 100% occupancy. Properties anticipating a vacancy reported during interviews that a unit would be available within two months. In at least two instances, a listed unit had been leased as soon as the listing was posted. Many properties also reported that their waiting lists were closed. Similar conditions were reported for senior housing, as well as units for families/general occupancy.” (Choice Transformation Plan Appendix IV, p124).

A significant share of current HCV program participation is from landlords of properties and the 40 square block area known as “Downtown”. This is the oldest section of the city, built of 3, 4, 5 and even 6 story wood frame walkups constructed as mill worker housing in the 1890s. Properties in the program are well maintained but aged, much like the LHA portfolio itself. Other properties are often distressed and the economics of rental housing in Lewiston offer little incentive for improvement. The MA observes:

“ . . . the older rental units are in three- and four-story structures having 5 to 19 units on small lots. Most of the rental units, even those with 3 and 4 bedrooms, have only one bath and virtually all are frame structures with very limited outdoor space. Many lack off-street parking. While some structures have been maintained and a few others have been substantially rehabilitated, the condition of the majority is best described as obsolete. Nevertheless, very few of these apartments were being offered for-rent during the first quarter 2019. Monthly rents generally ranged from \$600 to \$750 for units with one bedroom and one bath; \$700 to \$850 for two bedroom units with one bath, and \$900 to \$1,100 for three bedroom units with one bath. Monthly rents usually include heat and hot water. In addition to the size and condition of the units, monthly rents varied based on location. Units located downtown and those convenient to the hospitals and Bates College typically command higher rents. While Trulia has noted that median prices of rentals have accelerated from 2018 to 2019, the increases largely are for single-family homes offered for rent rather than rental apartments in older structures.” (Choice Transformation Plan Appendix IV, p131).”

Many quality regional landlords participate successfully in LHA's HCV program, and through interactions with them and their professional association, LHA understands that the entire supply of quality units at 110% FMR, the current Payment Standard, is nearly always occupied, and that realistic paths to increasing landlord participation in the HCV program will require 1) an increase in the Payment Standard and 2) development of programs to minimize landlord risk for vacancy loss and damages on turnover. As noted in Part 3, above, the Market Assessment estimated market rents for standard units is at or just above 120% of the FMR.

## 2. MTW Cohort #4 Activities

Lewiston Housing proposes to implement the following Cohort #4 Activities focused on accessing a larger pool of quality units in the market and on minimizing landlord risks in participating in the HCV program:

1. Waiver 2.b – Payment Standards / Fair Market Rents – LHA proposes to raise the Payment Standard for HCV units to 120% of FMR to meet the objective scarcity of standard units available to HCV participants, confirmed by recent Market Assessment and landlord dialogue. The Market Assessment and landlords both indicate that a significant number of units will become available at this price band.
2. Waiver 4.a – Vacancy Loss (between HCV tenant occupancy) – LHA proposes to pay a pro-rata share of any vacancy loss, up to one month of contract rent, between occupancy by HCV tenants to encourage retention of the unit and landlord within the HCV program.
3. Waiver 4.b – Damage Claims – LHA proposes to use MTW funds to continue its locally funded program to reimburse landlords up to \$1,500 for physical damages to a unit occupied by an HCV holder subject to the following:
  - a. The damages are above and beyond normal wear and tear as defined by Maine State Law §6031
  - b. The cost to fix the damages is greater than the security deposit collected
  - c. Landlords must submit:
    - i. Date stamped pictures of the specific damages they are requesting reimbursement for
    - ii. Copies of receipts from cost of repair(s) of damages
    - iii. A completed Damage Repair Reimbursement Landlord's Request for Payment form
  - d. LHA's reimbursements to a landlord will not exceed \$6,000 per calendar year (if submitting more than one damage reimbursement request)

4. Waiver 4.c – Other Landlord Incentives / Landlord Signing Bonus – LHA proposes to use MTW funds to continue its locally funded program to pay landlords a \$750 Signing Bonus for every unit newly leased to a LHA HCV participant subject to the following:
  - a. Rental rates are affordable within HCV program guidelines
  - b. The rental unit passes a Housing Quality Standards Inspection
  - c. Landlords enter into a one-year lease with a new tenant and sign a contract with the PHA after June 1, 2021 and before funding is exhausted
  - d. Landlords must not have any open housing discrimination claims
  - e. Landlords receive \$750 at or around the time of the first monthly payment
  
5. Waiver 4.c – Other Landlord Incentives / Repair Grant – LHA proposes to use MTW funds to continue its locally funded program to fund repairs for items that fail an initial HQS inspection subject to the following:
  - a. Only failed **initial** inspection items qualify
  - b. Qualifying failed items include but are not limited to the following:
    - i. Bedroom windows that do not meet egress
    - ii. Deteriorated paint
    - iii. Installation of hard-wired smoke detectors
    - iv. Installation of sprinkler system
    - v. Roofing
    - vi. Tie downs
  - c. The landlord pays the first \$250 toward the repair
  - d. LHA’s reimbursement to landlord may not exceed \$5,000 a year
  - e. The unit must pass HQS inspection before payment to the landlord
  - f. A one-year lease and Housing Assistance Payment Contract must be executed before payment to the landlord
  - g. Landlord Repair Grant Agreement must be signed by LHA and landlord
  
6. Waiver 4.c – Other Landlord Incentives / Security Deposit Assistance – LHA proposes to use MTW funds to continue its locally funded program to pay the security deposit for first time Housing Choice Voucher applicants who are searching for a new unit within the LHA’s jurisdiction subject to the following:
  - a. The tenant requests assistance in writing or verbally with an explanation of the need.
  - b. The LHA pays the amount listed on the Request for Tenancy Approval (RFTA)
  - c. A “Request and Acknowledgement of Security Deposit” form, the HAP contract, and VAWA addendum are complete
  - d. The landlord certifies that upon receipt from LHA, the security deposit funds will be held in accordance with Maine State Statute, Title 14, Chapter 710-A, Sections 6031-6039

- e. The Security Deposit funds are paid directly to the landlord with the first month's rent paid by LHA
- f. Families are not required to repay the funds to PHA

Lewiston Housing proposes to implement these additional Cohort #4 Activities in order to accelerate the availability of units on initial occupancy and turnover and to streamline the administrative processes for qualifying units.

- 7. Waiver 5.a – Prequalifying Unit Inspections – LHA proposes to establish protocols for pre-qualifying / pre-inspecting units in order to accelerate lease up and tenant turnover, provided that pre-inspection occurs no more than 90 days before occupancy.
- 8. Waiver 5.d – Alternative Inspection Schedule – LHA proposes to establish a local inspection schedule for occupied units only, reducing inspections to once every two or three years.
- 9. Waiver 4.1 – Waiver of Mandatory Initial Inspection – LHA proposes to waive mandatory initial inspection for units that were constructed or substantially rehabbed in the prior five years.
- 10. Waiver 4.2 – Front-End Vacancy Loss Payment – In combination with Waiver 4.a (Vacancy Loss Payment between occupancy by HCV tenants) proposes to establish standards and procedures for providing relief to landlords to mitigate vacancy loss risk associated with the administrative requirements of HCV program lease-up and turnover.

### 3. Other Landlord Incentives and Initiatives

The Choice Market Assessment estimates the vacancy rate for the current supply of permanently affordable hard units in Lewiston is near zero. To expand the supply of these units, LHA intends to increase its investment of PBV resources into new mixed-income developments sponsored by itself and by others. LHA has significant recent experience in this work, including the Martell School with 44 total units and 23 PBVs. To do this, LHA seeks two waivers to the PBV program:

- 11. Waiver 9.a – Increase PBV Program Cap – LHA will seek to increase the amount of HCVs available to create hard units, up to 50% of its voucher authority.
- 12. Waiver 9.d – Alternative PBV Selection Process – LHA will seek to establish an alternative selection and procurement process to make the complex PBV/LIHTC

development process more efficient and more accessible to quality development partners.

While providing quality, permanently affordable housing is LHA's core mission, LHA recognizes that housing is a means to a greater goal of family stability and self-sufficiency. LHA aspires to provide FSS-like supports to ALL of its housing program participants, and to provide these supports continuously as new families enter into LHA sponsored homes. LHA seeks the following waivers in order to craft a sustainable program that leads to family success:

13. Waiver 11.a – FSS/Alternative Family Selection Procedures – to encompass the entire portfolio of LHA sponsored units (Public Housing, HCV, PBV, LIHTC, etc.).
14. Waiver 11.b – FSS/Family Income Increases Policies – to establish tangible incentives for successes, including family savings accounts rather than rent increases.
15. Waiver 13 – Incentives for Economic Progress – to provide a reasonable period to transition to private housing, including homeownership, as families make economic progress.



# Lewiston Housing Moving To Work Demonstration Plan and Application

## Part II – Appendices

## Appendix 1 – Certifications

**ATTACHMENT I**  
**Moving to Work Certifications of Compliance**

**CERTIFICATIONS OF COMPLIANCE**

***U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT***  
***OFFICE OF PUBLIC AND INDIAN HOUSING***

**Certifications of Compliance with HUD and Federal Requirements and Regulations:  
Board Resolution to Accompany Application to the Moving to Work Demonstration Program**

Acting on behalf of the Board of Commissioners of the applicant public housing agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the application to the Moving to Work (MTW) Demonstration Program for the PHA and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the application and implementation thereof:

- (1) The PHA will adhere to the MTW Operations Notice or successor notice and all requirements therein.
- (2) The PHA will adhere to HUD guidance in the MTW Operations Notice or successor notice in continuing to ensure at least 75% of families assisted are very low-income as defined in Section 3(b)(2) of the 1937 Act throughout the PHA's participation in the MTW Demonstration Program.
- (3) The PHA will adhere to HUD guidance in the MTW Operations Notice or successor notice in establishing a reasonable rent policy that is designed to encourage employment and self-sufficiency.
- (4) The PHA will adhere to HUD guidance in the MTW Operations Notice or successor notice in continuing to assist substantially the same total number of eligible low-income families as would have been served absent MTW throughout the PHA's participation in the MTW Demonstration Program.
- (5) The PHA will adhere to HUD guidance in the MTW Operations Notice or successor notice in continuing to maintain a comparable mix of families (by family size) as would have been provided had the funds not been used under the MTW Demonstration Program throughout the PHA's participation in the MTW Demonstration Program.
- (6) The PHA will adhere to HUD guidance in the MTW Operations Notice or successor notice in continuing to ensure housing assisted under the MTW Demonstration Program meets housing quality standards established or approved by the Secretary throughout the PHA's participation in the MTW Demonstration Program.
- (7) The PHA published a notice that a hearing would be held, that the application and all information relevant to the public hearing was available for public inspection for at least 30 days, that there were no less than 15 days between the public hearing and the approval of the application by the Board of Commissioners, and that the PHA conducted a public hearing to discuss the application and invited public comment.

- (8) The PHA took into consideration public and resident comments (including those of its Resident Advisory Board or Boards) before approval of the application by the Board of Commissioners or Board of Directors in order to incorporate any public comments into the application.
- (9) The PHA certifies that the Board of Commissioners has reviewed and approved the budget for the Capital Fund Program grants contained in the Capital Fund Program Annual Statement/Performance and Evaluation Report, form HUD-50075.1 (or successor form as required by HUD).
- (10) The PHA certifies that it will carry out its application in conformity with: Title VI of the Civil Rights Act of 1964 (42 USC 2000d-2000d-4); the Fair Housing Act (42 USC 3601-19); Section 504 of the Rehabilitation Act of 1973 (29 USC 794); Title II of the Americans with Disabilities Act of 1990 (42 USC 12101 et seq.); all regulations implementing these authorities; other applicable Federal, State, and local civil rights laws; and that it will affirmatively further fair housing by fulfilling the requirements set out in HUD regulations found at Title 24 of the Code of Federal Regulations, including regulations in place at the time of this certification, and any subsequently promulgated regulations governing the obligation to affirmatively further fair housing. The MTW PHA is always responsible for understanding and implementing the requirements of HUD regulations and policies and has a continuing obligation to affirmatively further fair housing in compliance with the 1968 Fair Housing Act, the Housing and Community Development Act of 1974, The Cranston-Gonzalez National Affordable Housing Act, and the Quality Housing and Work Responsibility Act of 1998. (42 U.S.C. 3608, 5304(b)(2), 5306(d)(7)(B), 12705(b)(15), and 1437C-1(d)(16)).
- (11) The PHA will carry out its plan in conformity with HUD's Equal Access Rule at 24 CFR 5.105(a)(2) and will not make a determination of eligibility for housing based on sexual orientation, gender identity, or marital status.
- (12) The application is consistent with the applicable Comprehensive Plan (or any plan incorporating such provisions of the Comprehensive Plan) for the jurisdiction in which the PHA is located.
- (13) The application certifies that according to the appropriate State or local officials that the application is consistent with the applicable Consolidated Plan.
- (14) The PHA complies with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975 and HUD's implementing regulations at 24 C.F.R. Part 146.
- (15) The PHA complies with the Violence Against Women Act and its implementing regulations at 24 C.F.R. Part 5, Subpart L and Parts 960 and 966.
- (16) The PHA complies with the Architectural Barriers Act of 1968 and its implementing regulations at 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
- (17) The PHA complies with the requirements of Section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 75.
- (18) The PHA complies with requirements with regard to a drug free workplace required by 24 CFR Part 24, Subpart F.
- (19) The PHA complies with requirements with regard to compliance with restrictions on lobbying required by 24 CFR Part 87, together with disclosure forms if required by this Part, and with restrictions on payments to influence Federal Transactions, in accordance with the Byrd Amendment and implementing regulations at 49 CFR Part 24.

- (20) The PHA complies with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.
- (21) The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
- (22) The PHA will provide HUD or the responsible entity any documentation needed to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58. Regardless of who acts as the responsible entity, the PHA will maintain documentation that verifies compliance with environmental requirements pursuant to 24 Part 58 and 24 CFR Part 50 and will make this documentation available to HUD upon its request.
- (23) With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under Section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
- (24) The PHA will keep records in accordance with 2 CFR 200.333-200.337 and facilitate an effective audit to determine compliance with program requirements.
- (25) The PHA will comply with the Lead-Based Paint Poisoning Prevention Act and 24 CFR Part 35.
- (26) The PHA will comply with the requirements of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Rewards at 2 CFR Part 200.
- (27) The application and all attachments are available at the primary business office of the PHA and at all other times and locations identified by the PHA in its Plan and will continue to be made available at least at the primary business office of the PHA.

Lewiston Housing Authority

ME005

**PHA NAME**

**PHA NUMBER/HA CODE**

*I certify that the information provided on this form and in any accompanying documentation is true and accurate. I acknowledge that making, presenting, or submitting a false, fictitious, or fraudulent statement, representation, or certification may result in criminal, civil, and/or administrative sanctions, including fines, penalties, and imprisonment.*

Chris Kilmurry

Executive Director

**NAME OF AUTHORIZED OFFICIAL\***

**TITLE**

**SIGNATURE**

**DATE**

**\* Must be signed by either the Chairman or Secretary of the Board of the PHA's legislative body. This certification cannot be signed by an employee unless authorized by the PHA Board to do so. If this document is not signed by the Chairman or Secretary, documentation such as the by-laws or authorizing board resolution must accompany this certification.**

**ATTACHMENT II**  
**Commitment to Participate in the HUD-Sponsored Evaluation of the**  
**Fourth Cohort of the MTW Expansion**

**COMMITMENT TO PARTICIPATE**

**U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**  
**OFFICE OF PUBLIC AND INDIAN HOUSING**

**Commitment to Participate in the HUD-Sponsored Evaluation of the Fourth Cohort of the MTW Expansion**

In addition to the elements described in PIH Notice 2021-03, HUD will provide additional scope and information about the HUD-sponsored evaluation of the fourth cohort of the MTW Expansion and any additional requirements that the PHA must adhere to.

Acting on behalf of the Board of Commissioners of the applicant public housing agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I agree to ensure participation of the PHA in the HUD-sponsored evaluation of the first cohort of the MTW Expansion as described in PIH Notice 2021-03 understanding the following considerations:

- (1) The PHA must participate in the HUD-sponsored evaluation of the fourth cohort of the MTW Expansion whether or not it receives an MTW designation through the lottery process described in PIH Notice 2021-03.
- (2) The PHA must follow PIH Notice 2011-65 or its successor notice whether or not it receives an MTW designation through the lottery process described in PIH Notice 2021-03. Adherence to PIH Notice 2011-65 regarding "Timely Reporting Requirements of the Family Report (form HUD-50058 and form HUD- 50058 MTW) into the Public and Indian Housing Information Center" is important to HUD's ability to evaluate the fourth cohort of the MTW Expansion.
- (3) In event the PHA is not selected to be in the treatment group, the PHA may apply to future cohorts of the MTW Expansion to which the PHA is eligible. Despite a potential designation under a future cohort, the PHA may continue to have obligations under the HUD-sponsored evaluation of the fourth cohort of the MTW Expansion as well. Despite a potential designation under a future cohort, the PHA may not implement MTW activities in the Cohort #4 MTW Activities List in PIH Notice 2021-03 for the duration of the HUD-sponsored evaluation of the fourth cohort of the MTW Expansion.
- (4) The PHA will cooperate fully with HUD and its contractors for the duration of the HUD-sponsored evaluation of the fourth cohort of the MTW Expansion. Failure to comply with the HUD-sponsored evaluation of the fourth cohort of the MTW Expansion may affect the PHA's ability to apply to future cohorts of the MTW Expansion.

Lewiston Housing Authority

ME005

**PHA NAME**

**PHA NUMBER/HA CODE**

*I certify that the information provided on this form and in any accompanying documentation is true and accurate. I acknowledge that making, presenting, or submitting a false, fictitious, or fraudulent statement, representation, or certification may result in criminal, civil, and/or administrative sanctions, including fines, penalties, and imprisonment.*

Chris Kilmurry

Executive Director

**NAME OF AUTHORIZED OFFICIAL\***

**TITLE**

**SIGNATURE**

**DATE**

*\* Must be signed by either the Chairman or Secretary of the Board of the PHA's legislative body. This certification cannot be signed by an employee unless authorized by the PHA Board to do so. If this document is not signed by the Chairman or Secretary, documentation such as the by-laws or authorizing board resolution must accompany this certification.*

## Appendix 2 – Public Process Documentation



**First Public Meeting Presentation – August 9, 2021**

# Lewiston Housing Moving to Work Demonstration

First Community Discussion (Virtual)

August 9, 2021

# Moving to Work (MTW) Demonstration

MTW is a HUD demonstration program that seeks to:

- Give tangible incentives to families with children who are employed, seeking employment, or training for employment.
- Increase housing choices for low-income families.
- Reduce costs and create efficiencies in Public Housing and Housing Choice Voucher programs.

Public Housing Authorities must apply to HUD to become a Moving to Work site.

# Moving to Work (MTW) Demonstration

MTW provides Public Housing Authorities with the flexibility to change certain HUD rules to better meet local conditions and to better support families to become economically self sufficient. Some examples are:

- Simplifying income recertifications, HQS inspections, and other administrative activities.
- Reforming rent calculations so as to not penalize increases in family income due to work.
- Establishing HCV payment standards that reflect the realities of the local market.

# Moving to Work (MTW) Demonstration

MTW also allows Public Housing Authorities to combine and reprogram its Federal funding (Operating, Capital, and Housing Choice Voucher) to better meet the housing and service needs of low-income families.

Some examples are:

- Funding innovative family support services, including enhanced Family Self Sufficiency programs, childcare, and scholarships.
- Supporting the development and operation of additional affordable housing units.
- Creating a local rent subsidy program to support special needs populations.

# Potential Improvements to the HCV Program

Lewiston Housing is looking to create more housing choices for HCV participants, in better quality homes, and in stronger locations convenient to work, shopping and schools. To attract more landlords into the HCV program, Lewiston Housing will use MTW to consider :

- Expanding the rent payment standards.
- Pre-qualifying unit inspections.
- Funding damage claims.
- Funding vacancies between HCV tenant occupancies.
- Expanding Family Self Sufficiency Program to all HCV participants.

# Schedule for MTW Application

- First Resident discussion – Today, August 9, 2021
  - To introduce MTW
- Landlord Discussion – TBD
  - To solicit Landlord ideas
- Second Resident Discussion - August 20, 2021
  - To review Lewiston Housing’s key ideas for improving the HCV Program
- Public Hearing Notice – August 23, 2021
  - Begin 30-Day Public Review of the MTW Plan draft
- Public Hearing on the MTW Plan – September 23, 2021
- LHA Board Review and Approval – October 8, 2021
- Submission to HUD – October 15, 2021

# Moving to Work (MTW) Demonstration

## Questions



## Second Public Meeting Presentation – August 20, 2021

# Lewiston Housing Moving to Work Demonstration

Second Community Discussion (Virtual)

August 20, 2021

# Review - Moving to Work (MTW) Demonstration

MTW is a HUD demonstration program that seeks to:

- Give tangible incentives to families with children who are employed, seeking employment, or training for employment.
- Increase housing choices for low-income families.
- Reduce costs and create efficiencies in Public Housing and Housing Choice Voucher programs.

Public Housing Authorities must apply to HUD to become a Moving to Work site

# Incentives to Families – Expand Family Self Sufficiency

- **Expand FSS Program participation opportunities to ALL Public Housing and HCV families (MTW Waiver 11.a).** The Family Self-Sufficiency (FSS) Program helps families and individuals become financially stable by providing individualized goals, services, and financial incentives. The program emphasizes employment, career development, education, training, independence from public assistance, homeownership, and credit readiness.
- **Create savings accounts instead of rent hikes when income increases because of employment (MTW Waiver 11.b).** When an FSS participant’s rental share increases due to increased earned income, Lewiston Housing deposits a portion of the change in rent into a savings account held in escrow for the participant. At the successful completion of the FSS program, qualifying families will have access to those accumulated funds.

# Incentives to Families – Incentives to Economic Progress

- Extend the period in which over-income households may remain in public housing and HCV units, with their subsidy, as an incentive for economic progress and self sufficiency. (MTW Waiver 13)
- Increase the over-income limit to 120% AMI. (MTW Waiver 13)

# Increase Housing Choices – Incentives to Attract Higher Quality HCV Units

- Increase HCV Payment Standard to 120% of FMR (MTW Waiver 2.b)
- Vacancy Loss Payment (1 month) between HCV Tenants (MTW Waiver 4.a)
- Front-End Vacancy Loss Payment (1 month) (MTW Waiver 4.1)
- Damage Claims Guarantee or Payments (MTW Waiver 4.c)
- Signing Bonus for first time landlords (MTW Waiver 4.c)
- Repair grants to meet modest HQS needs (MTW Waiver 4.c)
- Security Deposit Program (refundable) (MTW Waiver 4.c)

**All incentives are targeted to high quality units in strong locations.**

# Reduce Costs and Create Efficiencies

- Pre-Qualify HCV unit inspections to accelerate lease-up (MTW Waiver 5.a)
- Alternative Inspection Schedule (MTW Waiver 5.d)
- Waiver of Mandatory Initial Inspection for new units (MTW Waiver 4.1)
- Increase PBV program cap to 50% of Authorized Units (MTW Waiver 9.a)
- Alternative PBV Selection Process (MTW Waiver 9.d)

# Review - Schedule for MTW Application

- First Resident discussion – COMPLETED August 9, 2021
  - To introduce MTW
- Landlord Discussion – TBD
  - To solicit Landlord ideas
- Second Resident Discussion - TODAY August 20, 2021
  - To review Lewiston Housing’s key ideas for improving the HCV Program
- Public Hearing Notice – August 23, 2021
  - Begin 30-Day Public Review of the MTW Plan Draft
- Public Hearing on the MTW Plan – September 23, 2021
- LHA Board Review and Approval – October 8, 2021
- Submission to HUD – October 15, 2021



# Moving to Work (MTW) Demonstration

Questions?

Contact Lewiston Housing to review a copy of the DRAFT MTW Plan

## Public Hearing Notice

## Public Hearing Minutes

## Appendix 3 – Standard Forms

## Appendix 3 – Standard Forms

# Certification of Consistency with the Consolidated Plan

U.S. Department of Housing  
and Urban Development

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

Applicant Name: \_\_\_\_\_

Project Name: \_\_\_\_\_

Location of the Project: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Name of the Federal  
Program to which the  
applicant is applying: \_\_\_\_\_

Name of  
Certifying Jurisdiction: \_\_\_\_\_

Certifying Official  
of the Jurisdiction  
Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

# Certification of Payments to Influence Federal Transactions

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

Applicant Name

---

Program/Activity Receiving Federal Grant Funding

---

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

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

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

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

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

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

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

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Name of Authorized Official

Title

Signature

Date (mm/dd/yyyy)

**SF-LLL Not Applicable (no lobbying activities)**



## **Appendix 4 – Other Supporting Documentation**

**Not Applicable**