

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

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# PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004  
Annual Plan for Fiscal Year 2003

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

## **PHA Plan Agency Identification**

**PHA Name: Housing Authority of Frankfort, Kentucky**

**PHA Number: KY 003**

**PHA Fiscal Year Beginning: 01-2003**

### **Public Access to Information**

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

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

### **Display Locations For PHA Plans and Supporting Documents**

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

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

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

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

**5-YEAR PLAN**  
**PHA FISCAL YEARS 2000 - 2004**  
[24 CFR Part 903.5]

**A. Mission**

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

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

- X** The PHA's mission is: **to provide drug free, decent, safe and sanitary housing for eligible families and to create opportunities for residents to promote self sufficiency and economic independence and assure fiscal integrity.**

**B. Goals**

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAS ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the spaces to the right of or below the stated objectives.

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

- X** PHAGoal: Expand the supply of assisted housing  
Objectives:  
Apply for additional rental vouchers:  
**X** Reduce public housing vacancies: **FHA will reduce vacancies by 10% over the 2001 level within the next 4 years**  
Leverage private or other public funds to create additional housing opportunities:  
Acquire or build units or developments  
Other (list below)
- X** PHA Goal: Improve the quality of assisted housing  
Objectives:  
**X** Improve public housing management: (PHAS score) **FHA will improve its 2001 PHAS score by 6 points over the next 4 years.**  
Improve voucher management: (SEMAP score)  
**X** Increase customer satisfaction: **FHA will increase it's 2001 RASS score by 6 percentage points overall in the next 4 years**

Concentrate on efforts to improve specific management functions:  
(list; e.g., public housing finance; voucher unit inspections)

- X Renovate or modernize public housing units: **FHA will spend at least 50% of its Capital Funds on direct modernization of units**
  - X Demolish or dispose of obsolete public housing: **FHA will apply for demolition funding for KY 3-3 as soon as availability is announced.**  
Provide replacement public housing:
  - X Provide replacement vouchers: **FHA will apply for replacement vouchers if demolition is approved**  
Other: (list below)
- X PHA Goal: Increase assisted housing choices  
Objectives:
- Provide voucher mobility counseling:
  - X Conduct outreach efforts to potential voucher landlords: **FHA will add 5 new Section 8 landlords each fiscal year**  
Increase voucher payment standards
  - X Implement voucher homeownership program:  
Implement public housing or other homeownership programs:  
Implement public housing site-based waiting lists:  
Convert public housing to vouchers:  
Other: (list below)

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

- X PHA Goal: Provide an improved living environment  
Objectives:  
Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:  
Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
- X Implement public housing security improvements: **Subject to funding restrictions, FHA will continue to provide additional police patrols in its communities**  
Designate developments or buildings for particular resident group (elderly, persons with disabilities)  
Other: (list below)

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

PHA Goal: Promote self-sufficiency and asset development of assisted households

Objectives:

Increase the number and percentage of employed persons in assisted families:

Provide or attract supportive services to improve assistance recipients' employability:

Provide or attract supportive services to increase independence for the elderly or families with disabilities.

Other: (list below)

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

**X** PHA Goal: Ensure equal opportunity and affirmatively further fair housing

Objectives:

**X** Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability: **FHA will market to traditionally underserved populations through flyers and public access television**

**X** Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability: **FHA will continue to improve management and maintenance services to all those in its assisted housing programs, regardless of race, color, religion, national origin, sex, familial status, sexual preference, and disability**

Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:

Other: (list below)

**Other PHA Goals and Objectives: (list below)**

**Annual PHA Plan**  
**PHA Fiscal Year 2003**  
[24 CFR Part 903.7]

**i. Annual Plan Type:**

Select which type of Annual Plan the PHA will submit.

**Standard Plan**

**Streamlined Plan:**

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

**Troubled Agency Plan**

**ii. Executive Summary of the Annual PHA Plan**

[24 CFR Part 903.7 9 (r)]

**The Annual Plan, which is attached, was developed by the Housing Authority of Frankfort in accordance with the Rules and Regulations promulgated by HUD.**

**The goals and objectives of the HA are contained in the Five-Year Plan and the ACOP/Section 8 Administrative Plan. These were written to comply with HUD guidelines, rules, regulations and Federal Law. The basic goals and objectives are outlined in our Mission Statement which reads: *Our goal is to provide drug free, decent safe and sanitary housing for eligible families and to create opportunities for residents and promote self-sufficiency and economic independence and assure fiscal integrity.***

**In order to achieve this mission, we will: Recognize our residents as our ultimate customers; improve HA management and service delivery efforts through effective and efficient management of trained staff; seek problem-solving relationships with and between residents, community, government leadership and law enforcement agencies; apply HA resources to the effective and efficient management and operation of public and assisted housing programs, taking into account changes in Federal funding.**

### **iii. Annual Plan Table of Contents**

[24 CFR Part 903.7 9 (r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

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#### **Attachments**

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

Required Attachments:

<b>X A</b> Admissions Policy for Deconcentration	<b>48</b>
<b>X B</b> FY 2003 Capital Fund Program Annual Statement	<b>49</b>

Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

Optional Attachments:

- PHA Management Organizational Chart
- X B** FY 2003 Capital Fund Program 5 Year Action Plan
- Public Housing Drug Elimination Program (PHDEP) Plan
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- Other (List below, providing each attachment name)

**Supporting Documents Available for Review**

Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
<b>X</b>	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
<b>X</b>	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
<b>X</b>	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5 Year and Annual Plans
<b>X</b>	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI))) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
<b>X</b>	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
<b>X</b>	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
<b>X</b>	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
<b>X</b>	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public housing rent determination policies, including the methodology for setting public housing flat rents	Annual Plan: Rent Determination



**List of Supporting Documents Available for Review**

<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
<b>X</b>	<b>X</b> check here if included in the public housing A & O Policy	
<b>X</b>	Schedule of flat rents offered at each public housing development <b>X</b> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
<b>X</b>	Section 8 rent determination (payment standard) policies <b>X</b> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
<b>X</b>	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
<b>X</b>	Public housing grievance procedures <b>X</b> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
<b>X</b>	Section 8 informal review and hearing procedures <b>X</b> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
<b>X</b>	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
<b>X</b>	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
<b>X</b>	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
<b>X</b>	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention

**List of Supporting Documents Available for Review**

<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
<b>X</b>	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA’s response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

**1. Statement of Housing Needs**

[24 CFR Part 903.7 9 (a)]

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

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

<b>Housing Needs of Families in the Jurisdiction by Family Type</b>							
<b>Family Type</b>	<b>Overall</b>	<b>Afford-ability</b>	<b>Supply</b>	<b>Quality</b>	<b>Access-ibility</b>	<b>Size</b>	<b>Loca-tion</b>
Income <= 30% of AMI	<b>958</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>
Income >30% but <=50% of AMI	<b>831</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>
Income >50% but <80% of AMI	<b>1130</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>
Elderly	<b>761</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>
Families with Disabilities	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>
Caucasian	<b>3693</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>
African American	<b>688</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>
Hispanic	<b>42</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>
Asian	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>

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

Consolidated Plan of the Jurisdiction/s

Indicate year:

**X** U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset

American Housing Survey data

Indicate year:

Other housing market study

Indicate year:

Other sources: (list and indicate year of information)

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

State the housing needs of the families on the PHA's waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

<b>Housing Needs of Families on the Waiting List</b>			
Waiting list type: (select one)			
Section 8 tenant-based assistance			
<b>X Public Housing</b>			
Combined Section 8 and Public Housing			
Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	<b>33</b>		<b>27%</b>
Extremely low income <=30% AMI	<b>28</b>	<b>85%</b>	
Very low income (>30% but <=50% AMI)	<b>5</b>	<b>15%</b>	
Low income (>50% but <80% AMI)	<b>-0-</b>	<b>0%</b>	
Families with children	<b>27</b>	<b>82%</b>	
Elderly families	<b>-0-</b>	<b>0%</b>	
Families with Disabilities	<b>-0-</b>	<b>0%</b>	
Caucasian	<b>26</b>	<b>79%</b>	
African/American	<b>7</b>	<b>21%</b>	
Other	<b>-0-</b>	<b>0%</b>	
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing			

### Housing Needs of Families on the Waiting List

Only)			
1BR	<b>3</b>	<b>9%</b>	
2 BR	<b>20</b>	<b>61%</b>	
3 BR	<b>9</b>	<b>27%</b>	
4 BR	<b>1</b>	<b>3%</b>	
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> <b>No</b> <input type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

Waiting list type: (select one)			
<input checked="" type="checkbox"/> <b>Section 8 tenant-based assistance</b>			
Public Housing			
Combined Section 8 and Public Housing			
Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	<b>142</b>		<b>30%</b>
Extremely low income <=30% AMI	<b>119</b>	<b>84%</b>	
Very low income (>30% but <=50% AMI)	<b>23</b>	<b>16%</b>	
Low income (>50% but <80% AMI)	<b>-0-</b>	<b>0%</b>	
Families with children	<b>81</b>	<b>57%</b>	
Elderly families	<b>4</b>	<b>3%</b>	
Families with Disabilities	<b>10</b>	<b>7%</b>	
Caucasian	<b>92</b>	<b>65%</b>	
African/American	<b>50</b>	<b>35%</b>	
Other	<b>-0-</b>	<b>0%</b>	
Race/ethnicity			
Characteristics by Bedroom Size			

(Public Housing Only)			
1BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No    Yes If yes: How long has it been closed (# of months)? Does the PHA expect to reopen the list in the PHA Plan year? No    Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? No    Yes			

### C. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list **IN THE UPCOMING YEAR**, and the Agency's reasons for choosing this strategy.

#### (1) Strategies

**Need: Shortage of affordable housing for all eligible populations**

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

Select all that apply

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

**Strategy 2: Increase the number of affordable housing units by:**

Select all that apply

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

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

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

Select all that apply

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

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

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

Select all that apply

- Employ admissions preferences aimed at families who are working
- Adopt rent policies to support and encourage work
- Other: (list below)

**Need: Specific Family Types: The Elderly**

**Strategy 1: Target available assistance to the elderly:**

Select all that apply

- Seek designation of public housing for the elderly
- Apply for special-purpose vouchers targeted to the elderly, should they become available
- Other: (list below)

**Need: Specific Family Types: Families with Disabilities**

**Strategy 1: Target available assistance to Families with Disabilities:**

Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- Affirmatively market to local non-profit agencies that assist families with disabilities
- Other: (list below)

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

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

Select if applicable

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

**Strategy 2: Conduct activities to affirmatively further fair housing**

Select all that apply

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

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

**(2) Reasons for Selecting Strategies**

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

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

## 2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>1. Federal Grants (FY 2003 grants)</b>		
a) Public Housing Operating Fund	<b>475,164</b>	
b) Public Housing Capital Fund	<b>427,787</b>	
c) HOPE VI Revitalization		
d) HOPE VI Demolition	<b>?</b>	
e) Annual Contributions for Section 8 Tenant-Based Assistance	<b>1,675,911</b>	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)		
g) Resident Opportunity and Self-Sufficiency Grants	<b>21,524</b>	
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>		
<b>3. Public Housing Dwelling Rental Income</b>	<b>451,280</b>	<b>operations</b>
<b>4. Other income (list below)</b>		
<b>Excess Utilities</b>	<b>20,000</b>	<b>operations</b>
<b>Building Rental</b>	<b>2,000</b>	<b>operations</b>
<b>4. Non-federal sources (list below)</b>		
<b>City Grant for Homeless Units</b>	<b>20,000</b>	<b>operations</b>
<b>Total resources</b>	<b>3,093,666</b>	<b>operations</b>



### **3. PHA Policies Governing Eligibility, Selection, and Admissions**

[24 CFR Part 903.7 9 (c)]

#### **A. Public Housing**

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

##### **(1) Eligibility**

- a. When does the PHA verify eligibility for admission to public housing? (select all that apply)
- When families are within a certain number of being offered a unit: (state number)
  - When families are within a certain time of being offered a unit: (state time)
  - X** Other: (describe) **Due to short waiting list, when application is made and updated prior to occupancy**
- b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?
- X** Criminal or Drug-related activity
  - X** Rental history
  - X** Housekeeping
  - Other (describe)
- c. **X Yes** No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- d. **X Yes** No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- e. **X Yes** No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

##### **(2) Waiting List Organization**

- a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)
- X** Community-wide list
  - Sub-jurisdictional lists
  - Site-based waiting lists
  - Other (describe)
- b. Where may interested persons apply for admission to public housing?
- X** PHA main administrative office
  - PHA development site management office
  - Other (list below)
- c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**
1. How many site-based waiting lists will the PHA operate in the coming year?

2. Yes No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?  
If yes, how many lists?
3. Yes No: May families be on more than one list simultaneously  
If yes, how many lists?
4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?  
 PHA main administrative office  
 All PHA development management offices  
 Management offices at developments with site-based waiting lists  
 At the development to which they would like to apply  
 Other (list below)

**(3) Assignment**

- a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)  
 One  
 Two  
 Three or More
- b.  Yes No: Is this policy consistent across all waiting list types?
- c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

**(4) Admissions Preferences**

- a. Income targeting:  
 Yes  No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?
- b. Transfer policies:  
 In what circumstances will transfers take precedence over new admissions? (list below)  
 Emergencies  
 Overhoused  
 Underhoused  
 Medical justification  
 Administrative reasons determined by the PHA (e.g., to permit modernization work)  
 Resident choice: (state circumstances below)  
 Other: (list below)
- c. Preferences  
 1.  Yes No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If "no" is selected, skip to subsection **(5) Occupancy**)

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

Former Federal preferences:

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

Other preferences: (select below)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)  
**Elderly, Near Elderly, and Handicapped/Disabled**

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

1 Date and Time

Former Federal preferences:

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

Other preferences (select all that apply)

- 1 Working families and those unable to work because of age or disability
- 1 Veterans and veterans' families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- 1 Other preference(s) (list below)

## Elderly, Near Elderly, and Handicapped/Disabled

4. Relationship of preferences to income targeting requirements:

The PHA applies preferences within income tiers

- X** Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

### (5) Occupancy

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

- X** The PHA-resident lease  
**X** The PHA's Admissions and (Continued) Occupancy policy  
 PHA briefing seminars or written materials  
 Other source (list)

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

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

### (6) Deconcentration and Income Mixing

a. **X** Yes No: Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete.

b. **X** Yes No: Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments?

c.

## Deconcentration Policy for Covered Developments

<u>Development Name</u>	<u>Number of Units</u>	<u>Explanation</u>	<u>Deconcentration Policy</u>
<u>Sutton Terrace</u>	<u>44</u>	<u>Average income is at 135% of PHA wide average but still below median income level</u>	<u>Following Decon. Policy, this is improved from last year which was 117%</u>
<u>Riverview Homes</u>	<u>30</u>	<u>Average income is at 60% of PHA wide average - all developments below median</u>	<u>Following Decon. Policy, but no improvement due to income of applicants, to offer incentives as per Policy</u>
<u>Lockdown</u>	<u>84</u>	<u>Average income is at 81% of PHA wide average - all developments below median</u>	<u>Following Decon. Policy, will offer incentives to attract higher income tenants</u>

**See Attachment A:** Attachment A is the Deconcentration Policy adopted by the PHA. We will use those incentives to attract higher income families into those developments that fall below the 85% of the PHA Wide Adjusted Average income. However, 99% of the families on the public housing waiting list are classified as Extremely Low Income.

## **B. Section 8**

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B.

**Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

### **(1) Eligibility**

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

- Criminal or drug-related activity only to the extent required by law or regulation  
Criminal and drug-related activity, more extensively than required by law or regulation  
More general screening than criminal and drug-related activity (list factors below)

Other (list below)

**Check to see if applicant owes monies to FHA or any other Federally subsidized program and other PH agencies**

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

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

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

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

- Criminal or drug-related activity  
 Other (describe below)  
**Allowable information shared upon request**

### **(2) Waiting List Organization**

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

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

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

- PHA main administrative office  
Other (list below)

**(3) Search Time**

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

If yes, state circumstances below:

**Upon request and when verifiable documentation of applicant’s effort to find a unit is provided or known**

**(4) Admissions Preferences**

a. Income targeting

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

b. Preferences

1.  **Yes**      No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)

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

Former Federal preferences

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

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in your jurisdiction **with established residency**
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one

or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

**X 2** Date and Time

Former Federal preferences

- X 1** Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- X 1** Victims of domestic violence
  - Substandard housing
  - Homelessness
  - High rent burden

Other preferences (select all that apply)

- X 1** Working families and those unable to work because of age or disability
- X 1** Veterans and veterans’ families
- X 1** Residents who live and/or work in your jurisdiction
  - Those enrolled currently in educational, training, or upward mobility programs
  - Households that contribute to meeting income goals (broad range of incomes)
  - Households that contribute to meeting income requirements (targeting)
  - Those previously enrolled in educational, training, or upward mobility programs
  - Victims of reprisals or hate crimes
- X 1** Other preference(s) (list below)  
**Elderly, Near Elderly, and Handicapped/Disabled**

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

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

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

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

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

- The PHA applies preferences within income tiers
- X** Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

**(5) Special Purpose Section 8 Assistance Programs**

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

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

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

- Through published notices
- Other (list below)

**4. PHA Rent Determination Policies**

[24 CFR Part 903.7 9 (d)]

**A. Public Housing**

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

**(1) Income Based Rent Policies**

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one)

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

---or---

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

b. Minimum Rent

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

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



2. Yes  No  Has the PHA adopted any discretionary minimum rent hardship exemption policies?  
**Minimum rent hardship exemptions are those required by CFR**

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

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

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

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

**Flat Rents –**

**Efficiency - \$200                      3 BR - \$530**

**1 BR - \$320                              4 BR - \$685**

**2 BR - \$400**

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

For the earned income of a previously unemployed household member

For increases in earned income

Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

Fixed percentage (other than general rent-setting policy)

If yes, state percentage/s and circumstances below:

For household heads

For other family members

For transportation expenses

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

Other (describe below)

**Documented regular payment of child support**

**Documented regular repayment of student loans (contingent on graduation)**

e. Ceiling rents

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

Yes for all developments

Yes but only for some developments

No

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

For all developments

For all general occupancy developments (not elderly or disabled or elderly only)

For specified general occupancy developments

For certain parts of developments; e.g., the high-rise portion

For certain size units; e.g., larger bedroom sizes

Other (list below)

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

Market comparability study

Fair market rents (FMR)

95<sup>th</sup> percentile rents

75 percent of operating costs

100 percent of operating costs for general occupancy (family) developments

Operating costs plus debt service

The "rental value" of the unit

Other (list below)

f. Rent re-determinations:

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

Never

At family option

Any time the family experiences an income increase

Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold)\_\_\_\_\_

Other (list below)

g. Yes  No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

## **(2) Flat Rents**

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

The section 8 rent reasonableness study of comparable housing

Survey of rents listed in local newspaper

Survey of similar unassisted units in the neighborhood

Other (list/describe below)

## B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

### (1) Payment Standards

Describe the voucher payment standards and policies.

- a. What is the PHA's payment standard? (select the category that best describes your standard)
- At or above 90% but below 100% of FMR
  - 100% of FMR
  - Above 100% but at or below 110% of FMR
  - Above 110% of FMR (if HUD approved; describe circumstances below)
- b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)
- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
  - The PHA has chosen to serve additional families by lowering the payment standard
  - Reflects market or submarket
  - Other (list below)
- c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)
- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
  - Reflects market or submarket
  - To increase housing options for families
  - Other (list below)
- d. How often are payment standards reevaluated for adequacy? (select one)
- Annually
  - Other (list below)
- e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)
- Success rates of assisted families
  - Rent burdens of assisted families
  - Other (list below)

**(2) Minimum Rent**

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

\$0

\$1-\$25

**X** \$26-\$50

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

**Minimum rent exemptions are those required by CFR**

**5. Operations and Management**

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

**A. PHA Management Structure**

Describe the PHA’s management structure and organization.

(select one)

An organization chart showing the PHA’s management structure and organization is attached.

A brief description of the management structure and organization of the PHA follows:

**B. HUD Programs Under PHA Management**

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

<b>Program Name</b>	<b>Units or Families Served at Year Beginning</b>	<b>Expected Turnover</b>
Public Housing		
Section 8 Vouchers		
Section 8 Certificates		
Section 8 Mod Rehab		
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs(list individually)		

--	--	--

**C. Management and Maintenance Policies**

List the PHA’s public housing management and maintenance policy documents, manuals and handbooks that contain the Agency’s rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Public Housing Maintenance and Management: (list below)

(2) Section 8 Management: (list below)

**6. PHA Grievance Procedures**

[24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

**A. Public Housing**

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

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- PHA main administrative office
- PHA development management offices
- Other (list below)

**B. Section 8 Tenant-Based Assistance**

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

If yes, list additions to federal requirements below:

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

- PHA main administrative office
- Other (list below)

## **7. Capital Improvement Needs**

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

### **A. Capital Fund Activities**

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

#### **(1) Capital Fund Program Annual Statement**

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template **OR**, at the PHA's option, by completing and attaching a properly updated HUD-52837.

Select one:

The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment (state name) **Attachment B**

-or-

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

#### **(2) Optional 5-Year Action Plan**

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template **OR** by completing and attaching a properly updated HUD-52834.

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

b. If yes to question a, select one:

The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment (state name) **Attachment C**

-or-

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

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

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

Yes  **No** a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)

b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:
2. Development (project) number:
3. Status of grant: (select the statement that best describes the current status)
  - Revitalization Plan under development
  - Revitalization Plan submitted, pending approval
  - Revitalization Plan approved
  - Activities pursuant to an approved Revitalization Plan underway

Yes  **X No** c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?  
If yes, list development name/s below:

Yes  **X No** d) Will the PHA be engaging in any mixed -finance development activities for public housing in the Plan year?  
If yes, list developments or activities below:

Yes  **X No** e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?  
If yes, list developments or activities below:

**8. Demolition and Disposition**

[24 CFR Part 903.7 9 (h)]

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

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

2. Activity Description

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

<b>Demolition/Disposition Activity Description</b>
1a. Development name: <b>Riverview</b>
1b. Development (project) number: <b>KY 3-3</b>
2. Activity type: Demolition <b>X</b> Disposition
3. Application status (select one) Approved Submitted, pending approval Planned application <b>X</b>

4. Date application approved, submitted, or planned for submission: <b>when announced</b>
5. Number of units affected: <b>30</b>
6. Coverage of action (select one) Part of the development <input checked="" type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: <b>unknown</b> b. Projected end date of activity:

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

[24 CFR Part 903.7 9 (i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

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

2. Activity Description

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

<b>Designation of Public Housing Activity Description</b>
1a. Development name: 1b. Development (project) number:
2. Designation type: Occupancy by only the elderly Occupancy by families with disabilities Occupancy by only elderly families and families with disabilities
3. Application status (select one) Approved; included in the PHA’s Designation Plan Submitted, pending approval Planned application
4. Date this designation approved, submitted, or planned for submission: <u>(DD/MM/YY)</u>
5. If approved, will this designation constitute a (select one) New Designation Plan Revision of a previously-approved Designation Plan?
6. Number of units affected: 7. Coverage of action (select one)



Part of the development Total development
--

## **10. Conversion of Public Housing to Tenant-Based Assistance**

[24 CFR Part 903.7 9 (j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

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

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

#### 2. Activity Description

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

<b>Conversion of Public Housing Activity Description</b>
1a. Development name: <b>Leestown Terrace; Sutterlin Terrace; Riverview Homes; Leestown Addition; Southern Apartments</b>
1b. Development (project) number: <b>KY 3-2; 3-2; 3-3; 3-4; 3-6</b>
2. What is the status of the required assessment? Assessment underway <input checked="" type="checkbox"/> Assessment results submitted to HUD Assessment results approved by HUD (if marked, proceed to next question) Other (explain below)
3. Yes <input checked="" type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) Conversion Plan in development Conversion Plan submitted to HUD on: (DD/MM/YYYY) Conversion Plan approved by HUD on: (DD/MM/YYYY) Activities pursuant to HUD-approved Conversion Plan underway
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one) <input checked="" type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved:) Units addressed in a pending or approved HOPE VI Revitalization Plan (date

submitted or approved:)

Requirements no longer applicable: vacancy rates are less than 10 percent

Requirements no longer applicable: site now has less than 300 units

Other: (describe below)

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

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

**11. Homeownership Programs Administered by the PHA**

[24 CFR Part 903.7 9 (k)]

**A. Public Housing**

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

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

2. Activity Description

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

<b>Public Housing Homeownership Activity Description (Complete one for each development affected)</b>	
1a. Development name:	
1b. Development (project) number:	
2. Federal Program authority:	
HOPE I	
5(h)	
Turnkey III	
Section 32 of the USHA of 1937 (effective 10/1/99)	
3. Application status: (select one)	

Approved; included in the PHA's Homeownership Plan/Program Submitted, pending approval Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: <u>(DD/MM/YYYY)</u>
5. Number of units affected: 6. Coverage of action: (select one) Part of the development Total development

**B. Section 8 Tenant Based Assistance**

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

2. Program Description:

a. Size of Program

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

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

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

b. PHA established eligibility criteria

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

**12. PHA Community Service and Self-sufficiency Programs**

[24 CFR Part 903.7 9 (1)]

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

**A. PHA Coordination with the Welfare (TANF) Agency**

1. Cooperative agreements:

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

If yes, what was the date that agreement was signed? 04/19/2002

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

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

## **B. Services and programs offered to residents and participants**

### **(1) General**

#### a. Self-Sufficiency Policies

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

- X** Public housing rent determination policies
- X** Public housing admissions policies
- X** Section 8 admissions policies
- Preference in admission to section 8 for certain public housing families
- Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- Preference/eligibility for public housing homeownership option participation
- X** Preference/eligibility for section 8 homeownership option participation
- Other policies (list below)

#### b. Economic and Social self-sufficiency programs

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

## Services and Programs

Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)
<i>Apprenticeship Program</i>	<i>2-6</i>	<i>random</i>	<i>PHA main office</i>	<i>both</i>

### (2) Family Self Sufficiency program/s

#### a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2000 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing		
Section 8	<b>18</b>	<b>11</b>

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

### C. Welfare Benefit Reductions

- The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)
  - Adopting appropriate changes to the PHA’s public housing rent determination policies and train staff to carry out those policies
  - Informing residents of new policy on admission and reexamination
  - Actively notifying residents of new policy at times in addition to admission and reexamination.
  - Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
  - Establishing a protocol for exchange of information with all appropriate TANF agencies
 Other: (list below)

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

**13. PHA Safety and Crime Prevention Measures**

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

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

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)
  - High incidence of violent and/or drug-related crime in some or all of the PHA's developments
  - High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
  - Residents fearful for their safety and/or the safety of their children
  - Observed lower-level crime, vandalism and/or graffiti
  - People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
  - Other (describe below)  
**Need to continue to keep the reduced levels of violent and/or drug-related crimes**
  
2. What information or data did the PHA use to determine the need for PHA actions to improve safety of residents (select all that apply).
  - Safety and security survey of residents
  - Analysis of crime statistics over time for crimes committed “in and around” public housing authority
  - Analysis of cost trends over time for repair of vandalism and removal of graffiti
  - Resident reports
  - PHA employee reports
  - Police reports
  - Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
  - Other (describe below)
  
3. Which developments are most affected? (list below)  
**KY 3-1; KY 3-2; KY 3-3; KY 3-4**

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

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)
  - Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities  
Crime Prevention Through Environmental Design
  - Activities targeted to at-risk youth, adults, or seniors

- Volunteer Resident Patrol/Block Watchers Program
- X** Other (describe below)  
**Continue extra patrol as long as financially possible**

2. Which developments are most affected? (list below)  
**KY 3-1; KY 3-2; KY 3-3; KY 3-4**

**C. Coordination between PHA and the police**

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

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

2. Which developments are most affected? (list below)  
**KY 3-1; KY 3-2; KY 3-3; KY 3-4**

**D. Additional information as required by PHDEP/PHDEP Plan**

PHAs eligible for FY 2000 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

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

## **14. RESERVED FOR PET POLICY**

[24 CFR Part 903.7 9 (n)]

# **PET POLICY**

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**Introduction:** The purpose of this policy is to establish the procedures for ownership of pets in public housing operated by the Housing Authority of Frankfort.

**Assistance Animals:** Pet rules will not be applied to animals assisting persons with disabilities. To be excluded from this policy, the resident must certify:

1. That there is a person with a disability in the household;
2. That the animal has been trained to assist with the specified disability.

### **A. Management Approval of Pets**

#### **Registration of Pets**

1. All pets must be approved in advance by the Housing Authority.
2. Pet Owners must submit and enter into a Pet Agreement with the Housing Authority.
3. Pet Owners must provide a certificate signed by a licensed veterinarian or State/local authority that the pet has received all inoculations required by State or local law and that the pet has no communicable disease(s) and is pest-free.
4. Registration must be renewed and will be coordinated with the annual recertification date and proof of license and inoculation will be submitted at least 30 days prior annual reexamination.
5. Dogs and cats must be spayed or neutered prior to being admitted.

#### **Refusal To Register Pets**

The Housing Authority may refuse to register a pet if:

1. The pet is not a *common household pet* as defined in this policy;
2. Keeping the pet would violate Pet Rules;
3. The pet owner fails to provide complete pet registration information, or fails to update the registration annually;
4. The Housing Authority reasonably determines that the pet owner is unable to keep the pet in compliance with the pet rules and other lease obligations. The pet's temperament and behavior may be considered as a factor in determining the owner's ability to comply with the provisions of the lease.



## **B. Standards for Pets**

### **Types of Pets Allowed**

Tenants are not permitted to have more than one pet unless, under special circumstances, approved by the Housing Authority.

1. Dogs
  - a. Maximum adult weight: 25 pounds
  - b. Must be housebroken
  - c. Must be spayed or neutered
  
2. Cats
  - a. Must be spayed or neutered
  - b. Must be trained to a litter box or other waste receptacle
  
3. Fish
  - a. Maximum aquarium size is 10 gallons
  - b. Must be maintained on an approved stand
  
4. Other

Other acceptable pets are: guinea pigs, hamsters, gerbils, turtles, birds.

## **C. Pets Temporarily on the Premises**

Pets that are not owned by a tenant will not be allowed. Tenants are prohibited from feeding (other than for wild birds) or harboring stray animals.

## **D. Additional Fees and Deposits for Pets**

The tenant shall be required to pay a pet deposit of \$100 for a cat or dog. The deposit is required in full when the pet is properly registered and brought into the apartment. The deposit will be refunded to the tenant, less any damage caused by the pet to the dwelling unit or grounds, or need for fumigation, upon removal of the pet or owner from the unit. If damages exceed the amount of the pet deposit, the tenant will be billed for this excess cost.

## **E. Pet Waste and Related Charges**

- A. Dogs

The tenant shall be responsible for picking up pet waste, sealing it in a plastic bag and placing it in a trashcan.
  
- B. Cats
  1. Litter boxes must be kept inside the unit.
  2. Litter shall not be disposed of by being flushed down the toilet.

A separate pet waste removal charge of \$20 per occurrence will be assessed against the tenant for violations of the pet policy.

#### **F. Pet Care**

No pet, excluding fish, shall be left unattended in any apartment for a period in excess of twelve (12) hours. All tenants shall be responsible for adequate care, nutrition, exercise and medical attention for his/her pet.

The tenant shall be required to designate another party for the care of the pet if the health or safety of the pet is threatened by the death or incapacity of the tenant or by other factors that render the owner unable to care for the pet.

#### **G. General Terms of Pet Ownership in the Housing Authority of Frankfort**

1. No animals shall be tied up on the outside or left unattended. No doghouses, animal runs, etc. shall be permitted.
2. The inside of apartments must be kept free of animal odors and maintained in a clean and sanitary manner.
3. All dogs and cats outside of the apartment must be walked on a leash; pets are not allowed to run loose at any time.
4. No excessive noise will be permitted.
5. If the pet poses a nuisance, the tenant must remove the pet from the premises in the time allowed by the Housing Authority and provide proof of such removal.
6. The Housing Authority may enter a unit to have a pet transferred to the Humane Society if left unattended for more than 12 hours.
7. Tenants agree to indemnify, defend and hold management harmless from and against any and all claims, actions, suits, judgments and demands brought by any other party or account of or in connection with any other activity of or any damage caused by any tenant's pet(s).
8. No dangerous or poisonous pets are permitted.

I/We have read the above Pet Policy and agree to abide by the terms outlined.  
I/We understand that failure on my/our part to abide by this policy will result in either my/our being required to remove my/our pet from the premises as instructed or my/our being required to move.

NOTE: This Document is made a part of the lease by reference.

\_\_\_\_\_  
Signature/Date

\_\_\_\_\_  
Signature/Date

\_\_\_\_\_  
Witness/Date

**15. Civil Rights Certifications**

[24 CFR Part 903.7 9 (o)]

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

**16. Fiscal Audit**

[24 CFR Part 903.7 9 (p)]

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

**17. PHA Asset Management**

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

1. Yes  No  Is the PHA engaging in any activities that will contribute to the long -term asset management of its public housing stock , including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?
2. What types of asset management activities will the PHA undertake? (select all that apply)
  - Not applicable
  - Private management
  - Development-based accounting
  - Comprehensive stock assessment
  - Other: (list below)
3. Yes  No  Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

**18. Other Information**

[24 CFR Part 903.7 9 (r)]

**A. Resident Advisory Board Recommendations**

1.  Yes  No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
  - Attached at Attachment (File name)
  - Provided below:  
**The RA Board and those attending the public hearing expressed agreement with proposed modernization activities.**
3. In what manner did the PHA address those comments? (select all that apply)
  - Considered comments, but determined that no changes to the PHA Plan were necessary.
  - The PHA changed portions of the PHA Plan in response to comments
  - List changes below:
  - Other: (list below)

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

1.  Yes  No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)
2. Yes  No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)
3. Description of Resident Election Process
  - a. Nomination of candidates for place on the ballot: (select all that apply)

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

b. Eligible candidates: (select one)

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

c. Eligible voters: (select all that apply)

- All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- Representatives of all PHA resident and assisted family organizations
- Other (list)

**C. Statement of Consistency with the Consolidated Plan**

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: (provide name here) **Commonwealth of Kentucky**

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

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.  
The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan. Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

Other: (list below)

**As per the Consolidated Plan, 41% of KY residents are unable to afford Fair Market Rents. FHA provides affordable housing through Section 8, public housing and it's not-for-profit, Creative Housing, Inc. The Plan also cites the need to support poor working families. FHA addresses this need by offering flat rents and working preferences. Additionally, FHA has partnered with local government, public and private agencies to increase the supply of affordable housing.**

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

## **D. Other Information Required by HUD**

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

### **Resident Advisory Board:**

David Fultz      KY 3-4  
Christie Dobbs    KY 3-2  
Coni Thompson    KY 3-2  
Billy Houchell    KY 3-1

### **Resident Membership on Governing Board:**

At the present time, there are no resident members on the Board of Commissioners. A notice was sent to all persons receiving assistance in the FHA newsletter in May and June of 2002 asking for those who might be interested to contact the office. One person indicated she would like to serve. A letter was sent to the Mayor on June 11, 2002 with this person's name. However, upon checking, this person was a registered Democrat and these "slots" were filled.

### **Substantial Deviation Definition:**

Substantial Deviation is defined as: Discretionary changes or significant amendments or modifications in the plans or policies of the Housing Authority that fundamentally alter the mission, goals, or objectives of the agency and require formal approval of the Board of Commissioners.

### **Significant Amendment or Modification:**

Significant Amendment or Modification is defined as: Changes or amendments to the Annual or 5 Year Plan that fundamentally alter the goals or objectives of the Housing Authority and require formal approval of the Board of Commissioners.

## GOALS AND OBJECTIVES

### Goals and Objectives: 2002 Annual Plan – Progress

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

PHA Goal: Expand the supply of assisted housing

Objectives:

1. Reduce Public Housing vacancies: **FHA will reduce vacancies by 10% over the next five years.**

*Progress: We continue to work towards this goal.*

2. Leverage private or other public funds to create additional housing opportunities. **Complete development and operate 20 units of Section 8 based housing through it's 501 (c)(3).**

*Progress: Met goal. 20 units of Section 8 based housing, developed through the 501 (c)(3) came on line and were rented in January 2002.*

PHA Goal: Improve the quality of assisted housing

Objectives:

1. Improve public housing management: (PHAS score) **FHA will improve its PHAS score by 6 points over the next 5 years.**

*Progress: Goal met and exceeded. Even without RASS scores (, FHA increased its score by 22 points from the 2000 score which includes RASS numbers.*

2. Increase customer satisfaction: **FHA will increase its RASS score to over 60% in each area over the next 5 years.**

*Progress: Goal met and exceeded. The lowest score was 64.2%.*

3. Renovate or modernize public housing units. **FHA will spend at least 50% of its Capital Funds on direct modernization of units over the next 5 years.**

*Progress: Goal met and exceeded. FHA will spend 64% of 2001 CFP money on direct modernization and 64% of 2002 CFP money as well.*

4. Demolish or dispose of obsolete public housing. **FHA will demolish 3 buildings at KY 3-3 by 2003 FYE.**

*Progress: To date this FYE, there has been no NOFA regarding demolition only. FHA will apply when this announcement is made.*

PHA Goal: Increase assisted housing choices

Objectives:

1. Conduct outreach efforts to potential voucher landlords. **FHA will add 10 new Section 8 landlords by 2005.**

*Progress: Met goal. Since this goal was made, 30 new landlords have been added to the Section 8 program.*

2. Convert public housing to vouchers. **FHA will replace demolished housing with Section 8 vouchers.**

*Progress: There was no NOFA regarding Demolition during the fiscal year to date. Application will be made when announced and plans are to replace this housing with vouchers if FHA receives demolition funds.*

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

PHA Goal: Provide an improved living environment

Objective:

1. Implement public housing security improvements: **If funded, FHA will continue to provide additional police patrols in its communities.**

*Progress: We have continued to provide additional police service to the developments. This patrol has been instrumental in several evictions and the effectiveness is evident in reduced calls for service.*

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

PHA Goal: Ensure equal opportunity and affirmatively further fair housing objectives

Objective:



1. Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion, national origin, sex, familial status, and disability: **FHA will market to traditionally underserved populations on an annual basis through flyers and public access television.**

*Progress: We have distributed flyers to many businesses and offices that traditionally come into contact with populations needing various assistance such as the Food Stamp Office, Unemployment office, convenience markets, etc. This is an ongoing objective each year.*

## Attachments

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

### **Attachment A**

#### **SECTION XXVI. DECONCENTRATION RULE (ACOP)**

1. Objective - The objective of the Deconcentration Rule for public housing units is to ensure that families are housed in a manner that will prevent a concentration of poverty families and/or a concentration of higher income families in any one development. The specific objective of the housing authority is to house no less than 40 percent of its public housing inventory with families that have income at or below 30% of the area median income by public housing development. Also the housing authority will take actions to insure that no individual development has a concentration of higher income families in one or more of the developments. To insure that the housing authority does not concentrate families with higher income levels, it is the goal of the housing authority not to house more than 60% of its units in any one development with families whose income exceeds 30% of the area median income. The housing authority will track the status of family income, by development, on a monthly basis by utilizing income reports generated by the housing authority's computer system.
  
2. Actions - . To accomplish the deconcentration goals, the housing authority will take the following actions:
  - A. At the beginning of each housing authority fiscal year, the housing authority will establish a goal for housing 40% of its new admissions with families whose incomes are at or below the area median income. The annual goal will be calculated by taking 40% of the total number of move-ins from the previous housing authority fiscal year.
  
  - B. To accomplish the goals of:
    - (1) Housing not less than 40% of its public housing inventory on an annual basis with families that have incomes at or below 30% of area median income, and
    - (2) Not housing families with incomes that exceed 30% of the area median income in developments that have 60% or more of the total household living in the development with incomes that exceed 30% of the area median income, the housing authority's Tenant Selection and Assignment Plan, which is a part of this policy, provides for skipping families on the waiting list to accomplish these goals.
    - (3) In order to insure the deconcentration of poverty and income- mixing at all of our sites, the following incentives may be offered to encourage and recruit higher income families: a security deposit installment plan, one child per bedroom, first month rent free, (for families paying more than \$300 per month in rent), waiting list skipping, and a local preference for working families..."

**Attachment B  
Capital Funds – 2003 Annual and 5 Year Plans**

**Component 7  
Capital Fund Program Annual Statement  
Parts I, II, and II**

**CAPITAL FUND PROGRAM TABLES START HERE**

<b>Annual Statement/Performance and Evaluation Report</b>					
<b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
<b>PHA Name:</b> Housing Authority of Frankfort		<b>Grant Type and Number</b> Capital Fund Program Grant No: KY36P00350103 Replacement Housing Factor Grant No:			<b>Federal FY of Grant:</b> 01/01/2003
<b>X Original Annual Statement Reserve for Disasters/ Emergencies</b>		<b>Revised Annual Statement (revision no:)</b>			
<b>Performance and Evaluation Report for Period Ending:</b>		<b>Final Performance and Evaluation Report</b>			
<b>Line No.</b>	<b>Summary by Development Account</b>	<b>Total Estimated Cost</b>		<b>Total Actual Cost</b>	
		<b>Original</b>	<b>Revised</b>	<b>Obligated</b>	<b>Expended</b>
1	Total non-CFP Funds				
2	1406 Operations	46,033			
3	1408 Management Improvements	15,000			
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	40,754			
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	300,000			
11	1465.1 Dwelling Equipment—Nonexpendable	6,000			
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment	20,000			
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				

**Annual Statement/Performance and Evaluation Report  
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary**

<b>PHA Name:</b> Housing Authority of Frankfort	<b>Grant Type and Number</b> Capital Fund Program Grant No: KY36P00350103 Replacement Housing Factor Grant No:	<b>Federal FY of Grant:</b> 01/01/2003
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X **Original Annual Statement Reserve for Disasters/ Emergencies**      **Revised Annual Statement (revision no:)**  
**Performance and Evaluation Report for Period Ending:**                      **Final Performance and Evaluation Report**

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
21	Amount of Annual Grant: (sum of lines 2 – 20)	427,787			
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				

**Annual Statement/Performance and Evaluation Report  
 Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)  
 Part II: Supporting Pages**

PHA Name: Housing Authority of Frankfort		<b>Grant Type and Number</b> Capital Fund Program Grant No: KY36P00350103 Replacement Housing Factor Grant No:				<b>Federal FY of Grant: 01/01/2003</b>		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
PHA Wide	Operations	1406		46,033				
PHA Wide	Management Improvements	1408		15,000				
PHA Wide	Fees and Costs	1430		40,754				
PHA Wide	Energy Audit	1430		25,000				
KY 3-1	HVAC (phase I)	1460		300,000				
PHA Wide	Stoves & Refrigerators	1465		6,000				
PHA Wide	Maintenance Van	1475		20,000				

**Annual Statement/Performance and Evaluation Report**  
**Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)**  
**Part III: Implementation Schedule**

PHA Name: Housing Authority of Frankfort		<b>Grant Type and Number</b> Capital Fund Program No: KY36P00350103 Replacement Housing Factor No:			Federal FY of Grant: 01/01/2003		
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Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
PHA Wide	12/31/2004						
KY 3-1	12/31/2004						

# Capital Fund Program Five-Year Action Plan

## Part I: Summary

PHA Name Housing Authority of Frankfort				<b>X Original 5-Year Plan</b>	
				<b>Revision No:</b>	
Development Number/Name/HA- Wide	Year 1	Work Statement for Year 2 FFY Grant:KY36P00350104 PHA FY: 01/01/2004	Work Statement for Year 3 FFY Grant: KY36P00350105 PHA FY:	Work Statement for Year 4 FFY Grant:KY36P00350106 PHA FY:	Work Statement for Year 5 FFY Grant:KY36P00350107 PHA FY:
	Annual Statement				
PHA Wide		77,487	126,787	89,787	67,787
KY 3-1		129,400		188,000	25,000
<b>KY 3-2</b>		214,500	96,000	25,000	
KY 3-4		6,400	96,000	25,000	
KY 3-6					320,000
CFP Funds Listed for 5-year planning		427,787	427,787	427,787	427,787
Replacement Housing Factor Funds					

Capital Fund Program Five-Year Action Plan

**Part II: Supporting Pages—Work Activities**

Activities for Year 1	Activities for Year :2004 FFY Grant: KY36P00350104 PHA FY: 01/01/2004			Activities for Year: 2005 FFY Grant: KY36P00350105 PHA FY: 01/01/2005		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
<b>See</b>	PHA Wide	A&E	18,000	PHA Wide	A&E	20,000
<b>Annual</b>		Preschool	10,000		Operations	41,787
Statement		Stoves/Refrigerators	6,000		Preschool	10,000
		Operations	43,487		Stoves/Refrigerators	6,000
	KY 3-1	HVAC (phase II)	120,000		Vehicle	20,000
		Outside Door Locks	9,400		Maintenance Van	19,000
	KY-3-2	Closet Doors	71,000		Lawn Tractor	10,000
		Screen Doors	30,000	KY 3-2	HVAC	105,000
		Mech. Room Doors	4,500		Flooring	100,000
		Outside Door Locks	9,000	KY 3-4	HVAC	96,000
		Flooring	100,000			
	KY 3-4	Outside Door Locks	6,400			
	Total CFP Estimated Cost		\$427,787			\$427,787



Capital Fund Program Five-Year Action Plan

**Part II: Supporting Pages—Work Activities**

Activities for Year : 2006 FFY Grant: KY36P00350106 PHA FY: 01/01/2006			Activities for Year: 2007 FFY Grant: KY36P00350107 PHA FY: 01/01/2007		
Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
PHA Wide	A&E	18,000	PHA Wide	Operations	50,000
	Operations	46,033		Maintenance Misc.	17,787
	Stoves/Refrigerators	6,000	KY 3-1	Update Playground	25,000
	Computers/Phones	19,754		Shutters	15,000
	Misc. Maintenance	25,000	KY 3-6	Hall Carpeting	20,000
KY 3-1	Flooring	120,000		Reconfigure Apts.	300,000
	Entry Doors	68,000			
KY 3-2	Flooring	100,000			
	Upgrade Playground	25,000			
Total CFP Estimated Cost		\$427,787			\$427,787

<b>Annual Statement/Performance and Evaluation Report</b>					
<b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
		<b>Grant Type and Number</b>		<b>Federal FY of Grant:</b>	
		Capital Fund Program Grant No: KY36P00350101		01/01/2001	
		Replacement Housing Factor Grant No:			
<b>Original Annual Statement Reserve for Disasters/ Emergencies</b>			<b>Revised Annual Statement (revision no:)</b>		
<b>X Performance and Evaluation Report for Period Ending: 9/30/2002</b>			<b>Final Performance and Evaluation Report</b>		
<b>Line No.</b>	<b>Summary by Development Account</b>	<b>Total Estimated Cost</b>		<b>Total Actual Cost</b>	
		<b>Original</b>	<b>Revised</b>	<b>Obligated</b>	<b>Expended</b>
1	Total non-CFP Funds				
2	1406 Operations	77,001		77,001	77,001
3	1408 Management Improvements			5,392	5,392
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	20,000		20,000	11,934
8	1440 Site Acquisition				
9	1450 Site Improvement	10,000		5,000	3,350
10	1460 Dwelling Structures	232,308		169,070	162,888
11	1465.1 Dwelling Equipment—Nonexpendable	51,745		46,621	41,308
12	1470 Nondwelling Structures	13,000		13,000	12,722
13	1475 Nondwelling Equipment	45,700		37,680	36,168
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	456,754		373,764	350,763
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				

<b>Annual Statement/Performance and Evaluation Report</b>					
<b>Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary</b>					
<b>PHA Name:</b> Housing Authority of Frankfort		<b>Grant Type and Number</b> Capital Fund Program Grant No: KY36P00350102 Replacement Housing Factor Grant No:			<b>Federal FY of Grant:</b> 01/01/2002
<b>Original Annual Statement</b>		<b>Reserve for Disasters/ Emergencies</b>		<b>Revised Annual Statement (revision no:)</b>	
<b>X Performance and Evaluation Report for Period Ending:</b>		<b>Final Performance and Evaluation Report</b>			
<b>Line No.</b>	<b>Summary by Development Account</b>	<b>Total Estimated Cost</b>		<b>Total Actual Cost</b>	
		<b>Original</b>	<b>Revised</b>	<b>Obligated</b>	<b>Expended</b>
1	Total non-CFP Funds				
2	1406 Operations	53,000		53,000	0
3	1408 Management Improvements	15,000		0	0
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	19,754		19,754	0
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	275,000		0	0
11	1465.1 Dwelling Equipment—Nonexpendable	36,000		0	0
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment	29,033		0	0
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	427,787		72,754	0
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				





PHA Name:  
**Housing Authority of Frankfort**

**Grant Type and Number**  
 Capital Fund Program No: **KY36P00350101**  
 Replacement Housing Factor No:

**Federal FY of Grant: 2001**

Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	
<b>HA Wide</b>	<b>12/31/03</b>						
<b>KY 3-1</b>	<b>12/31/03</b>						
<b>KY 3-2</b>	<b>12/31/03</b>						
<b>KY 3-4</b>	<b>12/31/03</b>						
<b>KY 3-6</b>	<b>12/31/03</b>						