

PHA Plans

Streamlined 5-Year/Annual Version

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

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This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937 that introduced 5-year and annual PHA Plans. The full PHA plan provides a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission and strategies for serving the needs of low-income and very low-income families. This form allows eligible PHAs to make a streamlined annual Plan submission to HUD consistent with HUD's efforts to provide regulatory relief to certain PHAs. Public reporting burden for this information collection is estimated to average 11.7 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development, Federal Housing Administration, is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Information in PHA plans is publicly available.

Streamlined 5-Year Plan for Fiscal Years 2005 - 2009

Streamlined Annual Plan for Fiscal Year 2004

NOTE: This PHA Plan template (HUD-50075-SA) is to be completed in accordance with instructions contained in previous Notices PIH 99-33 (HA), 99-51 (HA), 2000-22 (HA), 2000-36 (HA), 2000-43 (HA), 2001-4 (HA), 2001-26 (HA), 2003-7 (HA), and any related notices HUD may subsequently issue. Full reporting for each component listed in the streamlined Annual Plan submitted with the 5-year plan is required.

Streamlined Five-Year PHA Plan

Agency Identification

PHA Name: Housing Authority County of Merced

PHA Number: CA-023

PHA Fiscal Year Beginning: 10/2004

PHA Programs Administered:

Public Housing and Section 8

Number of public housing units: 510

Number of S8 units: 2,705

Section 8 Only

Number of S8 units:

Public Housing Only

Number of public housing units:

PHA Consortia: (check box if submitting a joint PHA Plan and complete table)

Participating PHAs	PHA Code	Program(s) Included in the Consortium	Programs Not in the Consortium	# of Units Each Program
Participating PHA 1:				
Participating PHA 2:				
Participating PHA 3:				

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 and attachments (if any) 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)

Streamlined Five-Year PHA Plan

PHA FISCAL YEARS 2005 - 2009

[24 CFR Part 903.12]

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.
- The PHA's mission is:
- The Housing Authority of the County of Merced offers affordable housing opportunities to our community by providing access to a variety of services and programs to promote self-sufficiency and to enhance the quality of life for those we serve.
 - We are committed to giving our clients and each other, courtesy, respect and quality customer care. We will ethically apply the laws, rules and regulations that govern this Agency, and further affirm the value and dignity of each person we serve and with whom we work.

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.

- PHA Goal: Increase the inventory of affordable rental housing in Merced County and expand home ownership opportunities for first time homebuyers.
- Objectives:
- Apply for additional rental vouchers: If federal funding becomes available, expand the inventory of rental housing vouchers by 15% over the next 5 years
 - Reduce public housing vacancies: Achieve a 98% Lease-up Rate in the Public Housing Program
 - Leverage private or other public funds to create additional housing opportunities
 - Subject to availability of funding, develop or acquire 300 affordable rental housing units over the next five years
 - Other (list below)
 - Increase homeownership opportunities
- PHA Goal: Improve the quality of assisted housing
- Objectives:
- Improve public housing management: (PHAS score) achieve and maintain High Performer status in the Public Housing Program

- Improve voucher management: (SEMAP score) achieve and maintain High Performer status in the Section 8/Housing Choice Voucher Program
- Increase customer satisfaction:
 1. Improve Communication with Residents and Program Participants through the use of Newsletters and Resident Meetings
 2. Monitor results from our Customer Service Evaluation System and use results to implement changes that will improve customer service
 3. Continue to provide Staff Training Opportunities supporting improvements in the quality of the Agency's housing programs
- Concentrate on efforts to improve specific management functions: (list; e.g., public housing finance; voucher unit inspections)
 1. Conduct Annual Housing Choice Voucher Program inspections within 365 days of the last inspection
 2. Conduct Quality Control Audits of annual eligibility determinations for no less than 3% of Housing Choice Voucher Program files
 3. Conduct Initial Unit Inspections for the Housing Choice Voucher Program within a 7-10 day time period
 4. Reduce the number of days a Section 8/Housing Choice Voucher Program Owner Participant receives the initial rent check from 22 days to 11 days from the date the unit passes inspection
 5. Establish and maintain a landlord "hotline" to improve response time to inquiries
 6. Streamline the documentation process for more effective time management
- Renovate or modernize public housing units:
- Demolish or dispose of obsolete public housing:
- Provide replacement public housing:
- Provide replacement vouchers:
- Other: (list below)
 - Increase resident satisfaction with maintenance services by 5%
 - Partner with county and/or city efforts to improve housing stock and create stable, viable neighborhoods
 - The Agency shall improve the curb appeal of its complexes through completion of common area landscape improvements and other physical improvements
- PHA Goal: Increase assisted housing choices
 - Objectives:
 - Provide voucher mobility counseling at initial family briefings and during annual re-examinations
 - Conduct outreach efforts to potential voucher landlords by conducting annual owner workshops to encourage Voucher Program participation
 - Increase voucher payment standards
 - Continue to seek funding to continue the IDEA Homeownership Program for graduating FSS Participants
 - Participate in Rental Property Association events as they occur to market to potential Section 8/Housing Choice Voucher Program Owners

- Implement voucher homeownership programs:
- Implement public housing or other homeownership programs:
- Implement public housing site-based waiting lists: The Agency shall implement project based waiting for complexes where such lists improve marketability
- Convert public housing to vouchers:
- Other: (list below)

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

- 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:
 - Implement public housing security improvements:
 - Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
 - Other: (list below)
 - Improve safety awareness and resident satisfaction by 5%
 - Improve relations between residents and law enforcement
 - Continue to be lead agency participating in County-wide Consortium of Care System and development

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)
 - Improve partnerships with community service providers to improve economic advancement, self-sufficiency, and homeownership
 - Contingent upon grant funding, initiate individual development account program for public housing residents

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

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing
Objectives:
 - Undertake affirmative measures to ensure access to assisted housing regardless of

- race, color, religion national origin, sex, familial status, and disability:
- 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:
 - 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)

- Establish joint ventures with nonprofit organizations to increase development and/or acquisition of affordable housing stock for the Housing Authority of the County of Merced.

Streamlined Annual PHA Plan
PHA Fiscal Year 2004
[24 CFR Part 903.12(b)]

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B. SEPARATE HARD COPY SUBMISSIONS TO LOCAL HUD FIELD OFFICE

Form HUD-50077, PHA Certifications of Compliance with the PHA Plans and Related Regulations: Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans; Certification by State or Local Official of PHA Plan Consistency with Consolidated Plan.

For PHAs APPLYING FOR CAPITAL FUND PROGRAM (CFP) GRANTS:

Form HUD-50070, Certification for a Drug-Free Workplace;

Form HUD-50071, Certification of Payments to Influence Federal Transactions;

Form SF-LLL & SF-LLLa, Disclosure of Lobbying Activities.

Executive Summary (optional)

[903.7(r)]. If desired, provide a brief overview of the contents of the streamlined 5-Year/Annual Plan.

The Housing Authority of the County of Merced (HACM) has prepared our Agency Plan in compliance with Section 511 of the Quality Housing and Work Responsibility Act (QWHRA) of 1998, and the ensuing HUD requirements. The Plan describes the Housing Authority, its mission and strategy for addressing the housing needs of low-income and very-low income families in Merced County.

A Board of seven Commissioners, including two residents of the Housing Authority, governs the Housing Authority of the County of Merced. An Executive Director and 64 staff members manage the Agency. The HACM is a public housing agency as defined in the United States Housing Act of 1937, as amended, and in 24 C.F.R. Chapter VIII. The Housing Authority is organized under Section 31000, et a seq., of the California Health and Safety Code.

The primary objective of the Housing Authority of the County of Merced is to provide decent, safe and sanitary housing to low-income families at an affordable price. Our mission is to provide this housing within an environment that fosters the advancement of low-income families from a position of dependency to one of self-sufficiency.

The Housing Authority has the responsibility for planning, financing, constructing, purchasing and managing properties using a variety of affordable housing programs. As the manager of rental properties, the Housing Authority performs all the functions of a private owner, including selection of residents, rent collection and property maintenance. The Housing Authority also administers the Section 8 tenant-based assistance program. The Housing Authority Housing Choice Voucher Program--which is a merger of the Voucher and Certificate Programs into one program--allows for easier management by the Agency and provides housing choices to families by utilizing the private market, thereby creating a win-win scenario for everyone. In the County of Merced, the Housing Authority serves a total of **3,215** households, including **2,705** Section 8/Housing Choice Vouchers, and * **510** Public Housing units, **250** Migrant Farm Labor units, and 50 CHRP-R rental units.

Federal laws establish the rent structure of the housing programs administered by the Housing Authority and require that family income be verified annually. Federal Regulations also impact the selection of program participants, occupancy, ease and grievance procedures. This Agency Plan deals with those policies and procedures for public housing that have been modified as a result of QHWA.

In our Five-Year Plan, the Housing Authority recognizes the need for more affordable housing in the County of Merced. Our goal of developing additional affordable housing has been established to address the need.

* (Due to Home Ownership sales this number is in constant flux).

We have adopted the following Mission Statement to guide the activities of the Housing Authority of the County of Merced:

The Housing Authority of the County of Merced offers affordable housing opportunities to our community by providing access to a variety of services and programs to promote self-sufficiency and to enhance the quality of life for those we serve.

We strive to provide housing assistance, training, education, and homeownership opportunities by participation in the acquisition, development and operation of affordable housing through the utilization of various funding sources and partnerships that build pride and responsibility in our residents.

We are committed to giving our clients and each other courtesy, respect, and quality customer care. We will ethically apply the laws, rules and regulations that govern this agency, and further affirm the value and dignity of each person we serve and with whom we work.

We have also adopted the following goals for the next five years:

MANAGEMENT

1. Increase capacity of programs and services and inventory
2. Develop funding sources to reduce dependence on government subsidy
3. Maintain efficient asset management
4. Affirm customer care and provide a positive working environment
5. Expand community partnerships and variety of services
6. Advocate for Affordable Housing
7. Employ ethical standards in applying the rules, regulations, and laws that govern the Agency
8. Maintain "High Performer" status in HUD's Management Assessment Systems (PHAS)
9. Continue to perform Strategic Planning (including Annual, Five-Year, and Agency Plans)

EXPANSION OF HOUSING STOCK

1. Complete the rebuilding process at Planada and Los Banos Migrant Centers
2. Develop Single Family Housing in Merced, using Firm Build Program
3. Develop new affordable housing units/complexes throughout Merced County
4. As a member of the Affordable Housing Agency (JPA) utilize tax exempt bond financing to develop affordable housing throughout the JPA's jurisdiction, including Merced County

MARKETABILITY

1. Enhance the marketability of the Housing Authority of the County of Merced's public housing units
2. The Housing Authority of the County of Merced shall become a more customer-oriented organization

SECURITY

1. Provide a safe and secure environment in the Housing Authority of the County of Merced's public housing developments
2. Provide a safe and secure environment for the Housing Authority of the County of Merced's employees
3. Improve resident and community perception of safety and security in the Housing Authority of the County of Merced's public housing developments.

TENANT-BASED HOUSING

1. Manage the Housing Authority of the County of Merced's tenant-based program in an efficient and effective manner thereby qualifying as a "High Performer" under HUD's Section 8 Management Assessment Program (SEMAP)
2. Lease up all new increments of Section 8 Housing

MAINTENANCE

1. Maintain the Housing Authority of the County of Merced's real estate in a decent condition
2. Deliver timely and high quality maintenance service to the residents of the Housing Authority of the County of Merced

EQUAL OPPORTUNITY

1. Operate the Housing Authority of the County of Merced in full compliance with all Equal Opportunity laws and regulations

FISCAL RESPONSIBILITY

1. Ensure full compliance with all applicable standards and regulations including government generally accepted accounting practices
2. Reduce dependency on federal funding

PUBLIC IMAGE

1. Perform public relations throughout community
2. Enhance the image of affordable housing programs in our community
3. Develop productive partnerships with community organizations (including Resident Councils, Central Valley Coalition for Affordable Housing (CVCAH) Non-Profit, Firm Build Non-Profit, City and County Governments, and HUD

SUPPORTIVE SERVICES

1. Improve access of public housing residents to services that support economic opportunity and quality of life
2. Improve economic opportunity (self-sufficiency) for the families and individuals that reside in our housing
3. Operate the John Shelley O'Banion Learning Center. The Housing Authority leases space at the center to serve Non-Profit Organizations, including daycare provider, a Health organization, a branch of the Merced County Library, and local police, in addition to housing the Housing Authority Resident Services department

Our Annual Plan is based on the premise that if we accomplish our goals we will be working towards the achievement of our mission. The plans, statements, budget summary, policies, etc., set forth in the Annual Plan all lead towards the accomplishment of our goals. Taken as a whole, they outline a comprehensive approach towards our goals and are consistent with the Consolidated Plan.

1. Statement of Housing Needs [24 CFR Part 903.12 (b), 903.7(a)]

A. 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.

Housing Needs of Families on the PHA's Waiting Lists			
Waiting list type: (select one)			
<input type="checkbox"/>	Section 8 tenant-based assistance		
<input checked="" type="checkbox"/>	Public Housing		
<input type="checkbox"/>	Combined Section 8 and Public Housing		
<input type="checkbox"/>	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	1008	100	3
Extremely low income <=30% AMI	666	66	
Very low income (>30% but <=50% AMI)	209	21	
Low income (>50% but <80% AMI)	112	11	
Families with children	693	69	
Elderly families	37	4	
Families with Disabilities	10	1	
Race/ethnicity: White	943	94	
Race/ethnicity: Black	29	3	
Race/ethnicity: Asian	33	3	
Race/ethnicity: Hispanic	575	57	
Race/ethnicity: A. Indian	3	0	
Characteristics by Bedroom Size (Public Housing Only)			
1 BR	270	27	
2 BR	375	37	
3 BR	268	27	
4 BR	57	6	
5 BR	26	3	
5+ BR	11	1	
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <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 checked="" type="checkbox"/> No <input type="checkbox"/> Yes			

Waiting list type: (select one)	
<input checked="" type="checkbox"/>	Section 8 tenant-based assistance
<input type="checkbox"/>	Public Housing
<input type="checkbox"/>	Combined Section 8 and Public Housing
<input type="checkbox"/>	Public Housing Site-Based or sub-jurisdictional waiting list (optional)
If used, identify which development/subjurisdiction:	

Housing Needs of Families on the PHA's Waiting Lists			
	# of families	% of total families	Annual Turnover
Waiting list total	3505	100	
Extremely low income <=30% AMI	2503	71	
Very low income (>30% but <=50% AMI)	977	28	
Low income (>50% but <80% AMI)	28	1	
Families with children	2482	71	
Elderly families	49	1	
Families with Disabilities	214	6	
Race/ethnicity: White	2521	72	
Race/ethnicity: Black	710	20	
Race/ethnicity: Asian	194	6	
Race/ethnicity: Hispanic	1814	52	
Race/ethnicity: A. Indian	40	1	
Characteristics by Bedroom Size (Section 8 Only)			
1BR	988	28	
2 BR	1379	39	
3 BR	868	25	
4 BR	218	6	
5 BR	36	1	
5+ BR	19	1	
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <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 checked="" type="checkbox"/> No <input type="checkbox"/> Yes			

B. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families on the PHA's public housing and Section 8 waiting lists **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)

The HACM has in the past and will continue to apply for vouchers through the mainstream disability program and any other targeted disability funding. In addition, the HACM has applied for fair share allocations which request targeting of 15% of the received funding for disabled families and 3% of the funding for families with a Section 1915© waiver through Social Security.

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

An Owner Advisory Council of Section 8 Owners/Property Managers has been formed to

evaluate the housing needs of low-income families in the area. In addition, the HACM is a member of the rental property management monthly meeting and speaks regularly at the meetings, along with attending local police/owner meetings in each area of Merced. Monthly Owners' Briefings are conducted for new owners to the program. Also, a monthly newsletter is generated and distributed to participating owners.

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 903.12 (b), 903.7 (c)]

List on the following table 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.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2004 grants)		
a) Public Housing Operating Fund	\$181,602	Public Housing
b) Public Housing Capital Fund	1,260,749	Public Housing
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	16,172,566	HCV (Sec.8)
f) Resident Opportunity and Self-Sufficiency Grants		
g) Community Development Block Grant		
h) HOME		
Other Federal Grants (list below)		
i) Youthbuild		
2. Prior Year Federal Grants (unobligated funds only) (list below)		
j) Resident Opportunity and Self-Sufficiency Grants	125,000	Public Housing
3. Public Housing Dwelling Rental Income		
	2,084,000	Public Housing
4. Other income (list below)		
Interest	8,000	Public Housing
Other Income	59,600	Public Housing
5. Non-federal sources (list below)		
State Programs	1,069,691	State Migrant Housing
Local	672,950	Local
Total resources	\$21,634,158	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.12 (b), 903.7 (b)]

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)
 - Other: When the family submits an application, eligibility begins and continues until the family is found either "eligible or ineligible." Eligible families are placed on an "Eligible" waiting list.
- b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?
- Criminal or Drug-related activity
 - Rental history
 - Housekeeping
 - Other: Credit History, Home Visits, and required Orientation Sessions
- c. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- d. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- e. 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)
- Community-wide list
 - Sub-jurisdictional lists
 - Site-based waiting lists
 - Other (describe)
- b. Where may interested persons apply for admission to public housing?
- PHA main administrative office
 - PHA development site management office
 - Other (list below)
- c. Site-Based Waiting Lists-Previous Year
- Yes No: Has the PHA operated one or more site-based waiting lists in the previous year? If yes, complete the following table; if not skip to d.

Site-Based Waiting Lists

Development Information: (Name, number, location)	Date Initiated	Initial mix of Racial, Ethnic or Disability Demographics	Current mix of Racial, Ethnic or Disability Demographics since Initiation of SBWL	Percent change between initial and current mix of Racial, Ethnic, or Disability demographics

2. What is the number of site based waiting list developments to which families may apply at one time? ___
3. How many unit offers may an applicant turn down before being removed from the site-based waiting list? ___
4. Yes No: Is the PHA the subject of any pending fair housing complaint by HUD or any court order or settlement agreement? If yes, describe the order, agreement or complaint and describe how use of a site-based waiting list will not violate or be inconsistent with the order, agreement or complaint below:

d. Site-Based Waiting Lists – Coming Year

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
 Over-housed
 Under-housed
 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)

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.

Date and Time

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

Other preferences (select all that apply)

- 2 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
- 2 Those enrolled currently in educational, training, or upward mobility programs
- 1 Households that contribute to meeting income goals (broad range of incomes)
- 1 Households that contribute to meeting income requirements (targeting)
- 2 Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- The PHA applies preferences within income tiers
- 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)

- The PHA-resident lease
- 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)

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

(6) Deconcentration and Income Mixing

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

- See Attachment A. Deconcentration Policy (ca023a01)

b. 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? If no, this section is complete. If yes, list these developments on the following table:

Deconcentration Policy for Covered Developments			
Development Name	Number of Units	Explanation (if any) [see step 4 at §903.2(c)(1)(iv)]	Deconcentration policy (if no explanation) [see step 5 at §903.2(c)(1)(v)]

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):
- Other (list below)

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: Current address and current or former landlord

(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:

The HACM automatically gives the voucher holder a 180 day period to search for housing upon issuance of the voucher. There are no extensions after the 180 day period except in cases of reasonable accommodation requests.

(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
- 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):

Families applying specifically for projects formerly financed by the Rural Development Program; Families Displaced due to the conversion of Rural Development properties; Families referred by the City of Merced Housing Program and the City of Los Banos Housing Program; Families referred by the Independent Living Skills Program through Merced College and Human Services Agency; Families referred by low-income tax credit developments and Central Valley Coalition for Affordable Housing; Date and Time; Families referred by CPS through the Family Unification Program (targeted funding).

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:

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

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
- 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)
Same as #2 above and equal weight given

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

- 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)

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

WTW Admissions are not counted toward 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: Speaking engagements through Rental Management Meetings: Owner Briefings and Owner Newsletters. Communication to other public and service oriented agencies.

4. PHA Rent Determination Policies

[24 CFR Part 903.12(b), 903.7(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 of the following two)

- 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))
- 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
 \$26-\$50

2. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

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

c. Rents set at less than 30% of 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:

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)

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)
- 95th 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

a. 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: Families can meet 40% cap.

d. How often are payment standards reevaluated for adequacy? (select one)

Annually

Other: At least semi-annually

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: Meeting 40% cap.

(2) Minimum Rent

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

\$0

\$1-\$25

\$26-\$50

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

5. Capital Improvement Needs

[24 CFR Part 903.12(b), 903.7 (g)]

Exemptions from Component 5: Section 8 only PHAs are not required to complete this component and may skip to Component 6.

See Attachment D. Capital Fund Program Information (ca023d01)

A. Capital Fund Activities

Exemptions from sub-component 5A: PHAs that will not participate in the Capital Fund Program may skip to component 5B. All other PHAs must complete 5A as instructed.

(1) Capital Fund Program

a. Yes No Does the PHA plan to participate in the Capital Fund Program in the upcoming year? If yes, complete items 12 and 13 of this template (Capital Fund Program tables). If no, skip to B.

b. Yes No: Does the PHA propose to use any portion of its CFP funds to repay debt incurred to finance capital improvements? If so, the PHA must identify in its annual and 5-year capital plans the development(s) where such improvements will be made and show both how the proceeds of the financing will be used and the amount of the annual payments required to service the debt. (Note that separate HUD approval is required for such financing activities.).

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

Applicability of sub-component 5B: 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.

(1) Hope VI Revitalization

- a. Yes No: Has the PHA received a HOPE VI revitalization grant? (if no, skip to next component; if yes, provide responses to questions on chart below 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)
Development name:
Development (project) number:
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
- c. Yes No: Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year? If yes, list development name/s below:
- d. Yes No: 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:
- e. Yes No: 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:

6. Demolition and Disposition

[24 CFR Part 903.12(b), 903.7 (h)]

Applicability of component 6: Section 8 only PHAs are not required to complete this section.

- a. Yes No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 or 24 (Hope VI) of the U.S. Housing Act of 1937 (42 U.S.C. 1437p) or Section 202/Section 33 (Mandatory Conversion) in the plan Fiscal Year? (If "No", skip to component 7; if "yes", complete one activity description for each development on the following chart.)

Demolition/Disposition Activity Description	
1a. Development name: Merced	
1b. Development (project) number: 23-21 and 23-22	
2. Activity type: Demolition <input type="checkbox"/>	
Disposition <input checked="" type="checkbox"/>	
3. Application status (select one)	
Approved <input type="checkbox"/>	
Submitted, pending approval <input checked="" type="checkbox"/>	
Planned application <input type="checkbox"/>	
4. Date application approved, submitted, or planned for submission: <u>08/11/04</u>	
5. Number of units affected: 19 (see attached list of parcel numbers and addresses)	
6. Coverage of action (select one)	
<input checked="" type="checkbox"/> Part of the development	
<input type="checkbox"/> Total development	
7. Timeline for activity:	
a. Actual or projected start date of activity: 11/15/04 (Upon approval from HUD)	
b. Projected end date of activity: 05/15/05	

7. Section 8 Tenant Based Assistance--Section 8(y) Homeownership Program

[24 CFR Part 903.12(b), 903.7(k)(1)(i)]

(1) 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 the next component; if “yes”, complete each program description below (copy and complete questions for each program identified.)

(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, what is the maximum number of participants this fiscal year? ___

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:

c. What actions will the PHA undertake to implement the program this year (list)?

(3) Capacity of the PHA to Administer a Section 8 Homeownership Program

The PHA has demonstrated its capacity to administer the program by (select all that apply):

a. Establishing a minimum homeowner downpayment requirement of at least 3 percent of purchase price and requiring that at least 1 percent of the purchase price comes from the family’s

resources.

- b. Requiring that financing for purchase of a home under its Section 8 homeownership will be provided, insured or guaranteed by the state or Federal government; comply with secondary mortgage market underwriting requirements; or comply with generally accepted private sector underwriting standards.
- c. Partnering with a qualified agency or agencies to administer the program (list name(s) and years of experience below).
- d. Demonstrating that it has other relevant experience (list experience below).

8. Civil Rights Certifications

[24 CFR Part 903.12 (b), 903.7 (o)]

Civil rights certifications are included in the *PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations: Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans*, which is submitted to the Field Office in hard copy—see Table of Contents.

9. Additional Information

[24 CFR Part 903.12 (b), 903.7 (r)]

A. PHA Progress in Meeting the Mission and Goals Described in the 5-Year Plan

(Provide a statement of the PHA's progress against the goals and objectives established in the previous 5-Year Plan for the period FY 2001-2005)

2004 PHA Plan PHA Progress in Meeting the Mission and Goals

PHA GOALS AND OBJECTIVES

The Housing Authority of the County of Merced has been successful in achieving the established goals developed by the agency and in compliance with Section 511 of the *Quality Housing and Work Responsibility Act (QHWRA)* the ensuring HUD requirements.

In reviewing specific goals and objectives developed by the agency, success may be measured by the following:

- Achieved and maintained High Performer Status in HCV Program – SEMAP score of 104
- Developed system to monitor results from Customer Service Evaluation
- HCV Departments has met stated goals for yearly inspections
- Conduct initial unit inspections for HCV Program within 7-10 days
- Reduce the number of days a HCV Owner Participant receives the initial rent check from 22 days to 11 days
- Improved lease up rate in public housing
- The agency has progressed in the goal of developing (300) affordable housing units
- Public housing met the goals of achieving 98% occupancy rate
- Agency achieved “high performer” status

The agency strives to meet and/or exceed all established goals and objectives. Measures have been developed and are in place to ensure that there is continuous and on-going quality improvement.

B. Criteria for Substantial Deviations and Significant Amendments

(1) Amendment and Deviation Definitions

24 CFR Part 903.7(r)

PHAs are required to define and adopt their own standards of substantial deviation from the 5-year Plan

and Significant Amendment to the Annual Plan. The definition of significant amendment is important because it defines when the PHA will subject a change to the policies or activities described in the Annual Plan to full public hearing and HUD review before implementation.

Definition of Substantial Deviation:

Substantial deviations, significant amendments, and/or modifications are considered discretionary changes in the plans or policies of the Housing Authority that fundamentally change the mission, goals, objectives, and/or plans of the Agency. This manner of change requires formal approval from the Board of Commissioners.

a. Substantial Deviation from the 5-Year Plan: None

b. Significant Amendment or Modification to the Annual Plan: None

C. Other Information

[24 CFR Part 903.13, 903.15]

(1) Resident Advisory Board Recommendations

a. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

If yes, provide the comments below:

b. 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)

(2) Resident Membership on PHA Governing Board

The governing board of each PHA is required to have at least one member who is directly assisted by the PHA, unless the PHA meets certain exemption criteria. Regulations governing the resident board member are found at 24 CFR Part 964, Subpart E.

a. Does the PHA governing board include at least one member who is directly assisted by the PHA this year?

Yes No: If yes, complete the following:

Name of Resident Member(s) of the PHA Governing Board:

1) Maria Lucio; 2) Margaret Warmack

Method of Selection:

Appointment—From the inception of our Housing Authority, all Commissioners (including two resident commissioners) have been appointed by the Board of Supervisors of our county; therefore, elections are not held. In addition, we have not provided for resident commissioner election in our Agency Plan; therefore, their election is not required.

The term of appointment is (include the date term expires):

Two (2) years term, expiring October, 2004.

Election by Residents (if checked, complete next section--Description of Resident Election Process)

Description of Resident Election Process

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:

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)

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)

b. If the PHA governing board does not have at least one member who is directly assisted by the PHA, why not?

- The PHA is located in a State that requires the members of a governing board to be salaried and serve on a full time basis
- The PHA has less than 300 public housing units, has provided reasonable notice to the resident advisory board of the opportunity to serve on the governing board, and has not been notified by any resident of their interest to participate in the Board.
- Other (explain):

Date of next term expiration of a governing board member: October, 2004

Name and title of appointing official(s) for governing board (indicate appointing official for the next available position):

Diedre Kelsey, Chairperson, Merced County Board of Supervisors

(3) PHA Statement of Consistency with the Consolidated Plan

[24 CFR Part 903.15]

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

Consolidated Plan jurisdiction: County of Merced and State of California

a. 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 on its waiting list 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)

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

(4) (Reserved)

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

10. Project-Based Voucher Program

- a. Yes No: Does the PHA plan to “project-base” any tenant-based Section 8 vouchers in the coming year? If yes, answer the following questions.
- b. Yes No: Are there circumstances indicating that the project basing of the units, rather than tenant-basing of the same amount of assistance is an appropriate option?

If yes, check which circumstances apply:

- Low utilization rate for vouchers due to lack of suitable rental units
- Access to neighborhoods outside of high poverty areas
- Other (describe below:)

c. Indicate the number of units and general location of units (e.g. eligible census tracts or smaller areas within eligible census tracts):

11. List of Supporting Documents Available for Review for Streamlined Five-Year/ Annual PHA Plans

PHAs are to 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.

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
X	<i>PHA Certifications of Compliance with the PHA Plans and Related Regulations and Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans.</i>	Standard 5 Year and Annual Plans; streamlined 5 Year Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan.	5 Year Plans

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
X	Fair Housing Documentation Supporting Fair Housing Certifications: 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
X	Housing Needs Statement of the Consolidated Plan for the jurisdiction(s) in which the PHA is located and any additional backup data to support statement of housing needs for families on the PHA's public housing and Section 8 tenant-based waiting lists.	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O/ACOP), which includes the Tenant Selection and Assignment Plan [TSAP] and the Site-Based Waiting List Procedure.	Annual Plan: Eligibility, Selection, and Admissions Policies
n/a	Any policy governing occupancy of Police Officers and Over-Income Tenants in Public Housing. <input type="checkbox"/> Check here if included in the public housing A&O Policy.	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the method for setting public housing flat rents. <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development. <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies (if included in plan, not necessary as a supporting document) and written analysis of Section 8 payment standard policies. <input checked="" type="checkbox"/> Check here if included in Section 8 Administrative Plan.	Annual Plan: Rent Determination
X	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
X	Results of latest Public Housing Assessment System (PHAS) Assessment (or other applicable assessment).	Annual Plan: Management and Operations
X	Follow-up Plan to Results of the PHAS Resident Satisfaction Survey (if necessary)	Annual Plan: Operations and Maintenance and Community Service & Self-Sufficiency
X	Results of latest Section 8 Management Assessment System (SEMAP)	Annual Plan: Management and Operations
	Any policies governing any Section 8 special housing types <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Operations and Maintenance
n/a	Consortium agreement(s).	Annual Plan: Agency Identification and Operations/ Management
X	Public housing grievance procedures <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures. <input checked="" type="checkbox"/> Check here if included in Section 8 Administrative Plan.	Annual Plan: Grievance Procedures
X	The Capital Fund/Comprehensive Grant Program Annual Statement /Performance and Evaluation Report for any active grant year.	Annual Plan: Capital Needs

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
X	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grants.	Annual Plan: Capital Needs
n/a	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
X	Self-evaluation, Needs Assessment and Transition Plan required by regulations implementing Section 504 of the Rehabilitation Act and the Americans with Disabilities Act. See PIH Notice 99-52 (HA).	Annual Plan: Capital Needs
Planned Application	Approved or submitted applications for demolition and/or disposition of public housing.	Annual Plan: Demolition and Disposition
n/a	Approved or submitted applications for designation of public housing (Designated Housing Plans).	Annual Plan: Designation of Public Housing
n/a	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, Section 22 of the US Housing Act of 1937, or Section 33 of the US Housing Act of 1937.	Annual Plan: Conversion of Public Housing
n/a	Documentation for required Initial Assessment and any additional information required by HUD for Voluntary Conversion.	Annual Plan: Voluntary Conversion of Public Housing
X	Approved or submitted public housing homeownership programs/plans.	Annual Plan: Homeownership
n/a	Policies governing any Section 8 Homeownership program (Section _____ of the Section 8 Administrative Plan)	Annual Plan: Homeownership
X	Public Housing Community Service Policy/Programs <input checked="" type="checkbox"/> Check here if included in Public Housing A & O Policy	Annual Plan: Community Service & Self-Sufficiency
X	Cooperative agreement between the PHA and the TANF agency and between the PHA and local employment and training service agencies.	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan(s) for public housing and/or Section 8.	Annual Plan: Community Service & Self-Sufficiency
X	Section 3 documentation required by 24 CFR Part 135, Subpart E for public housing.	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports for public housing.	Annual Plan: Community Service & Self-Sufficiency
X	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G). <input checked="" type="checkbox"/> Check here if included in the public housing A & O Policy.	Pet Policy
X	The results of the most recent fiscal year audit of the PHA conducted under the Single Audit Act as implemented by OMB Circular A-133, the results of that audit and the PHA's response to any findings.	Annual Plan: Annual Audit
n/a	Consortium agreement(s), if a consortium administers PHA programs.	Joint PHA Plan for Consortia
n/a	Consortia Joint PHA Plans ONLY: Certification that consortium agreement is in compliance with 24 CFR Part 943 pursuant to an opinion of counsel on file and available for inspection	Joint PHA Plan for Consortia
	Other supporting documents (optional). List individually.	(Specify as needed)

Housing Authority of the County of Merced

Attachment A.

Deconcentration Policy (ca023a02)

10.4 DECONCENTRATION POLICY

TENANT SELECTION CRITERIA

1. Objectives: It is the policy of this Housing Authority to avoid concentrations of the most economically and socially deprived families and to house families with a broad range of incomes. In order to deconcentrate poverty and achieve the greatest possible income mix within, public housing, studies will be conducted annually to determine and compare the relative tenant incomes of each development, as well as the incomes of census tracts in which the developments are located, in order to determine whether or not the development contains an appropriate income mix. To achieve such a desirable mix, the agency hereby adopts the following policy:
 - A. Income targeting up to 80% of median income, after the extremely low-income targeting requirements;
 - B. A preference for working families; flat rents and ceiling rents will be set at affordable levels;
 - C. An open waiting list will be maintained to encourage applicants from all income levels, in an easily accessible manner; and
 - D. The Housing Authority will attempt to develop scattered – site, acquisition and mixed – income projects whenever possible.
 - E. The Housing Authority will attempt to develop scattered - site, acquisition and mixed - income projects whenever possible.
 - F. The Housing Authority will check annually to determine that the established income range is 85 percent to 115 percent (inclusive of 85 percent and 115 percent) of PHA –wide average income for covered developments.

10.5 DECONCENTRATION INCENTIVES

The ease of the applications process, coupled with rents capped at affordable levels, will attract more low - income applicants. Those higher - income applicants will mix with the large number of very - low - income applicants already attracted to the agency waiting lists. Units will then be filled from the mixed - income waiting list when they become available, which will create an income mix within projects.

Affordable flat rents should encourage savings and discourage working families from moving prematurely (before they are able to achieve financial independence). This should serve as an example of achievement to those who want to better themselves, and help preserve the desirable income mix.

Housing Authority of the County of Merced

Attachment B.

Units for Disposition (ca023b02)

<u>Parcel</u>	<u>Addresses</u>		<u>Lot Size</u>
Parcel 1:	135 W. 11 th St.	139 W. 11 th St.	50' x 150'
Parcel 2:	129 W. 12 th St.	131 W. 12 th St.	50' x 150'
Parcel 3:	133 W. 12 th St.	135 W. 12 th St.	50' x 150'
Parcel 4:	850, 854, 858 W. 12 th St.		50' x 150'
Parcel 5:	427 W. 24 th St.	431 W. 24 th St.	50' x 150'
Parcel 6:	437 W. 24 th St.	441 W. 24 th St.	50' x 150'
Parcel 7:	2409 Martin Luther King	2415 Martin Luther King	50' x 150'
Parcel 8:	900 N St.	945 W. 9 th St.	75' x 150'
Parcel 9:	1160 P St.	1180 P St.	50' x 150' 1.64 acres

Housing Authority of the County of Merced

Attachment C.

PET POLICY (ca023c02)

The following rules are established to govern the keeping of pets in and on properties owned and operated by the Housing Authority of the County of Merced (herein after referred to as "HACM"). Tenants and/or owners and their families are herein after referred to as "tenant". Guide dogs for the blind, or other animals specifically utilized in assisting the disabled, are specifically excluded from these rules. HACM may designate areas as pet free in the individual complexes. Further, HACM reserves the right to exclude any of the permitted pets from the particular complexes of HACM.

All pets must be registered with HACM. Tenant must receive and maintain a written permit to keep any animal/pet on or about the premises. You must have an HACM written permit and approval before you obtain a pet. This privilege may be revoked at any time subject to HACM grievance procedure if the animal/pet becomes a problem of any kind including, but not limited to, destruction of HACM property or the property of others, a nuisance or safety hazard to HACM employees or others and/or tenant's failure to comply with the following requirements:

1. A maximum number of two (2) pets is allowed. Only one of the pets may be a dog or a cat.
2. Permitted pets are domesticated dogs, cats, birds and fish aquariums. Dogs must weigh under twenty-five (25) pounds (adult size) at all times. A maximum number of ten (10) small fish are permitted in an aquarium. Any dog breed determined to be reserved/aggressive or territorial by Dog Breed info.com or any other credible source. No vicious, aggressive or intimidating animals are to be kept. No other type of pet is allowed under any circumstances including, but not limited to, illegal, exotic or endangered animals, snakes, alligators, spiders, lizards, etc.
3. Dogs are to be licensed yearly with the proper authorities. Tenant must show proof of parvo and distemper shots as well as yearly distemper and rabies booster shots. Cats are to be vaccinated for feline leukemia and yearly distemper shots.
4. All cats and dogs must be spayed or neutered. If such animals/pets are not spayed and have offsprings, tenant is in violation of this rule.
5. No pet may be kept in violation of state humane or health laws or local ordinances. It is tenant's responsibility to know these laws and local ordinances and to follow them at all times.
6. Dogs and cats shall remain inside a tenant's unit or the tenant's fenced property, unless they are on a leash and directly controlled by an adult. Birds must be confined to a cage at all times. Fish are to be kept in a properly equipped fish aquarium.
7. Tenant is to provide litter boxes for cat waste which are to be kept in the unit. Tenant is not allowed to let waste accumulate. Tenant is responsible for properly disposing of cat waste in container provided by HACM outside unit.
8. Tenant is responsible for promptly cleaning up pet droppings, if any, outside of their unit on HACM property, and properly disposing of said droppings in container provided by HACM outside unit.

9. Tenant shall take adequate precautions to eliminate any pet odors within or around unit and maintain unit in a sanitary condition at all times.
10. Tenant shall not permit any disturbance by their pets, which would interfere with the peaceful enjoyment of other tenants, neighbors and HACM employees, whether by loud barking, howling, biting, scratching, chirping or other activities.

Repeated and substantiated complaints by neighbors or HACM personnel regarding pets disturbing the peace of neighbors through noise, odor, animal waste, damage to the premises or other nuisance will result in the family having to move the pet or possibly eviction from the unit by the tenant and his/her family.
11. If pets are left unattended for twenty-four (24) hours or more, HACM may enter to remove the pet and transfer it to the proper authorities subject to the provisions of Section 1954 of the California Civil Code. HACM accepts no responsibility for the pet under such circumstances.
12. Tenant shall not alter their unit, patio, or unit area to create an enclosure or other structure for an animal.
13. Tenant is responsible for all damages including, but not limited, to cost of fumigation, damage to carpet, damage to unit, damages to yard or fencing, or any other damage caused by the pet or pets. Pets are to be kept flea, tick and lice free at all times. Tenant will be responsible for flea, tick or any other disease eradication in the event of infestation.
14. Tenant is prohibited from feeding stray animals. The feeding of stray animals shall constitute having a pet without permission of HACM.
15. Tenant shall pay a pet fee of \$10.00 per month for a dog or a cat. Tenant shall pay a pet fee of \$3.00 per month for a bird or fish aquarium.
16. Tenants who violate these rules are subject to:
 - a) Being required to remove the pet or pets within fourteen (14) days of notice by HACM, and/or
 - b) Eviction from public housing
17. Tenant must identify an alternate custodian for pet in the event of tenant illness or other absence from unit.
18. Tenant must remove pet dog from inside the unit if tenant requests a work order and will not be home during scheduled hours for repair. Maintenance personnel will not enter unit if pet dog is present.
19. Any animals running loose will be turned over to an animal control officer.
20. Dogs and cats are to be housebroken and at least six (6) months old before they are allowed in the tenant's unit.
21. Pet owner shall provide HACM with copies of licensing documents, immunization certificates and proof of spaying/neutering before the pet is allowed to be kept at the tenant's unit. It is the tenant's responsibility to update the licensing documents and immunization certificates on a yearly basis.
22. The HACM will issue a "pet tag" that must be worn along with the proper pet "license" on a collar at all times by an authorized dog or cat. Dogs are to wear, at all times, their

current dog license and rabies vaccination tags. A fish aquarium shall not be larger than a 20-gallon tank and must be properly secured for safety.

- 23. Tenant shall indemnify and hold HACM, its employees and agents harmless against and from any and all claims arising out of tenant's ownership or possession of any pet. Tenant shall further indemnify and hold HACM, its employees and agents harmless against and from any and all claims arising out of tenant's ownership or possession of any pet. Tenant shall further indemnify and hold HACM, its employees and agents harmless against and from any and all claims arising out of any breach or default in the performance of any obligation on tenant's part to be performed by tenant under the term of the Residential Dwelling Lease and/or HACM Pet Policy or arising from any act or negligence of the tenant, their family, and/or guests and from any and all costs, attorneys' fees, expenses and liabilities incurred in or about any such claim or any action or proceeding brought on any such claims.

- 24. The tenant shall immediately notify HACM of any incident involving the pet where there is injury, damage, complaints from others or any citations, fines, penalties, warning, written report letters from any public, community or governmental agency.

Tenant has read and understand HACM's Pet Policy and agree to be bound by and follow all of the terms and conditions contained therein. Tenant understands and agrees that if tenant or nay member of tenant's family or guests or other person under tenant's control violates any of these rules, then tenant and family may be subject to removal of pets from the housing unit and tenant and family may be evicted from public housing at HACM.

Tenant Signature

Date

Housing Authority Staff Signature

Date

HACM PET PERMIT APPLICATION

I hereby make application for written permission to keep the following pet(s) in my dwelling unit as a resident of the Housing Authority of the County of Merced.

_____ Tenant Name _____ Address _____ Unit Number _____

TYPE OF ANIMAL

<u>Pet</u>	<u>Type</u>	<u>Age</u>	<u>Weight</u>	<u>License Proof</u>	<u>Vaccination Proof</u>
Dog	_____	_____	_____	Yes ___ No ___	Yes ___ No ___
Cat	_____	_____	_____	Yes ___ No ___	Yes ___ No ___

Fish Aquarium: Size _____ (gallons) Number of Fish _____
 Type of Fish _____

Bird: Type: _____ Size: _____ Size of Cage: _____

My Alternate Pet Custodian is:

Name: _____

Address: _____

Phone No.: _____

I/We fully understand the rules and regulations regarding the privilege of keeping a pet and agree to abide by those rules and regulations. I/We understand and agree that if I/We or any member of my family or guest or other person under my control violates any of these rules then my family may be subject to removal of pets from our unit and eviction from public housing at HACM.

_____ Resident Signature _____ Date _____

_____ Resident Signature _____ Date _____

_____ Signature of Staff Member HACM _____ Date _____

For Official Use Only

<u>Permit Approved</u>	<u>License Proof Verified</u>	<u>Vaccination Proof Verified</u>	<u>Tag(s) Numbers</u>
Yes ___ No ___ Date: _____ HACM	Yes ___ No ___ Date: _____ HACM	Yes ___ No ___ Date: _____ HACM	_____ _____ _____

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

Annual Statement/Performance and Evaluation Report					
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary					
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MERCED		Grant Type and Number Capital Fund Program Grant No: CFP – CA39P02350104 Replacement Housing Factor Grant No:			Federal FY of Grant: 2004
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
1	Total non-CFP Funds				
2	1406 Operations				
3	1408 Management Improvements	\$157,000			
4	1410 Administration	\$143,000			
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs	\$69,000			
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures	\$821,749			
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures	\$10,000			
13	1475 Nondwelling Equipment	\$50,000			
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs	\$10,000			
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)	\$1,260,749			
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				

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary					
PHA Name: HOUSING AUTHORITY OF THE COUNTY OF MERCED		Grant Type and Number Capital Fund Program Grant No: CFP – CA39P02350104 Replacement Housing Factor Grant No:			Federal FY of Grant: 2004
<input type="checkbox"/> Original Annual Statement <input type="checkbox"/> Reserve for Disasters/ Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Performance and Evaluation Report for Period Ending: <input type="checkbox"/> Final Performance and Evaluation Report					
Line	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
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 the County of Merced			Grant Type and Number Capital Fund Program Grant No: CFP - CA39P02350104 Replacement Housing Factor Grant No:			Federal FY of Grant: 2004		
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	MANAGEMENT IMPROVEMENTS	1408		\$157,000				
	1-year Salary for Resident Services Position			\$20,000				
	Software to Upgrade Central Computer System			\$50,000				
	Maintenance Training			\$10,000				
	Consultants for In-house Training			\$5,000				
	Develop Work Order Tracking System for Tenant Services Request			\$60,000				
	Program to Provide Resident Training			\$12,000				

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

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 the County of Merced			Grant Type and Number Capital Fund Program Grant No: CFP - CA39P02350104 Replacement Housing Factor Grant No:			Federal FY of Grant: 2004		
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	ADMINISTRATION	1410		\$143,000				
	Salary for Development Manager			\$50,000				
	Training & Travel for Management Staff			\$10,000				
	Salary for Development Technician			\$35,000				
	Employee Benefits			\$36,000				
	Legal Services to obtain advice on Legal Issues			\$10,000				
	Office Supplies			\$2,000				
PHA-Wide	FEES AND COSTS	1430		\$69,000				
	Permit & Fees			\$10,000				
	Job Inspection			-0-				
	Engineering Services			\$10,000				
	Architectural Fees			\$49,000				
PHA-Wide	DWELLING STRUCTURES	1460		\$821,749				
23-06	Modernize unit		15	\$240,000				
23-06	Re-roof Units		34	\$170,000				
23-012A & B	Replace Siding		42	\$50,000				
23-12C & D	Replace Siding		22	\$25,000				
23-21, 22, 23	Improvements		50	\$36,000				

12. Capital Fund Program and Capital Fund Program Replacement Housing Factor Annual Statement/Performance and Evaluation Report

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 the County of Merced		Grant Type and Number Capital Fund Program Grant No: CFP - CA39P02350104 Replacement Housing Factor Grant No:				Federal FY of Grant: 2004		
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	
23-01	Maintenance Improvements		10	\$50,749				
23-05	Install AC units		34	\$200,000				
23-13	Paint Exterior			50,000				
	NON-DWELLING STRUCTURES	1470		\$10,000				
	NON-DWELLING EQUIPMENT	1475		\$60,000				
	RELOCATION COST	1495		\$10,000				

13. Capital Fund Program Five-Year Action Plan

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 the County of Merced		Grant Type and Number Capital Fund Program No: CFP CAP02350104 Replacement Housing Factor No:				Federal FY of Grant: 2004	
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	
23-006	30-Sept.-05			31-Mar-06			
23-006	30-Sept.-05			31-Mar-06			
23-012 A & B	30-Sept.-05			31-Mar-06			
23-012 C & D	30-Sept.-05			31-Mar-06			
23-021	30-Sept.-05			31-Mar-06			
23-022	30-Sept.-05			31-Mar-06			
23-023	30-Sept.-05			31-Mar-06			
23-001	30-Sept.-05			31-Mar-06			

13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan					
Part I: Summary					
PHA Name HOUSING AUTHORITY OF THE COUNTY OF MERCED			<input type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:		
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: PHA FY:	Work Statement for Year 3 FFY Grant: PHA FY:	Work Statement for Year 4 FFY Grant: PHA FY:	Work Statement for Year 5 FFY Grant: PHA FY:
	Annual Statement				
CA39P0023-001		\$20,000	\$20,000	\$0	\$0
CA39P0023-002		\$20,000	\$20,000	\$20,000	\$20,000
CA39P0023-003		\$75,000	\$75,000	\$50,000	\$50,000
CA39P0023-004		\$75,000	\$75,000	\$75,000	\$75,000
CA39P0023-005		\$115,749	\$115,749	\$50,000	\$50,000
CA39P0023-006		\$240,000	\$240,000	\$240,000	\$240,000
CA39P0023-010		\$60,000	\$55,000	\$35,000	\$35,000
CA39P0023-011		\$25,000	\$25,000	\$80,000	\$80,000
CA39P0023-012A, B, C, D		\$111,000	\$111,000	\$198,600	\$198,600
CA39P0023-013		\$20,000	\$20,000	\$48,149	\$48,149
CA39P0023-021		\$30,000	\$30,000	\$10,000	\$10,000
CA39P0023-022		\$20,000	\$20,000	\$10,000	\$10,000
CA39P0023-023		\$20,000	\$20,000	\$10,000	\$10,000
Management Improvements		\$157,000	\$157,000	\$157,000	\$157,000
Non-Dwelling Structures & Equipment		\$60,000	\$60,000	\$60,000	\$60,000
Administration		\$143,000	\$148,000	\$148,000	\$148,000
Fees and Costs		\$69,000	\$69,000	\$69,000	\$69,000
CFP Funds Listed for 5- year planning					
Replacement Housing Factor Funds					

13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan					
Part II: Supporting Pages—Work Activities					
Activities for Year : 4 FFY Grant: 2007 PHA FY:			Activities for Year: 5 FFY Grant: 2008 PHA FY:		
Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
23-001 – Merced	Upgrades	-0-	23-001 – Merced	Upgrades	-0-
23-002 – Los Banos	Windows	\$20,000	23-002 – Los Banos	Windows	\$20,000
23-003 – Atwater	Windows, paint	\$50,000	23-003 – Atwater	Windows, paint	\$50,000
23-004 – Los Banos	Windows	\$75,000	23-004 – Los Banos	Windows	\$75,000
23-005 – Dos Palos	Install AC's	\$50,000	23-005 – Dos Palos	Install AC's	\$50,000
23-006 – Livingston	Remodel, Roofs	\$240,000	23-006 – Livingston	Remodel, Roofs	\$240,000
23-010 – Merced	Kitchen Cabinets	\$35,000	23-010 – Merced	Kitchen Cabinets	\$35,000
23-011 – Los Banos	Install AC's	\$80,000	23-011 – Los Banos	Install AC's	\$80,000
23-012 A, B, C, D – Various	Siding Replacement	\$198,600	23-012 A, B, C, D – Various	Siding Replacement	\$198,600
23-13 – Merced	AC Replacement	\$48,149	23-13 – Merced	AC Replacement	\$48,149
23-21 – Merced	Remodel, Roofs	\$10,000	23-21 – Merced	Remodel, Roofs	\$10,000
23-22 – Merced	Remodel, Roofs	\$10,000	23-22 – Merced	Remodel, Roofs	\$10,000
23-23 - Atwater	Remodel, Roofs	\$10,000	23-23 - Atwater	Remodel, Roofs	\$10,000
PHA – Wide	Mgt. Improvements	\$157,000	PHA – Wide	Mgt. Improvements	\$157,000
PHA – Wide	Non-Dwelling	\$60,000	PHA – Wide	Non-Dwelling	\$60,000
PHA – Wide	Administration	\$148,000	PHA – Wide	Administration	\$148,000
PHA – Wide	Fees & Costs	\$69,000	PHA – Wide	Fees & Costs	\$69,000
Total CFP Estimated Cost		\$1,260,749			\$1,260,749

Housing Authority of the County of Merced

Attachment E.

Community Service Requirements (ca023e02)

14.0 CONTINUED OCCUPANCY AND COMMUNITY SERVICE

14.1 GENERAL

In order to be eligible for continued occupancy, each adult family member must either (1) contribute eight hours per month of community service (not including political activities) within the community in which the public housing development is located, or (2) participate in an economic self-sufficiency program unless they are exempt from this requirement

14.2 EXEMPTIONS

The following adult family members of tenant families are exempt from this requirement.

- A. Family members who are 62 or older
- B. Family members who are blind or disabled
- C. Family members who are the primary care giver for someone who is blind or disabled
- D. Family members engaged in work activity
- E. Family members who are exempt from work activity under part A title IV of the Social Security Act or under any other State welfare program, including the welfare-to-work program
- F. Family members receiving assistance under a State program funded under part A title IV of the Social Security Act or under any other State welfare program, including welfare-to-work and who are in compliance with that program

14.3 NOTIFICATION OF THE REQUIREMENT

The Merced Housing Authority shall identify all adult family members who are apparently not exempt from the community service requirement.

The Merced Housing Authority shall notify all such family members of the community service requirement and of the categories of individuals who

are exempt from the requirement. The notification will provide the opportunity for family members to claim and explain an exempt status. The Merced Housing Authority shall verify such claims.

The notification will advise families when their community service obligation will begin. It will also advise them that failure to comply with the community service requirement will result in ineligibility for continued occupancy at the time of any subsequent annual reexamination.

14.4 VOLUNTEER OPPORTUNITIES

Community service includes performing work or duties in the public benefit that serve to improve the quality of life and/or enhance resident self-sufficiency, and/or increase the self-responsibility of the resident within the community.

An economic self sufficiency program is one that is designed to encourage, assist, train or facilitate the economic independence of participants and their families or to provide work for participants. These programs may include programs for job training, work placement, basic skills training, education, English proficiency, work fare, financial or household management, apprenticeship, and any program necessary to ready a participant to work (such as substance abuse or mental health treatment).

The Merced Housing Authority will coordinate with social service agencies, local schools, and the Human Resources Office in identifying a list of volunteer community service positions.

Together with the resident advisory councils, the Merced Housing Authority may create volunteer positions such as hall monitoring, litter patrols, and supervising and record keeping for volunteers.

14.5 THE PROCESS

The Merced Housing Authority will do the following:

- A. Provide a list of volunteer opportunities to the family members.
- B. Provide information about obtaining suitable volunteer positions.
- C. Provide a volunteer time sheet to the family member. Instructions for the time sheet require the individual to complete the form and have a supervisor date and sign for each period of work.
- D. Assign family members to a volunteer coordinator who will assist the family members in identifying appropriate volunteer positions and in meeting their responsibilities. The volunteer coordinator will

track the family member's progress monthly and will meet with the family member as needed to best encourage compliance.

- E. Thirty (30) days before the family's next lease anniversary date, the volunteer coordinator will advise the Merced Housing Authority whether each applicable adult family member is in compliance with the community service requirement.

14.6 NOTIFICATION OF NON-COMPLIANCE WITH COMMUNITY SERVICE REQUIREMENT

The Merced Housing Authority will notify any family found to be in noncompliance of the following:

- A. The family member(s) has been determined to be in noncompliance;
- B. That the determination is subject to the grievance procedure; and
- C. That, unless the family member(s) enter into an agreement to comply, the lease will not be renewed or will be terminated;

14.7 OPPORTUNITY FOR CURE

The Merced Housing Authority will offer the family member(s) the opportunity to enter into an agreement prior to the anniversary of the lease. The agreement shall state that the family member(s) agrees to enter into an economic self-sufficiency program or agrees to contribute to community service for as many hours as needed to comply with the requirement over the past 12-month period. The cure shall occur over the 12-month period beginning with the date of the agreement and the resident shall at the same time stay current with that year's community service requirement. The first hours a resident earns goes toward the current commitment until the current year's commitment is made.

The volunteer coordinator will assist the family member in identifying volunteer opportunities and will track compliance on a monthly basis.

If any applicable family member does not accept the terms of the agreement, does not fulfill their obligation to participate in an economic self-sufficiency program, or falls behind in their obligation under the agreement to perform community service by more than three (3) hours after three (3) months, the Merced Housing Authority shall take action to terminate the lease.

Housing Authority of the County of Merced

Attachment F.

2004 Resident Advisory Board Members (ca023f02)

Rebecca Dill
8894 Globe Ave.
Dos Palos, CA 93620
(209) 392-2064

Valerie Rios
515 Leshar Dr.
Merced, CA 95340
(209) 388-9980

Melissa Livingston
1036 Cameo Court
Atwater, CA 95301
(209) 357-2988

Maria Garcia
605 Leshar Dr.
Merced, CA 95340
(209) 947-2858

Modesto Montana
2027 Alameda Court
Livingston, CA 95334
(209) 394-2131

Diana Lopez
105 "I" St.
Los Banos, CA 93635
(209) 827-2781

Demolition / Disposition Application

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

OMB Approval No. 2577-0075
(exp. 03/31/2005)

Public reporting burden for this collection of information is estimated to average 16 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

This information is required to request permission to demolish or sell all or portion of a development (i.e., dwelling units, non-dwelling property or vacant land) owned and operated by a Housing Authority. The information requested in the application is based on requirements of Section 18 of the United States Housing Act of 1937, as amended and 24 CFR Part 970. HUD will use the information to determine whether, and under what circumstances, to permit HAs to demolish or sell all or a portion of a public housing development. Responses to the collection of information are statutory and regulatory to obtain a benefit. Approval of this application does not constitute approval for funding of the demolition or disposition action. The information requested does not lend itself to confidentiality.

Section 1: General Information

1. Name of PHA:		2. Date of Application: (mm/dd/yyyy)		
3. Address of PHA No. & Street:		City:	State:	Zip code:
4. Phone No. of PHA:	Fax No:	E:mail Address:		
5. Executive Director's Name:				
Phone No:	Fax No:	E:mail Address:		
6. Primary Contact's Name:				
Phone No:	Fax No:	E:mail Address:		

Section 2: Long-Term Possible Impact of Proposed Action

1. Performance Funding Subsidy (PFS)

In FY _____, this HA received \$_____ per unit in PFS funds.

The HA realizes that after this activity takes place, PFS will decrease by \$_____ /year. (number of units proposed X subsidy per unit)

2. Capital Funding Program (CFP)

In FY _____, this HA received \$_____ per unit in CFP funds.

The HA realizes that after this activity takes place, CFP funding will decrease approximately by \$_____ /year.

Section 3: Board Resolution, 24 CFR Part 970.8, Environmental Review, 24 CFR Parts 50 and 58, and Local Government Consultation

1. Board Resolution Number _____ 2. Date of Board Resolution _____

Attach a copy of the Board Resolution and reference it as Section 3, line 1.

3. Who is conducting the environmental review? Field Office under 24 CFR Part 50 Responsible Entity under 24 CFR Part 58

4. Give the date(s) the HA contacted the HUD Field Office to initiate the environmental review for all the developments in the application.

5. If the environmental review is to be performed by a responsible entity, name the entity.

6. Letter of Acknowledgement from Local Government Official dated _____.

Attach a copy and reference it as Section 3 Line 6

7. As it relates to this application for demolition/disposition, I certify to the following:

- That all information contained in the application is true as of the date of this application;
- That the proposed demolition or disposition is specifically authorized in the PHA plan; and the actions contemplated in the PHA Plan comply with Section 531, which amends Section 18 of the United States Housing Act of 1937.
- That this Agency will carry out its plan in conformity with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d-2000d-4), the Fair Housing Act (42 U.S.C. 3601-19), Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), and Title II of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.), and also certifies that it will affirmatively further fair housing.
- That this Agency will notify each family residing in the development of the proposed demolition or disposition 90 days prior to the displacement date, except in cases of imminent threat to health and safety;
 - Notification will be made that the development or portion of the development will be demolished or disposed of;
 - Each family displaced by such action will be provided comparable housing that meets HQS and that is located in an area that is generally not less desirable than the location of the displaced person's housing. This comparable housing may include: (a) actual relocation into tenant-based Section 8 housing, (b) housing with project-based assistance, or (c) other PHA properties;
 - Actual and reasonable moving costs will be paid by this Agency;
 - Any necessary counseling will be provided by this Agency, and;
 - Demolition or complete disposition will not commence until all residents residing in the building are relocated.

Name of Executive Director _____

Signature _____

Date _____

Section 3: Table I Proposed Demolition/Disposition

Summary where more than one development is included in the application.

Development No. & Name	0 - Bdrm Units	1 - Bdrm Units	2 - Bdrm Units	3 - Bdrm Units	4 & 4+ Units	Total Units	Resident Bldg.	Non-Resid. Bldg.	Total Bldgs.	Acres
Totals										

Sections 4 thru 9 must be completed for each development in the application. If more than one development is included in the application, reproduce these pages for each development and provide a summary in Section 3: Table I.

Section 4: Description of The Existing Property 24 CFR Part 970.8

1. Name of the Development						2. Development Number			
3. Date of Full Availability (mm/dd/yyyy)		4. No. of Residential Buildings		5. No. of Non-Residential Buildings		6. Date Constructed (mm/dd/yyyy)		7. Is Development a Scattered Site <input type="checkbox"/> Yes <input type="checkbox"/> No	
8. Number of Building Types Single FamilyHouses Duplexes 3-Plexes 4-Plexes Other (explain)				9. Number of Types of Structures Row House Units Walk-Up Units High Rise Units					
10. Existing Unit Distribution				Total Units Being Used for Non-Dwelling Purposes		Total Units in Development		11. Total Acres of the Development	
	FamilyUnits	ElderlyUnits							
0 Bdrm									
1 Bdrm									
2 Bdrms									
3 Bdrms									
4 or more Bdrms									
Total *									

* Enter in Section 6, line 4c.

Section 5: Description of Proposed Action by Project 24 CFR Parts 970.8 and 970.9

1. Type of action proposed: Check one
 Complete Demolition Partial Demolition Disposition Only Demolition and Disposition

2. Proposed Action By Unit Type		Units to be Demolished Only	Units to be Disposed of Only
0 Bdrm	Elderly		
0 Bdrm	Family		
1 Bdrm	Elderly		
1 Bdrm	Family		
2 Bdrms	Elderly		
2 Bdrms	Family		
3 Bdrms	Family		
4 or more Bdrms	Family		
Totals *			

3. Proposed Action By Building Type	Buildings to be Demolished Only	Buildings to be Disposed of Only
Residential Buildings		
Non-Residential Buildings		
Total Buildings		

4. Acres included in Proposed Disposition

5. Site Map (provide an attachment and reference it as Section 5, line 5)

6. If this is a Disposition Application, estimate of Project Debt \$

* Enter in Section 6, line 4a or b.

7. If application is a **partial** demolition/disposition of the **development**, provide the address, building number(s), or name of each building to be demolished or disposed of (**provide an attachment and reference it as Section 5, line 7**).

8. In the case of disposition of vacant land, provide the legal description of each parcel of land (**provide an attachment and reference it as Section 5, line 8**).

9. If **disposition**, what is the appraised value determined by an independent appraisal? (**include a copy of the appraisal and reference it as Section 5, line 9**) \$

10. Which of the following describe the proposed disposition? (check all that apply)

A. Disposition at Fair Market Value via Public Sale B. Negotiated Sale C. Sale at Less than Fair Market Value (e.g., donation)

If B and/or C are checked, **provide a justification and reference it as Section 5, line 10**. (see Instructions).

11. Calculation of Net Proceeds:

Estimated Sales Price	minus	Debt	minus	Cost & Fees	equals	Estimate Net Proceeds
\$	-	\$	-	\$	=	\$

12. How will the Net Proceeds be used? (**provide an attachment and reference it as Section 5, line 12**)

A. The HA requests a waiver for the requirement to repay the project debt: Yes No

13. **If Demolition**, (a) what is the estimated cost of demolition? (Include professional fees, hazardous waste removal, building and site improvement, demolition, and seeding and sodding of land. Do not include relocation costs or site improvements such as landscaping, playground, retaining walls, streets, sidewalks, etc.)

\$

(b) Indicate the source of funds and year: _____

14. General Timetable: The HA is to provide a brief timetable based on the number of days or weeks after approval of the application that the following major actions will occur:

- | | | | |
|---|----------------------|--|----------------------|
| 1. begin relocation of residents | <input type="text"/> | 2. complete relocation of residents | <input type="text"/> |
| 3. execution of demolition contract or disposition sales contract | <input type="text"/> | 4. demolition or disposition of the property | <input type="text"/> |

Section 6: Justification of Demolition or Disposition

1. Circle the reason that best applies to your case, and provide an attachment and reference it as Section 6 line 1 to support your position, as required in Section 531 of the Quality Housing and Work Responsibility Act of 1998.

Demolition.

Two Part Obsolescence Test

A. The project or a portion of a public housing project, that-

1. the project or portion of the public housing project is obsolete as to physical condition, location, or other factors, making it unsuitable for housing purposes; and
2. no reasonable program of modifications is cost-effective to return the public housing project or portion of the project to useful life;

Density Reduction

B. For an application proposing demolition of only a portion of a public housing development, that the demolition will help to ensure the viability of the remaining portion of the project. (This criterion may not be used for scattered sites or total demolition.)

Disposition.

In the case of an application proposing disposition by sale or other transfer (e.g. a lease for a year or more) of a public housing project or other real property subject to this title the retention of the property is not in the best interests of the residents or the public housing agency because;

Change In Neighborhood

C. Conditions in the areas surrounding the public housing project adversely affect the health or safety of the residents or the feasible operation of the project by the PHA; or

One-for-One Replacement

D. Disposition allows the acquisition, development, or rehabilitation of other properties that will be more efficiently or effectively operating as low-income housing;

Mixed-Finance and Other Reason

E. The public housing agency has otherwise determined the disposition to be appropriate for reasons that are-

1. in the best interests of the residents and the PHA;
2. consistent with the goals of the PHA and the PHA plan; and
3. otherwise consistent with this title; or

Non-Dwelling Structures and Land

F. For land and non-dwelling buildings, the property is (1) excess to the needs of a PHA project, or (2) the disposition is incidental to, or does not interfere with, continued operation of the public housing project;

2. Total Development Cost (TDC) Calculation

Based on HUD Notice _____ For Locality _____

If justification is based upon obsolescence of the units/buildings, complete the applicable calculation below for the unit proposed for demolition for each project.

	No. of Units	times	TDC per Unit	equals	TDC
0 - Bdrm Detached & Semi-detached		x		=	
0 - Bdrm Row Dwelling		x		=	
0 - Bdrm Walk-Up		x		=	
0 - Bdrm Elevator		x		=	
1 - Bdrm Detached & Semi-detached		x		=	
1 - Bdrm Row Dwelling		x		=	
1 - Bdrm Walk-Up		x		=	
1 - Bdrm Elevator		x		=	
2 - Bdrms Detached & Semi-detached		x		=	
2 - Bdrms Row Dwelling		x		=	
2 - Bdrms Walk-Up		x		=	
2 - Bdrms Elevator		x		=	
3 - Bdrms Detached & Semi-detached		x		=	
3 - Bdrms Row Dwelling		x		=	
3 - Bdrms Walk-Up		x		=	
3 - Bdrms Elevator		x		=	
4 - Bdrms Detached & Semi-detached		x		=	
4 - Bdrms Row Dwelling		x		=	
4 - Bdrms Walk-Up		x		=	
4 - Bdrms Elevator		x		=	
5 - Bdrms Detached & Semi-detached		x		=	
5 - Bdrms Row Dwelling		x		=	
5 - Bdrms Walk-Up		x		=	
5 - Bdrms Elevator		x		=	
6 - Bdrms Detached & Semi-detached		x		=	
6 - Bdrms Row Dwelling		x		=	
6 - Bdrms Walk-Up		x		=	
6 - Bdrms Elevator		x		=	
Total				=	\$

3. Estimated Cost of Rehabilitation.

Provide an attachment showing cost breakdown and reference it as Section 6, line 3 . \$ _____

4. How many of the following units are occupied at the time of application submission?

- a. Of the _____ (copy number from Section 5, line 2) units proposed for **demolition**, _____ (number) are occupied.
- b. Of the _____ (copy number from Section 5, line 2) units proposed for **disposition**, _____ (number) are occupied.
- c. Units **remaining** after demolition/disposition:
 _____ (total existing units; copy from Section 4, line 10) minus _____ (from 4a.) minus _____ (from 4b.) = _____ remaining units.

How many of the remaining units are occupied? _____

If any occupied units are listed in a or b, complete Section 7, line 1.

Occupancy

5. Occupancy Information as of the date of the application.

	Occupied Units	Units Vacant for less than 12 months	Units Vacant for 12 or more months	Total Vacant Units	Total Units Occupied and Vacant
0 - Bdrm					
1 - Bdrm					
2 - Bdrms					
3 - Bdrms					
4 - Bdrms					
5 - Bdrms					
6 - Bdrms					
Totals					

Section 7: Relocation 24 CFR Part 970.8

- 1. How many **individuals** will be affected by this action?
- 2. How will counseling and advisory services be provided? **Provide an attachment explaining and reference it as Section 7, line 2 .**
- 3. What housing resources are expected to used for relocation?
 Other Public Housing Section 8 Other **(Provide an attachment explaining and reference it as Section 7, line 3 .)**

	Per Unit Cost	x	No. of Units	=	Total
4. Estimated cost of counseling and advisory services \$		x		=	
5. Estimated cost of moving expenses \$		x		=	
6. Total cost of relocation expenses					\$

- 7. What sources of funding will be used to pay for relocation activities?
 Operating Funds CFP _____ Other **(Provide an attachment explaining and reference it as Section 7, line 7 .)**

FY

Section 8: Resident Consultation 24 CFR Parts 970.4 and 970.8

- 1. Describe how the residents of the development were informed and consulted about this activity and reference it as Section 8 line 1
- 2. If there is an organization representing the residents of the development in this application, identify the group, and describe how you informed and consulted with them by referencing Section 8 line 2. If there is not a resident organization representing this development please check here:
- 3. If there is an organization representing the residents of the whole HA, identify the group, and describe how you informed and consulted with them by referencing Section 8 line 3. If there is not a resident organization representing the whole HA, please check here:
- 4. Describe, and identify, how you informed the Resident Advisory Board (RAB), as defined by 24 CFR Section 903.13, of the proposed activity by referencing Section 8 line 4.
- 5. Did you receive any written comments concerning this application? Yes No If you received written comments, please include a copy of what you received and your analysis of them, and reference Section 8 line 5.

Section 9: Section 412 Offer of Sale 24 CFR Part 970.13 This Section applies to Disposition and Demolition/Disposition Only

- 1. Did the HA provide an offer of sale to the resident organization(s) at the development? Yes No
If "yes," provide documentation of offer and response or certification of non-response and reference it as Section 9, line 1 .
 - 2. If no organization existed, provide an explanation and reference it as Section 9, line 2 .
 - 3. Is the HA exercising any of the exceptions to the offer of sale requirement permitted by 24 CFR 970.13(a)(2)? Yes No
 If "yes," which of the following exceptions apply? **Check the one that applies and reference it as Section 9, line 3.**
- 970.13(a)(2) (v) A public body has requested to acquire vacant land that is less than two acres in order to build or expand its services (e.g., a local government wishes to use the land to build or establish a police substation).
- 970.13(a)(2) (vi) PHA seeks disposition outside the public housing program to privately finance or otherwise develop a facility to benefit low-income families (e.g., day care center, administrative building, other types of low-income housing).

Demolition/Disposition Application Instructions

Instructions for completing the HUD-52860, Application for Demolition/Disposition. Please fill out all of the information requested. Instructions and explanations are provided for those items which may not be self-explanatory. If you have questions about how to fill out this application, please contact the Special Applications Center (SAC).

Section 1: General Information

Item 1. Name of PHA - Please provide the full authority name, as well as the abbreviation that is preferred.

Item 2. Date of Application - The date the application was put in the mail.

Item 3. Address - Please provide a mailing address, other than a PO Box for express mail delivery.

Item 6. Primary contact - Identify the individual who was responsible for putting the application together, and is empowered to provide supplemental information, if needed.

Section 2: Long-Term Possible Impact of Proposed Action

The actions covered by this application have many financial ramifications and the action proposed can only be reversed at the discretion of the Department. Prior to deciding to embark on a program of demolition or disposition, the HA staff should have determined: (1) that no other solution is feasible e.g., a new marketing strategy, or unit conversion, etc. (2) analyzed how much it costs to operate the unit or units proposed for demolition or disposition and (3) determined how much these units represent in Capital Funding Program (CFP) and operating subsidy (Performance Funding System (PFS)) funds. The HA should acknowledge that as the HA's inventory is reduced because of demolition or disposition there will be a reduction in the PFS and the CFP, if there is no replacement housing. In some cases these reductions will be phased in over a period of time. For specific information on which units (e.g., units proposed for demolition or disposition, vacant units or occupied units, etc.) are subject to a phase down in funding, see the appropriate regulatory reference for the funding program in question. The HA should also understand that after a period in time, the reduction in Federal income will reach a steady state. The purpose of requiring an estimate in the reduction of Federal funding is to show that the HA has performed an analysis and is aware that a reduction may take place.

Section 3: Board Resolution Mayor's Letter and Environmental Review

Items 1 and 2.

A Board Resolution is required in support of the proposed activity. The Board Resolution should be dated after the last resident meeting to show the Board is aware of all resident comments concerning the application. Provide the date of the resolution and the resolution number, if the HA numbers its resolutions.

Items 3 - 4. Please fill out the information on your actions in arranging for the review and identify who is performing the review.

Item 6: Please provide a copy of a letter from the "appropriate government official" acknowledging discussion about this activity. For HA's serving a county, or other large jurisdiction, this may be the County Commissioner or the mayor of the municipality where the action is taking place. If this letter is signed by the City Manager, please provide a statement from the HA's counsel that this is appropriate for this situation, and meets the intent of the Quality Housing Work Responsibility Act of 1998 (QHWRA).

Table 1: Summary of Units to be Demolished/Disposed Where More Than One Development is Included in the Application.

Complete this table only when the HA's application contains more than one development, as identified by its unique public housing development number, in the application. For example, if the HA is proposing to demolish or dispose of four developments, then all four developments must be identified on this table with appropriate bedroom distribution, number of buildings and acres.

Sections 4 - 9 must be completed for each development in the application.

Section 4: Description of Property

The HA should be sure to describe the number of buildings, units, and total acres for the entire development as it currently exists. This is essential baseline information for the SAC.

Please note that although an application may contain multiple projects, under the current regulations, compliance with the regulations is determined on a project-by-project basis. Subsequent HUD approval and tracking is also performed at the project level.

Item 2. Development Number - Please use the HUD development number. All development numbers are at least 11 characters long. A few are up to 14 characters long for older developments. (Do not use the Major Reconstruction of Obsolete Projects number or URD number.)

Item 3. Date of Full Availability (DOFA)

Item 6. Date of Construction - applies to those developments that were acquired as part of the development process and reconstructed at the time of development. Therefore, for these acquired developments, the DOFA date is not a true indicator of the age of the developments.

Item 11. Total Acres of the Development. Give the total number of acres that currently exist in the development. The system recognizes to two decimal places (1234.56).

Section 5: Description of Proposed Action by Project

Item 1. Type of Action Proposed. It is possible for a HA to request approval for a demolition and disposition in one application. However, the applicant must meet the regulatory requirements for both actions. See the summary of application requirements in 24 CFR Part 970.8. For example, an appraisal is required for a disposition or a demolition/disposition application but not for a demolition application. Furthermore, the HA must justify to the satisfaction of HUD its rationale for spending Federal funds, usually from the Capital Funding Program (CFP), for the demolition of units when the property will be leaving (e.g., disposition action) the public housing inventory.

Item 3. The HA will use this item to identify residential and non-residential buildings proposed for demolition and/or disposition.

Item 4. Acres Included in Proposed Disposition. The HUD data systems track this in acres. The system recognizes up to two decimal places (1234.56).

Item 5. A site map is critical in examining partial demolition/disposition requests. Please mark clearly the units and buildings proposed for demolition or disposition on the site map. (A copy of a site map for each development must be attached to the application form.)

Item 6. Estimate of Project Debt. For a disposition application only, provide the estimate of debt for each development in the application. The SAC or the HUD Field Office has access to this information through the Chief Financial Officer (CFO), if the HA does not have the information in a letter from HUD.

Item 7. In the attachment, the HA should explain why it selected the particular units and buildings to be demolished in the case of partial demolition. For example, in the case of demolition of a section of the development, clearly explain why the HA is proposing to demolish this section rather than another. Also, note that once the partial demolition application is approved by the SAC, the HA cannot change units in the approval without HUD's approval.

Item 9. The estimated sale price must be based on an appraisal. A copy of the appraisal must be included in the application. This requirement is only for a Disposition or a Demolition/Disposition application.

Item 10. If a HA elects (B) Negotiated Sale as the method of disposition, it must specify the disposition cost as either fair market value (FMV) or (C) less than FMV. See 24 CFR Part 970.9(a) of the regulations for guidance on the justification for a negotiated sale or sale at less than fair market value. An attachment describing a sale identified as (B) or (C) is required, along with a description of the benefit the action will have to the HA's residents or those individuals on the HA's waiting list.

Item 11. Calculation of Net Proceeds. If the HA does not know if there is still outstanding debt, contact your local HUD servicing office. The Center will update the debt amount at the time of application review.

Item 12. QHWRA allows net proceeds to be used for:

- “(1) the provision of low-income housing or to benefit the residents of the public housing agency: or
- (2) leveraging amounts for securing commercial enterprises, on-site in public housing projects of the public housing agency appropriate to serve the needs of the residents”

Provide a description of the proposed use of the net proceeds in the attachment. The Department must approve use of proceeds.

Item 12A. Under QHWRA, the Department may waive the requirement to repay outstanding debt from net proceeds if the HA intends to use the proceeds for one of the reasons allowed by the Statute. This is not a waiver of the debt, just the requirement to repay the debt as part of this disposition activity.

Item 13. Indicate source of funds. Identify the source(s) of funding for the demolition or disposition (e.g., Capital Funding Program) and estimated amount of funds needed. You may not use funds that are subject to a Notice of Funding Availability notification (NOFA) process.

Section 6: Justification of Demolition or Disposition

1. The applicable criteria for demolition are found in 24 CFR Parts 970.6 and 970.7 for disposition and as modified by the QHWRA of 1998. It is possible to use the demolition justification of obsolescence to support a disposition action.

Item A. The justification that has been the most difficult for HAs to document is obsolescence because it is a two-part test.

“The HA must provide evidence of obsolescence, such as: a structural problem with the building (as substantiated by an engineering report), an environmental issue related to hazardous substances at the site, a loss of access to public transportation or schools due to highways constructed surrounding the project after it was built, or a change to the character of the neighborhood due to the introduction of commercial activity.”

In addition, to documentation of some type of obsolescence, the HA must demonstrate that rehabilitation is not reasonable. The applicant must demonstrate to HUD that the cost of rehabilitation compared with the cost guidelines for that development (i.e., 90 percent of TDC) is excessive or that it is unreasonable. Completing items 2 and 3 of this section will provide the HA with the TDC and the estimated cost of rehabilitation. The SAC will make the necessary cost comparison.

Item B. Density Reduction is relatively simple to prove, but it still has to be justified. A comparison to the neighborhood, or the rest of the HA's housing stock could be one way of showing the subject development is too dense. Density reduction cannot be a way to do redevelopment. If an HA wishes to demolish a portion of a site in order to redevelop it, even it is with fewer units, the HA must prove obsolescence as the reason for demolition.

Item D. A HA using this reason for disposition is expected to provide replacement housing for each unit that will be lost to the public housing inventory. This replacement housing may come from either the proceeds of the sale, another source or any combination of those resources. These units do not have to be public housing units but they must serve low-income families in the community. This particular justification is not tied to the suspension of the one-for-one replacement requirement.

Section 7: Relocation

Item 1. Identify total number of individual residents including children. Do not provide number of households. If the units proposed for demolition are vacant, the HA should clearly explain in the application the circumstances that led to the units being vacant, when the residents were relocated (e.g., beginning in May 1997 until July 14, 1997), the resources used, and where the residents were relocated to.

Section 8: Resident Consultation

24 CFR Part 970.8(e) The regulation requires general resident consultation, however, it does not specify how the consultation should be done. The method of consultation is, therefore, at the HA's discretion. However, any consultation must be documented. This is one of two resident requirements in the regulation.

The application should document that the HA contacted the residents of the affected development and both the resident organization at the affected development (i.e., the development where the demolition or disposition is proposed), as well as the HA-wide resident organization(s). QHWRA also requires a consultation with the Resident Advisory Board. Many HAs mistakenly think that since the 24 CFR Part 970.13, the requirement for the offer of sale to the resident organization of any property proposed for disposition, is limited to the resident organization at the development, and that general resident consultation is likewise limited. Not true.

If prior to submission of the application the residents at the development were temporarily moved for modernization and the HA later decided to demolish or sell the property, the HA must go back to the residents and conduct consultation over the proposed action.

Section 9: Section 412 Offer of Sale

(This requirement is often referred to as the 412 requirement, because it was established by Section 412 of the Cranston- Gonzalez National Affordable Housing Act of 1990)

This is the second resident requirement in the regulation. HAs are required to offer the units proposed for disposition to the resident organization at the affected development. However, the regulation does allow for exceptions to this opportunity to offer.

Item 3. The HA should review the two exceptions, identified in 24 CFR Part 970.13(a)(2), to determine if the requirement to make an offer to the resident organization is applicable. HAs are required to provide documentation, in order to claim any of the exceptions.

An application submitted to the Department should include one of the following:

- (a) where there is a resident organization, a copy of the letter to the resident organization and the resident organization's letter of negative response.
- (b) where there is no resident organization at the development, a certification from the Executive Director or Board that there is no resident organization.
- (c) an explanation of why the proposed demolition or disposition action should be exempt from the Section 412 requirements (see Section 24 CFR Part 970.13(a)(2), including evidence to justify the use of the exemption, as required in the regulation.
- (d) a certification from the Executive Director or Board stating that the resident organization at the development was contacted and the 30-day time frame expired without response from the organization.

Demolition / Disposition Application

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

OMB Approval No. 2577-0075
(exp. 03/31/2005)

Public reporting burden for this collection of information is estimated to average 16 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

This information is required to request permission to demolish or sell all or portion of a development (i.e., dwelling units, non-dwelling property or vacant land) owned and operated by a Housing Authority. The information requested in the application is based on requirements of Section 18 of the United States Housing Act of 1937, as amended and 24 CFR Part 970. HUD will use the information to determine whether, and under what circumstances, to permit HAs to demolish or sell all or a portion of a public housing development. Responses to the collection of information are statutory and regulatory to obtain a benefit. Approval of this application does not constitute approval for funding of the demolition or disposition action. The information requested does not lend itself to confidentiality.

Section 1: General Information

1. Name of PHA:		2. Date of Application: (mm/dd/yyyy)		
3. Address of PHA No. & Street:		City:	State:	Zip code:
4. Phone No. of PHA:	Fax No:	E:mail Address:		
5. Executive Director's Name:				
Phone No:	Fax No:	E:mail Address:		
6. Primary Contact's Name:				
Phone No:	Fax No:	E:mail Address:		

Section 2: Long-Term Possible Impact of Proposed Action

1. Performance Funding Subsidy (PFS)

In FY _____, this HA received \$_____ per unit in PFS funds.

The HA realizes that after this activity takes place, PFS will decrease by \$_____ /year. (number of units proposed X subsidy per unit)

2. Capital Funding Program (CFP)

In FY _____, this HA received \$_____ per unit in CFP funds.

The HA realizes that after this activity takes place, CFP funding will decrease approximately by \$_____ /year.

Section 3: Board Resolution, 24 CFR Part 970.8, Environmental Review, 24 CFR Parts 50 and 58, and Local Government Consultation

1. Board Resolution Number _____ 2. Date of Board Resolution _____

Attach a copy of the Board Resolution and reference it as Section 3, line 1.

3. Who is conducting the environmental review? Field Office under 24 CFR Part 50 Responsible Entity under 24 CFR Part 58

4. Give the date(s) the HA contacted the HUD Field Office to initiate the environmental review for all the developments in the application.

5. If the environmental review is to be performed by a responsible entity, name the entity.

6. Letter of Acknowledgement from Local Government Official dated _____.

Attach a copy and reference it as Section 3 Line 6

7. As it relates to this application for demolition/disposition, I certify to the following:
- That all information contained in the application is true as of the date of this application;
 - That the proposed demolition or disposition is specifically authorized in the PHA plan; and the actions contemplated in the PHA Plan comply with Section 531, which amends Section 18 of the United States Housing Act of 1937.
 - That this Agency will carry out its plan in conformity with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d-2000d-4), the Fair Housing Act (42 U.S.C. 3601-19), Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), and Title II of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.), and also certifies that it will affirmatively further fair housing.
 - That this Agency will notify each family residing in the development of the proposed demolition or disposition 90 days prior to the displacement date, except in cases of imminent threat to health and safety;
 - Notification will be made that the development or portion of the development will be demolished or disposed of;
 - Each family displaced by such action will be provided comparable housing that meets HQS and that is located in an area that is generally not less desirable than the location of the displaced person's housing. This comparable housing may include: (a) actual relocation into tenant-based Section 8 housing, (b) housing with project-based assistance, or (c) other PHA properties;
 - Actual and reasonable moving costs will be paid by this Agency;
 - Any necessary counseling will be provided by this Agency, and;
 - Demolition or complete disposition will not commence until all residents residing in the building are relocated.

Name of Executive Director _____

Signature _____

Date _____

Section 3: Table I Proposed Demolition/Disposition

Summary where more than one development is included in the application.

Development No. & Name	0 - Bdrm Units	1 - Bdrm Units	2 - Bdrm Units	3 - Bdrm Units	4 & 4+ Units	Total Units	Resident Bldg.	Non-Resid. Bldg.	Total Bldgs.	Acres
Totals										

Sections 4 thru 9 must be completed for each development in the application. If more than one development is included in the application, reproduce these pages for each development and provide a summary in Section 3: Table I.

Section 4: Description of The Existing Property 24 CFR Part 970.8

1. Name of the Development						2. Development Number			
3. Date of Full Availability (mm/dd/yyyy)		4. No. of Residential Buildings		5. No. of Non-Residential Buildings		6. Date Constructed (mm/dd/yyyy)		7. Is Development a Scattered Site <input type="checkbox"/> Yes <input type="checkbox"/> No	
8. Number of Building Types Single FamilyHouses Duplexes 3-Plexes 4-Plexes Other (explain)				9. Number of Types of Structures Row House Units Walk-Up Units High Rise Units					
10. Existing Unit Distribution				Total Units Being Used for Non-Dwelling Purposes		Total Units in Development		11. Total Acres of the Development	
	FamilyUnits	ElderlyUnits							
0 Bdrm									
1 Bdrm									
2 Bdrms									
3 Bdrms									
4 or more Bdrms									
Total *									

* Enter in Section 6, line 4c.

Section 5: Description of Proposed Action by Project 24 CFR Parts 970.8 and 970.9

1. Type of action proposed: Check one
 Complete Demolition Partial Demolition Disposition Only Demolition and Disposition

2. Proposed Action By Unit Type		Units to be Demolished Only	Units to be Disposed of Only
0 Bdrm	Elderly		
0 Bdrm	Family		
1 Bdrm	Elderly		
1 Bdrm	Family		
2 Bdrms	Elderly		
2 Bdrms	Family		
3 Bdrms	Family		
4 or more Bdrms	Family		
Totals *			

3. Proposed Action By Building Type	Buildings to be Demolished Only	Buildings to be Disposed of Only
Residential Buildings		
Non-Residential Buildings		
Total Buildings		

4. Acres included in Proposed Disposition

5. Site Map (provide an attachment and reference it as Section 5, line 5)

6. If this is a Disposition Application, estimate of Project Debt \$

* Enter in Section 6, line 4a or b.

7. If application is a **partial** demolition/disposition of the **development**, provide the address, building number(s), or name of each building to be demolished or disposed of (provide an attachment and reference it as Section 5, line 7).

8. In the case of disposition of vacant land, provide the legal description of each parcel of land (provide an attachment and reference it as Section 5, line 8).

9. If **disposition**, what is the appraised value determined by an independent appraisal? (include a copy of the appraisal and reference it as Section 5, line 9)

10. Which of the following describe the proposed disposition? (check all that apply)

- A. Disposition at Fair Market Value via Public Sale B. Negotiated Sale C. Sale at Less than Fair Market Value (e.g., donation)

If B and/or C are checked, provide a justification and reference it as Section 5, line 10. (see Instructions).

11. Calculation of Net Proceeds:

Estimated Sales Price	minus	Debt	minus	Cost & Fees	equals	Estimate Net Proceeds
\$	-	\$	-	\$	=	\$

12. How will the Net Proceeds be used? (provide an attachment and reference it as Section 5, line 12)

- A. The HA requests a waiver for the requirement to repay the project debt: Yes No

13. **If Demolition**, (a) what is the estimated cost of demolition? (Include professional fees, hazardous waste removal, building and site improvement, demolition, and seeding and sodding of land. Do not include relocation costs or site improvements such as landscaping, playground, retaining walls, streets, sidewalks, etc.)

\$

(b) Indicate the source of funds and year: _____

14. General Timetable: The HA is to provide a brief timetable based on the number of days or weeks after approval of the application that the following major actions will occur:

- | | | | |
|---|----------------------|--|----------------------|
| 1. begin relocation of residents | <input type="text"/> | 2. complete relocation of residents | <input type="text"/> |
| 3. execution of demolition contract or disposition sales contract | <input type="text"/> | 4. demolition or disposition of the property | <input type="text"/> |

Section 6: Justification of Demolition or Disposition

1. Circle the reason that best applies to your case, and provide an attachment and reference it as Section 6 line 1 to support your position, as required in Section 531 of the Quality Housing and Work Responsibility Act of 1998.

Demolition.

Two Part Obsolescence Test

A. The project or a portion of a public housing project, that-

1. the project or portion of the public housing project is obsolete as to physical condition, location, or other factors, making it unsuitable for housing purposes; and
2. no reasonable program of modifications is cost-effective to return the public housing project or portion of the project to useful life;

Density Reduction

B. For an application proposing demolition of only a portion of a public housing development, that the demolition will help to ensure the viability of the remaining portion of the project. (This criterion may not be used for scattered sites or total demolition.)

Disposition.

In the case of an application proposing disposition by sale or other transfer (e.g. a lease for a year or more) of a public housing project or other real property subject to this title the retention of the property is not in the best interests of the residents or the public housing agency because;

Change In Neighborhood

C. Conditions in the areas surrounding the public housing project adversely affect the health or safety of the residents or the feasible operation of the project by the PHA; or

One-for-One Replacement

D. Disposition allows the acquisition, development, or rehabilitation of other properties that will be more efficiently or effectively operating as low-income housing;

Mixed-Finance and Other Reason

E. The public housing agency has otherwise determined the disposition to be appropriate for reasons that are-

1. in the best interests of the residents and the PHA;
2. consistent with the goals of the PHA and the PHA plan; and
3. otherwise consistent with this title; or

Non-Dwelling Structures and Land

F. For land and non-dwelling buildings, the property is (1) excess to the needs of a PHA project, or (2) the disposition is incidental to, or does not interfere with, continued operation of the public housing project;

2. Total Development Cost (TDC) Calculation

Based on HUD Notice _____ For Locality _____

If justification is based upon obsolescence of the units/buildings, complete the applicable calculation below for the unit proposed for demolition for each project.

	No. of Units	times	TDC per Unit	equals	TDC
0 - Bdrm Detached & Semi-detached		x		=	
0 - Bdrm Row Dwelling		x		=	
0 - Bdrm Walk-Up		x		=	
0 - Bdrm Elevator		x		=	
1 - Bdrm Detached & Semi-detached		x		=	
1 - Bdrm Row Dwelling		x		=	
1 - Bdrm Walk-Up		x		=	
1 - Bdrm Elevator		x		=	
2 - Bdrms Detached & Semi-detached		x		=	
2 - Bdrms Row Dwelling		x		=	
2 - Bdrms Walk-Up		x		=	
2 - Bdrms Elevator		x		=	
3 - Bdrms Detached & Semi-detached		x		=	
3 - Bdrms Row Dwelling		x		=	
3 - Bdrms Walk-Up		x		=	
3 - Bdrms Elevator		x		=	
4 - Bdrms Detached & Semi-detached		x		=	
4 - Bdrms Row Dwelling		x		=	
4 - Bdrms Walk-Up		x		=	
4 - Bdrms Elevator		x		=	
5 - Bdrms Detached & Semi-detached		x		=	
5 - Bdrms Row Dwelling		x		=	
5 - Bdrms Walk-Up		x		=	
5 - Bdrms Elevator		x		=	
6 - Bdrms Detached & Semi-detached		x		=	
6 - Bdrms Row Dwelling		x		=	
6 - Bdrms Walk-Up		x		=	
6 - Bdrms Elevator		x		=	
Total				=	\$

3. Estimated Cost of Rehabilitation.

Provide an attachment showing cost breakdown and reference it as Section 6, line 3 . \$ _____

4. How many of the following units are occupied at the time of application submission?

- a. Of the _____ (copy number from Section 5, line 2) units proposed for **demolition**, _____ (number) are occupied.
- b. Of the _____ (copy number from Section 5, line 2) units proposed for **disposition**, _____ (number) are occupied.
- c. Units **remaining** after demolition/disposition:
 _____ (total existing units; copy from Section 4, line 10) minus _____ (from 4a.) minus _____ (from 4b.) = _____ remaining units.

How many of the remaining units are occupied? _____

If any occupied units are listed in a or b, complete Section 7, line 1.

Occupancy

5. Occupancy Information as of the date of the application.

	Occupied Units	Units Vacant for less than 12 months	Units Vacant for 12 or more months	Total Vacant Units	Total Units Occupied and Vacant
0 - Bdrm					
1 - Bdrm					
2 - Bdrms					
3 - Bdrms					
4 - Bdrms					
5 - Bdrms					
6 - Bdrms					
Totals					

Section 7: Relocation 24 CFR Part 970.8

- 1. How many **individuals** will be affected by this action?
- 2. How will counseling and advisory services be provided? **Provide an attachment explaining and reference it as Section 7, line 2 .**
- 3. What housing resources are expected to used for relocation?
 Other Public Housing Section 8 Other **(Provide an attachment explaining and reference it as Section 7, line 3 .)**

	Per Unit Cost	x	No. of Units	=	Total
4. Estimated cost of counseling and advisory services \$		x		=	
5. Estimated cost of moving expenses \$		x		=	
6. Total cost of relocation expenses					\$

- 7. What sources of funding will be used to pay for relocation activities?
 Operating Funds CFP _____ Other **(Provide an attachment explaining and reference it as Section 7, line 7 .)**

FY

Section 8: Resident Consultation 24 CFR Parts 970.4 and 970.8

- 1. Describe how the residents of the development were informed and consulted about this activity and reference it as Section 8 line 1
- 2. If there is an organization representing the residents of the development in this application, identify the group, and describe how you informed and consulted with them by referencing Section 8 line 2. If there is not a resident organization representing this development please check here:
- 3. If there is an organization representing the residents of the whole HA, identify the group, and describe how you informed and consulted with them by referencing Section 8 line 3. If there is not a resident organization representing the whole HA, please check here:
- 4. Describe, and identify, how you informed the Resident Advisory Board (RAB), as defined by 24 CFR Section 903.13, of the proposed activity by referencing Section 8 line 4.
- 5. Did you receive any written comments concerning this application? Yes No If you received written comments, please include a copy of what you received and your analysis of them, and reference Section 8 line 5.

Section 9: Section 412 Offer of Sale 24 CFR Part 970.13 This Section applies to Disposition and Demolition/Disposition Only

- 1. Did the HA provide an offer of sale to the resident organization(s) at the development? Yes No
If "yes," provide documentation of offer and response or certification of non-response and reference it as Section 9, line 1 .
 - 2. If no organization existed, provide an explanation and reference it as Section 9, line 2 .
 - 3. Is the HA exercising any of the exceptions to the offer of sale requirement permitted by 24 CFR 970.13(a)(2)? Yes No
 If "yes," which of the following exceptions apply? **Check the one that applies and reference it as Section 9, line 3.**
- 970.13(a)(2) (v) A public body has requested to acquire vacant land that is less than two acres in order to build or expand its services (e.g., a local government wishes to use the land to build or establish a police substation).
- 970.13(a)(2) (vi) PHA seeks disposition outside the public housing program to privately finance or otherwise develop a facility to benefit low-income families (e.g., day care center, administrative building, other types of low-income housing).

Demolition/Disposition Application Instructions

Instructions for completing the HUD-52860, Application for Demolition/Disposition. Please fill out all of the information requested. Instructions and explanations are provided for those items which may not be self-explanatory. If you have questions about how to fill out this application, please contact the Special Applications Center (SAC).

Section 1: General Information

Item 1. Name of PHA - Please provide the full authority name, as well as the abbreviation that is preferred.

Item 2. Date of Application - The date the application was put in the mail.

Item 3. Address - Please provide a mailing address, other than a PO Box for express mail delivery.

Item 6. Primary contact - Identify the individual who was responsible for putting the application together, and is empowered to provide supplemental information, if needed.

Section 2: Long-Term Possible Impact of Proposed Action

The actions covered by this application have many financial ramifications and the action proposed can only be reversed at the discretion of the Department. Prior to deciding to embark on a program of demolition or disposition, the HA staff should have determined: (1) that no other solution is feasible e.g., a new marketing strategy, or unit conversion, etc. (2) analyzed how much it costs to operate the unit or units proposed for demolition or disposition and (3) determined how much these units represent in Capital Funding Program (CFP) and operating subsidy (Performance Funding System (PFS)) funds. The HA should acknowledge that as the HA's inventory is reduced because of demolition or disposition there will be a reduction in the PFS and the CFP, if there is no replacement housing. In some cases these reductions will be phased in over a period of time. For specific information on which units (e.g., units proposed for demolition or disposition, vacant units or occupied units, etc.) are subject to a phase down in funding, see the appropriate regulatory reference for the funding program in question. The HA should also understand that after a period in time, the reduction in Federal income will reach a steady state. The purpose of requiring an estimate in the reduction of Federal funding is to show that the HA has performed an analysis and is aware that a reduction may take place.

Section 3: Board Resolution Mayor's Letter and Environmental Review

Items 1 and 2.

A Board Resolution is required in support of the proposed activity. The Board Resolution should be dated after the last resident meeting to show the Board is aware of all resident comments concerning the application. Provide the date of the resolution and the resolution number, if the HA numbers its resolutions.

Items 3 - 4. Please fill out the information on your actions in arranging for the review and identify who is performing the review.

Item 6: Please provide a copy of a letter from the "appropriate government official" acknowledging discussion about this activity. For HA's serving a county, or other large jurisdiction, this may be the County Commissioner or the mayor of the municipality where the action is taking place. If this letter is signed by the City Manager, please provide a statement from the HA's counsel that this is appropriate for this situation, and meets the intent of the Quality Housing Work Responsibility Act of 1998 (QHWRA).

Table 1: Summary of Units to be Demolished/Disposed Where More Than One Development is Included in the Application.

Complete this table only when the HA's application contains more than one development, as identified by its unique public housing development number, in the application. For example, if the HA is proposing to demolish or dispose of four developments, then all four developments must be identified on this table with appropriate bedroom distribution, number of buildings and acres.

Sections 4 - 9 must be completed for each development in the application.

Section 4: Description of Property

The HA should be sure to describe the number of buildings, units, and total acres for the entire development as it currently exists. This is essential baseline information for the SAC.

Please note that although an application may contain multiple projects, under the current regulations, compliance with the regulations is determined on a project-by-project basis. Subsequent HUD approval and tracking is also performed at the project level.

Item 2. Development Number - Please use the HUD development number. All development numbers are at least 11 characters long. A few are up to 14 characters long for older developments. (Do not use the Major Reconstruction of Obsolete Projects number or URD number.)

Item 3. Date of Full Availability (DOFA)

Item 6. Date of Construction - applies to those developments that were acquired as part of the development process and reconstructed at the time of development. Therefore, for these acquired developments, the DOFA date is not a true indicator of the age of the developments.

Item 11. Total Acres of the Development. Give the total number of acres that currently exist in the development. The system recognizes to two decimal places (1234.56).

Section 5: Description of Proposed Action by Project

Item 1. Type of Action Proposed. It is possible for a HA to request approval for a demolition and disposition in one application. However, the applicant must meet the regulatory requirements for both actions. See the summary of application requirements in 24 CFR Part 970.8. For example, an appraisal is required for a disposition or a demolition/disposition application but not for a demolition application. Furthermore, the HA must justify to the satisfaction of HUD its rationale for spending Federal funds, usually from the Capital Funding Program (CFP), for the demolition of units when the property will be leaving (e.g., disposition action) the public housing inventory.

Item 3. The HA will use this item to identify residential and non-residential buildings proposed for demolition and/or disposition.

Item 4. Acres Included in Proposed Disposition. The HUD data systems track this in acres. The system recognizes up to two decimal places (1234.56).

Item 5. A site map is critical in examining partial demolition/disposition requests. Please mark clearly the units and buildings proposed for demolition or disposition on the site map. (A copy of a site map for each development must be attached to the application form.)

Item 6. Estimate of Project Debt. For a disposition application only, provide the estimate of debt for each development in the application. The SAC or the HUD Field Office has access to this information through the Chief Financial Officer (CFO), if the HA does not have the information in a letter from HUD.

Item 7. In the attachment, the HA should explain why it selected the particular units and buildings to be demolished in the case of partial demolition. For example, in the case of demolition of a section of the development, clearly explain why the HA is proposing to demolish this section rather than another. Also, note that once the partial demolition application is approved by the SAC, the HA cannot change units in the approval without HUD's approval.

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- “(1) the provision of low-income housing or to benefit the residents of the public housing agency: or
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Provide a description of the proposed use of the net proceeds in the attachment. The Department must approve use of proceeds.

Item 12A. Under QHWRA, the Department may waive the requirement to repay outstanding debt from net proceeds if the HA intends to use the proceeds for one of the reasons allowed by the Statute. This is not a waiver of the debt, just the requirement to repay the debt as part of this disposition activity.

Item 13. Indicate source of funds. Identify the source(s) of funding for the demolition or disposition (e.g., Capital Funding Program) and estimated amount of funds needed. You may not use funds that are subject to a Notice of Funding Availability notification (NOFA) process.

Section 6: Justification of Demolition or Disposition

1. The applicable criteria for demolition are found in 24 CFR Parts 970.6 and 970.7 for disposition and as modified by the QHWRA of 1998. It is possible to use the demolition justification of obsolescence to support a disposition action.

Item A. The justification that has been the most difficult for HAs to document is obsolescence because it is a two-part test.

“The HA must provide evidence of obsolescence, such as: a structural problem with the building (as substantiated by an engineering report), an environmental issue related to hazardous substances at the site, a loss of access to public transportation or schools due to highways constructed surrounding the project after it was built, or a change to the character of the neighborhood due to the introduction of commercial activity.”

In addition, to documentation of some type of obsolescence, the HA must demonstrate that rehabilitation is not reasonable. The applicant must demonstrate to HUD that the cost of rehabilitation compared with the cost guidelines for that development (i.e., 90 percent of TDC) is excessive or that it is unreasonable. Completing items 2 and 3 of this section will provide the HA with the TDC and the estimated cost of rehabilitation. The SAC will make the necessary cost comparison.

Item B. Density Reduction is relatively simple to prove, but it still has to be justified. A comparison to the neighborhood, or the rest of the HA's housing stock could be one way of showing the subject development is too dense. Density reduction cannot be a way to do redevelopment. If an HA wishes to demolish a portion of a site in order to redevelop it, even it is with fewer units, the HA must prove obsolescence as the reason for demolition.

Item D. A HA using this reason for disposition is expected to provide replacement housing for each unit that will be lost to the public housing inventory. This replacement housing may come from either the proceeds of the sale, another source or any combination of those resources. These units do not have to be public housing units but they must serve low-income families in the community. This particular justification is not tied to the suspension of the one-for-one replacement requirement.

Section 7: Relocation

Item 1. Identify total number of individual residents including children. Do not provide number of households. If the units proposed for demolition are vacant, the HA should clearly explain in the application the circumstances that led to the units being vacant, when the residents were relocated (e.g., beginning in May 1997 until July 14, 1997), the resources used, and where the residents were relocated to.

Section 8: Resident Consultation

24 CFR Part 970.8(e) The regulation requires general resident consultation, however, it does not specify how the consultation should be done. The method of consultation is, therefore, at the HA's discretion. However, any consultation must be documented. This is one of two resident requirements in the regulation.

The application should document that the HA contacted the residents of the affected development and both the resident organization at the affected development (i.e., the development where the demolition or disposition is proposed), as well as the HA-wide resident organization(s). QHWRA also requires a consultation with the Resident Advisory Board. Many HAs mistakenly think that since the 24 CFR Part 970.13, the requirement for the offer of sale to the resident organization of any property proposed for disposition, is limited to the resident organization at the development, and that general resident consultation is likewise limited. Not true.

If prior to submission of the application the residents at the development were temporarily moved for modernization and the HA later decided to demolish or sell the property, the HA must go back to the residents and conduct consultation over the proposed action.

Section 9: Section 412 Offer of Sale

(This requirement is often referred to as the 412 requirement, because it was established by Section 412 of the Cranston- Gonzalez National Affordable Housing Act of 1990)

This is the second resident requirement in the regulation. HAs are required to offer the units proposed for disposition to the resident organization at the affected development. However, the regulation does allow for exceptions to this opportunity to offer.

Item 3. The HA should review the two exceptions, identified in 24 CFR Part 970.13(a)(2), to determine if the requirement to make an offer to the resident organization is applicable. HAs are required to provide documentation, in order to claim any of the exceptions.

An application submitted to the Department should include one of the following:

- (a) where there is a resident organization, a copy of the letter to the resident organization and the resident organization's letter of negative response.
- (b) where there is no resident organization at the development, a certification from the Executive Director or Board that there is no resident organization.
- (c) an explanation of why the proposed demolition or disposition action should be exempt from the Section 412 requirements (see Section 24 CFR Part 970.13(a)(2), including evidence to justify the use of the exemption, as required in the regulation.
- (d) a certification from the Executive Director or Board stating that the resident organization at the development was contacted and the 30-day time frame expired without response from the organization.