

# 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.

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# Streamlined 5-Year Plan for Fiscal Years 2005 – 2009

## Streamlined Annual Plan for Fiscal Year 2005

**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:** Augusta Housing Authority

**PHA Number:** ME030

**PHA Fiscal Year Beginning:** 1/2005

**PHA Programs Administered:**

**Public Housing and Section 8**

Number of public housing units:  
Number of S8 units:

**Section 8 Only**

Number of S8 units:

**Public Housing Only**

Number of public housing units:

**PHA Consortia:**

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)

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## 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.
- Other  
*The PHA's mission is to operate a fiscally sound program that provides tenant-based housing assistance; ensures decent, safe and sanitary units; supports individuals and families and promotes economic self-sufficiency.*

#### **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: Expand the supply of assisted housing  
Objectives:
- Apply for additional rental vouchers, as available, *up to a maximum of 25 per year*
  - Reduce public housing vacancies:
  - Leverage private or other public funds to create additional housing opportunities:
  - Acquire or build units or developments  
*Leverage private or other public funds to preserve existing housing units in expiring HUD-assisted properties*
  - Other (list below)
- PHA Goal: Improve the quality of assisted housing  
Objectives:
- Improve public housing management: (PHAS score)
  - Improve voucher management: (SEMAP score)  
*Maintain current SEMAP score of 97%, despite decrease in HUD funding and increased reporting burden*

- Increase customer satisfaction:  
*Use voice-mail system to improve customer service and maximize staff time; Increase staff, as necessary, to maintain customer service*
- Concentrate on efforts to improve specific management functions  
*Continue to cross-train staff in all areas of PHA procedures so that 80% of job duties can be transferable.*
- Renovate or modernize public housing units:
- Demolish or dispose of obsolete public housing:
- Provide replacement public housing:
- Provide replacement vouchers:
- Other: (list below)  
*Accept and administer 100% of Enhanced Voucher funding that may be awarded due to opt-outs in our jurisdiction during the next five years*
- PHA Goal: Increase assisted housing choices  
Objectives:
  - Provide voucher mobility counseling:  
*AHA will continue to brief 100% of all tenants issued vouchers on portability*
  - Conduct outreach efforts to potential voucher landlords
    - 1. Provide individual briefing for landlords. as requested*
    - 2. Revise "Landlord Handbook" on a routine basis*
    - 3. Advocate for program on a regular basis with local landlord group, CAHA*
    - 4. Serve on agency boards, many of whom own and rent properties*
  - Increase voucher payment standards
  - Implement voucher homeownership program:  
*Pending a funding award for a Homeownership Counselor, AHA will use FY 2005 as its start-up period to develop its program and network w/ lending institutions federal loan providers; AHA will implement its homeownership program no later than the beginning of FY 2006, with a minimum of one (1) family moving to homeownership per year under the program.*
  - Implement public housing or other homeownership programs:
  - Implement public housing site-based waiting lists:
  - Convert public housing to vouchers:
  - Other: (list below)

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

- 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:  
*Continue to work with agencies, owners and developers to address the needs of our disabled and elderly populations: Allow Housing Choice Voucher use in Special Housing types, such as group homes, as a reasonable accommodation; consider project-basing additional vouchers at new elderly/assisted-living developments; administer attached subsidies for cooperating agencies or faith-based groups in their new or rehabilitated units (such as Mod Rehab SRO's).*

**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.  
*AHA will continue to network with primary service providers and serve on the boards of service agencies. AHA will collaborate with Bread of Life Ministries and other local agencies to foster independence of assisted families in four (4) PBV transitional homeless units.*
  - Provide or attract supportive services to increase independence for the elderly or families with disabilities.  
*AHA will continue to provide tenant referrals to provider agencies; agency staff will continue to attend trainings that provide guidance on state and federal programs to assist the elderly and families with disabilities.*
  - Other: (list below)  
*AHA will maintain the Minimum Program size through 2009*

**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:  
*Performed on continual basis*
  - 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:  
*Performed on continual basis*

- Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:  
*Performed on continual basis*
- Other: (list below)

**Other PHA Goals and Objectives:**

*AHA will apply for the administration of MSHA vouchers in Kennebec County; RFP expected during the 2005-2009 five-year term.*

## **Executive Summary**

*Subsidized housing assistance continues to supply a very real need in the Augusta community. Although this rural area and small city cannot generate the needs data of large metropolitan areas, more than 70% of our tenant families have incomes below 30% of the Median. Our Waiting List reflects similar numbers.*

*Most of these families are living on fixed incomes from Social Security or SSI, averaging \$600/month per household. With local rents for a two bedroom averaging \$500 to \$550 month plus electric, the need for subsidies is unquestionable.*

*The staff at AHA have worked very hard to provide quality service to customers. We have developed new collaborations with local agencies, such as the Bread of Life Ministries and we continue to strengthen our ties with existing partner agencies serving the non-elderly disabled, our most dominant group of tenants.*

*With foresight and sound fiscal planning, AHA has succeeded in managing an increasing HAP burden. Due to the extremely low incomes of our specific population and escalating local rents, we expect that burden to increase. Therefore, we have restricted the scope of our goals for 2005 to maintenance of current activity, with controlled expenditures in the voucher program.*

*However, AHA is considering an opt-out purchase of 80 units in the Augusta area. This purchase, if economically feasible, will preserve a significant number of low-income units and provide additional dollars to the housing authority for operating expenses.*

### **Realized Outcomes for Annual Goals in 2004:**

1. AHA will maintain a budget utilization rate of 97% or higher in 2004.  
*AHA was rated a High Performer, maintaining a utilization rate of 97%.*
2. AHA will lease up newly awarded vouchers within the time frame indicated in the Mainstream NOFA.  
*AHA applied for Mainstream Vouchers; AHA did not receive new Mainstream funding in 2004.*
3. AHA will complete expansion of office space.  
*AHA added 2 offices and a rentable conference-training room.*
4. AHA will hire one new part-time Occupancy Specialist.  
*AHA hired one full-time Occupancy Specialist.*



5. AHA will assume initial conversion and continuing administration of 79 Enhanced Vouchers.  
*AHA completed conversion of 50% Enhanced Vouchers by April 2004. AHA is also administering an additional 15 Enhanced Voucher units for MSHA.*
  
6. AHA will project-base four (4) HCVs in a transitional homeless project in collaboration with the Bread of Life Ministries.  
*AHA completed HAPs for 4 transitional homeless units by August, 2004.*
  
7. AHA will assume administration of 9 SROs in collaboration with Bread of Life Ministries, targeting chronically homeless individuals.  
*AHA anticipates completion of BOLM project before the end of 2004.*

### **Annual Goals for FYE 2005:**

1. *AHA will maintain fiscal integrity in a challenging environment*
2. *AHA will establish a Homeownership Program if additional staff funding is awarded. 2005 will be a start-up year.*
3. *AHA will maintain High Performer SEMAP score*
4. *AHA will maintain a lease-up rate of 97%*
5. *AHA will maintain quality customer service; Staff will continue to attend trainings; staff will be increased, as needed, when fiscally possible*
6. *AHA will continue to advocate for low-income families.*
7. *AHA will maintain Minimum Program size in FSS Program in 2005*

**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**

Housing Needs of Families on the PHA's Waiting Lists			
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:			
	# of families	% of total families	Annual Turnover
Waiting list total	825		
Extremely low income <=30% AMI	762	92%	
Very low income (>30% but <=50% AMI)	63	8%	
Low income (>50% but <80% AMI)	0	0%	
Families with children	178	22%	
Elderly families	11	1%	
Families with Disabilities	636	77%	
Race/ethnicity (White)	772	94%	
Race/ethnicity (Afr. Am.)	36	5%	
Race/ethnicity (Am. Indian)	4	0%	
Race/ethnicity (Asian)	2	0%	
Race/ethnicity (Native Hawaiian)	2	0%	
Race/ethnicity (Hispanic)	9	1%	
Bedroom Size (Public Housing Only)			
1 BR			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			
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 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)  
*AHA will not exceed HUD target requirements.*

**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)  
*After meeting the federal target requirements, AHA will house families who are above 30% of median income.*

**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)  
*AHA will continue to administer Project-based vouchers at the Inn at City Hall; AHA will consider expanding PBV program other newly constructed or rehabbed units for the elderly.*

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

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

Select all that apply

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

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

**Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs: *N/A see Needs Table***

Select if applicable

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

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

Select all that apply

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

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

**(2) Reasons for Selecting Strategies**

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

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

- Results of consultation with residents and the Resident Advisory Board
- Results of consultation with advocacy groups
- Other: (list below)

## 2. Statement of Financial Resources

[24 CFR Part 903.12 (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.

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>1. Federal Grants (FY 20__ grants)</b>		
a) Public Housing Operating Fund		
b) Public Housing Capital Fund		
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	1,150,000.00	
f) Resident Opportunity and Self-Sufficiency Grants		
g) Community Development Block Grant		
h) HOME		
Other Federal Grants (list below)		
FSS Coordinator	30,300.00	
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>		
<b>3. Public Housing Dwelling Rental Income</b>		
<b>4. Other income (list below)</b>		
State Housing HAPS	835,000.00	
<b>4. Non-federal sources (list below)</b>		
<b>Total resources</b>	2,015,300.00	

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

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

#### **A. Public Housing**     *N/A*

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: (describe)

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 (describe)

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

1. 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)

- 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)

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.

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:

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

## 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? *AHA checks with Sex Offender Registry*
- d.  Yes  No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)
- e. Indicate what kinds of information you share with prospective landlords? (select all that apply)
- Criminal or drug-related activity
  - Other (describe below)  
*AHA encourages owners to check references of multiple previous landlords. AHA will provide the family's current address and landlord (if known). AHA will also be checking the Vacated Tenant List maintained by MCS. AHA requires a signed certification from each adult tenant affirming that they have not been involved in prohibited activities.*

### (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:

*For extenuating circumstances such as death or illness, units that are denied by AHA, units that fail, shortage of available units for large families and for reasonable accommodation. Procedures for requesting extensions are outline in the Admin Plan and discussed at briefings.*

### **(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)

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)
- 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
- 2 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)

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

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

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

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

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

- Through published notices
- Other (list below)

*AHA has sufficient applicants on its waiting list to utilize all special purpose funding.*

**4. PHA Rent Determination Policies**

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

**A. Public Housing *N/A***

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:

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)
- 95<sup>th</sup> percentile rents
- 75 percent of operating costs
- 100 percent of operating costs for general occupancy (family) developments
- Operating costs plus debt service
- The "rental value" of the unit
- Other (list below)

f. Rent re-determinations:

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

- Never
- At family option
- Any time the family experiences an income increase
- Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold)\_\_\_\_\_
- Other (list below)

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

## **(2) Flat Rents**

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 (list below)

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

- Annually
- Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- Success rates of assisted families
- Rent burdens of assisted families
- Other (list below)

*Funding constraints*

### (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)  
*AHA will follow HUD guidelines in the "HCV Guidebook."*

## 5. Capital Improvement Needs *N/A*

[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.

## 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

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

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 N/A**

[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.)

<b>Demolition/Disposition Activity Description</b>
1a. Development name: 1b. Development (project) number:
2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: (DD/MM/YY)
5. Number of units affected:
6. Coverage of action (select one)

<input type="checkbox"/> Part of the development
<input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:

**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.)*If AHA is awarded funding for a Homeownership counselor AHA will develop it program in 2005. The following questions cannot be answered at this time as the program has not been developed.*

**(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**

#### **PHA FISCAL YEARS 2000 - 2004**

[24 CFR Part 903.5]

#### **A. Mission**

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

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

*The mission of the Augusta Housing Authority is to operate a fiscally sound program that provides tenant-based housing assistance; ensures decent, safe and sanitary units; supports individual and families; and promotes economic self-sufficiency.*

#### **B. Goals**

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

PHA Goal: Expand the supply of assisted housing

Objectives:

Apply for additional rental vouchers. AHA will apply for 50 units of Mainstream funding to be issued by the end of the year 2000.

*2001-AHA was awarded 50 Mainstream Vouchers.*

*2001- AHA was awarded 25 Fair Share Vouchers.*

*2002-Lease-up rate too low to apply for vouchers.*

*2003-AHA applied for up to 50 Mainstream Vouchers.*

*2004-AHA applied; unable to compete with "needs" of major cities.*

Reduce public housing vacancies

Leverage private or other public funds to create additional housing opportunities

Acquire or build units or developments

- Other (list below)
  1. AHA will develop and submit a proposal in 1999 to administer Maine State Housing Authority's (MSHA) Section 8 Existing Program in Kennebec County for FY 2000.  
*2000-proposal submitted; tied with existing administrator; awarded to existing administrator.*
  2. AHA will continue its collaboration with a local developer to construct and manage a 48 unit elderly development by December 2004.  
*2002-AHA discontinued plan.*
  3. AHA will assign one staff person to oversee the transition of Mainstream tenants from institutional settings or other interim housing programs. Five to eight vouchers will be issued per month.  
*2001-AHA assigned Intake Specialist to oversee transition; issued 100% of Mainstream vouchers by end of, 2001.*
  4. Submit collaborative proposal to administer Maine State Housing Authority certificate/vouchers for FY 2001 with other local Housing Authorities.  
*2001-submitted collaborative proposal; MSHA granted administration to existing administrator.*

PHA Goal: Improve the quality of assisted housing

Objectives:

- Improve public housing management: (PHAS score)
- Improve voucher management: (SEMAP score)  
*2001-AHA rated Standard Performer*  
*2002-AHA rated High Performer*  
*2003-AHA rated High Performer, maintaining lease-up rate at 97%*  
*2004- not yet rated*
- Increase customer satisfaction:
  1. Increase staff by two by the year 2001.  
*2001-AHA hired part-time inspector and full-time office person.*  
*2002-No staff increase.*  
*2003-AHA increased inspector's hours to full-time.*  
*2004- AHA hired one additional Occupancy Specialist.*
  2. Send staff to trainings and workshops on a yearly basis.  
*2000-HCV Conversion training*  
*2001-Lead-based Paint (3 staff persons)*  
*2002-HQS training for HQS inspector (passed and certified)*  
*2003-HQS training for Intake Specialist who does Initial Inspections (passed and certified)*  
*2004-Occupancy Specialist Training (passed and certified)*
- Concentrate on efforts to improve specific management functions
  1. Reorganize staffing structures by December 2000.  
*2000-Completed. No further action.*
  2. Complete consolidation of the certificate and voucher programs into a single HCV voucher program by the date required by the Department of HUD within program guidelines  
*2001-Conversion completed by October. No further action.*

- Renovate or modernize public housing units:
- Demolish or dispose of obsolete public housing:
- Provide replacement public housing:
- Provide replacement vouchers:
- Other: (list below)

PHA Goal: Increase assisted housing choices

Objectives:

- Provide voucher mobility counseling by intake specialist at initial briefing.  
*2001-Added to briefing checklist.*

- Conduct outreach efforts to potential voucher landlords

*1. Provide individualized briefings for interested landlords on a continual basis.*

*2. Advocate for program with local landlord group on a continual basis.*

*3. Staff serve on local social service boards and committees on a continual basis.*

- Increase voucher payment standards on a yearly basis in conjunction with FMR increases(Payment Standards based on area statistical research by Maine State Housing Authority)

*2000-PS held stable at 100% FMR  
2001-PS held stable at 100% FMR  
2003-PS increased to 105% of FMR  
2004-PS maintained at 105% of FMR*

- Implement voucher homeownership program:
- Implement public housing or other homeownership programs:
- Implement public housing site-based waiting lists:
- Convert public housing to vouchers:
- Other: (list below)

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

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)

*Project-base up to 15 HCV's in housing for frail elderly.*

*2001/2002-Completed.*



**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 by increasing enrollment to ten by active recruitment into FSS program.  
*2000- 9 FSS families enrolled*  
*2001- 15 FSS families enrolled*  
*2002- 13 FSS families enrolled*  
*2003- 12 FSS families enrolled*  
*2004- 16 FSS families enrolled*
  - 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)
    1. AHA will increase interaction with existing social and job training providers in our jurisdiction by serving on local non-profit boards, collaborating on grants and coordinating self-sufficiency services for tenants.  
*Staff members serve on Homeless Task Force and continually meet with mental health providers to serve our disabled population; FSS Coordinator chairs local Head Start board and serves on Transitional Housing Board with local CAP. Also works with DOL, DHS and Vocational Rehabilitation case managers to coordinate family plans for self-sufficiency.*
    2. AHA will apply for the management of MSHA's FSS program on a yearly basis.  
*2000- MSHA did not renew service contracts for its FSS programs with local PHA's. MSHA delegated direct case management of FSS to its Section 8 agents. No further action.*
    3. AHA will implement a recertification policy for tenants on welfare who return to work by January 2000.  
*2000/2002-AHA disallowed increases in earned income until the Annual Recertification.*  
*2003-AHA revised policy in 2003 and began interim reporting and interim changes with new Admin. Plan.*  
  
2004-AHA continued interim reporting and changes

**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 by counseling applicants at initial briefing regarding discrimination and how to report discrimination; educating landlords regarding discrimination at initial contact.  
*Performed on a continual basis.*
    - 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 by responding to HQS violations as soon as possible.  
*Performed on a continual basis.*
  - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size by counseling applicants at initial briefing regarding discrimination and how to report discrimination; educating landlords regarding discrimination at initial contact and linking landlords with local agencies who provide monies to adapt unit for client needs.

*Performed on a continual basis.*

Other: (list below)

PHA Goal: To improve customer service delivery by AHA staff.

1. AHA will train personnel to use the upgraded computer system by June 2000.  
*Completed by June 2000. (new system added in 2004).*
2. AHA will cross-train staff in-house so that a minimum of two staff members are capable of performing each function (HQS inspections, recertifications, FSS coordination...).  
*2004- 90% completed.*

PHA Goal: To decrease fraud in the Section 8 Program and increase tenant accountability.

1. AHA will counsel all tenants on committing fraud and its consequences yearly at the annual recertification.

*Policy implemented. Investigations of fraud yielded:  
Recapture of \$2954.00 through Sept. 2001;  
Recapture of \$4588.00 through Sept. 2002;  
Recapture of \$7499.00 through Sept. 2003;  
Recapture of \$9,844 through August, 2004*

*AHA obtained a legal decision on a fraud case which will result in recapture of an additional \$13,906.00, payable from 2003 to 2005. The District Attorney has collected \$3000.00 for AHA as of July 2004.*

*AHA also participates in a State-wide PHA "Bad Debt" List maintained on a secure internet site. Two individuals who terminated their subsidies with AHA and still owed money to AHA for unreported income were unable to secure a subsidy with any other PHA in Maine. They have since signed repayment agreements.*

2. AHA will report tenants who owe money for fraud or damages to a statewide networked list. Monies owed to PHA's must be paid before a tenant is housed in another area of the state.  
*Policy implemented.*
3. Respond to reports of fraud immediately with a certified letter to client with a response mandatory.  
*Policy implemented.*

**Projects/initiatives implemented during 2000-2004 that were not indicated in the original Five-Year Plan:**

AHA initiated the following collaborations in 2003 that were not included in the original 5-year Plan. AHA expects to complete these projects by the end of 2004:

- *2003/2004-AHA will expand PBA to include homeless transitional housing. AHA signed HAPs for 4 units in August, 2004.*
- *2003/2004-AHA will administer 9 Homeless Transitional SROs*

*for Bread of Life Ministries. Still pending, awaiting completion of rehabilitation at end of 2004.*

- *2003/2004-AHA will administer up to 79 Enhanced Vouchers at an expiring 236 property. AHA leased up 50% of the available 80 Enhanced Vouchers at Glenridge Gardens by the end of May, 2004; balance to be leased up within the ACC term (Feb. 2004 to Feb. 2005).*
- *2004-Purchase and train staff on new computers; upgrade internet access to cable Completed, March, 2004.*

## **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.

The following actions will be considered Substantial Deviations from the 5-Year Plan and/or Significant Amendments to the Annual Plan :

- *Changes to rent and admissions policies*
- *Changes to the organization of the Waiting List*
- *Addition of new activities not included in the current plans*

## **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:

*Board members accepted all goals outlined in Five-year and Annual Plans. Expressed interest in a Homeownership Program. (see Attachment B)*

- 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)

*AHA indicated that the Homeownership Program would become a reality if HUD will provide funding for a Homeownership Coordinator. Currently, we have an agreement with MSHA to port interested tenants to MSHA if they pre-qualify with lender.*

### 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 of the PHA Governing Board: AHA does not have a resident currently on its Board. Recruiting is in progress.*

Method of Selection:

Appointment

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

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: (describe)

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): *AHA is currently recruiting a replacement for tenant representative.*

Date of next term expiration of a governing board member: *12-04*

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

### **(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: (provide name here)**

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:)

*In collaboration with faith-based organizations and private developers who are targeting local populations with specific needs requiring supportive services (elderly/homeless), AHA has project-based a small number of vouchers in the Augusta area. AHA has been cautious in the dedicating vouchers to projects because the families on our current waiting list are predominantly disabled families who have been waiting for a Section 8 Existing subsidy for over two years.*

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

*15 units at the Inn at City Hall, City of Augusta (Congregate Assisted Living)  
4 family units with Bread of Life Ministries, City of Augusta (transitional homeless)*

### 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	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.	Standard 5 Year and Annual Plans; streamlined 5 Year Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan.	5 Year Plans
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
N/A	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

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Related Plan Component</b>
		Policies
N/A	Public housing rent determination policies, including the method for setting public housing flat rents. <input type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Rent Determination
N/A	Schedule of flat rents offered at each public housing development. <input 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
N/A	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
N/A	Results of latest Public Housing Assessment System (PHAS) Assessment (or other applicable assessment).	Annual Plan: Management and Operations
N/A	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
X	Any policies governing any Section 8 special housing types <input checked="" 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
N/A	Public housing grievance procedures <input 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 type="checkbox"/> Check here if included in Section 8 Administrative Plan.	Annual Plan: Grievance Procedures
N/A	The Capital Fund/Comprehensive Grant Program Annual Statement /Performance and Evaluation Report for any active grant year.	Annual Plan: Capital Needs
N/A	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
N/A	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
N/A	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
N/A	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
	Public Housing Community Service Policy/Programs	Annual Plan: Community

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Related Plan Component</b>
N/A	<input type="checkbox"/> Check here if included in Public Housing A & O Policy	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
N/A	Section 3 documentation required by 24 CFR Part 135, Subpart E for public housing.	Annual Plan: Community Service & Self-Sufficiency
N/A	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
N/A	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G). <input 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
None	Other supporting documents (optional). List individually.	(Specify as needed)



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

Annual Statement/Performance and Evaluation Report <b>N/A</b>					
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary					
PHA Name		Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No:			Federal FY of Grant:
<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				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collateralization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)				
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				





### 13. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan					
Part I: Summary		N/A			
PHA Name				<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				
CFP Funds Listed for 5-year planning					
Replacement Housing Factor Funds					

**13. Capital Fund Program Five-Year Action Plan**

<b>Capital Fund Program Five-Year Action Plan</b>						
<b>Part II: Supporting Pages—Work Activities</b>				N/A		
	Activities for Year : ____ FFY Grant: PHA FY:			Activities for Year: ____ FFY Grant: PHA FY:		
	<b>Development Name/Number</b>	<b>Major Work Categories</b>	<b>Estimated Cost</b>	<b>Development Name/Number</b>	<b>Major Work Categories</b>	<b>Estimated Cost</b>
<b>See</b>						
<b>Annual</b>						
<b>Statement</b>						
<b>Total CFP Estimated Cost</b>			\$			\$



**AUGUSTA HOUSING AUTHORITY  
RESIDENT ADVISORY BOARD  
2005 Plan (reviewed in 2004)**

**Member Name:** Joseph Roderick  
**Method of Selection:** Volunteer  
**Term of Appointment:** January 01, 2000 to December 31, 2004

**Member Name:** Marina Lauzon  
**Method of Selection:** Volunteer  
**Term of Appointment:** January 01, 2000 to December 31, 2004

**Member Name:** Pamela Matthews  
**Method of Selection:** Volunteer  
**Term of Appointment:** January 01, 2000 to December 31, 2004

**Member Name:** Daniel and Erica Stapleford  
**Method of Selection:** Volunteer  
**Term of Appointment:** January 01, 2004 to December 31, 2007

**RESIDENT ADVISORY BOARD MEETING**  
**Augusta Housing Authority**  
**August 18, 2004**

**Staff Present:**

Victoria Watkins, Director  
Catherine Austin, FSS Coordinator

**Residents Present:** Erica Stapleford  
Daniel Stapleford

The Resident Advisory Board met at the main office of Augusta Housing Authority on August 18, 2004. We reviewed the Five-Year Progress Report for 2000-2004, the Projected Five-Year Plan for 2005-2009 and the Annual Plan for 2005.

Housing staff clarified sections of the Plan that were referenced by residents during the meeting. The Five-Year Plan and the Annual Plan, as drafted, were accepted, without additional recommendations. However, the residents did express interest in a Homeownership Program.

**Homeownership Program-notes on Discussion:**

Currently, AHA has agreed to port tenants to MSHA if they meet MSHA's criteria for homeownership and can pre-qualify for a loan. This jurisdictional waiver will allow these tenants to purchase a home in Augusta, even if they are absorbed by MSHA.

Current Homeownership Program directors in the State of Maine have indicated that there are three major problems with the Homeownership Program in this area:

- Most of the interested tenants carry too much debt and cannot qualify for a loan
- Home prices exceed the loan amount for which the tenant is eligible
- If a tenant does qualify for a loan, their HAP is usually so low that they prefer to go off the direct subsidy programs altogether

MSHA has offered to mentor AHA in developing its own Homeownership Program. However, development of this program is heavily dependent upon additional funding from HUD to pay for a Homeownership Counselor.

Staff thanked residents for their contributions to the entire Plan review procedure.

Notes submitted by Catherine Austin, FSS Coordinator, 8-18-04



**AUGUSTA HOUSING AUTHORITY  
RESIDENT MEMBERSHIP OF THE PHA GOVERNING BOARD  
2005**

*AHA is currently in the process of recruiting a new resident member for the Board of Commissioners and expects to have a tenant representative appointed before November 1, 2004.*

**AUGUSTA HOUSING AUTHORITY**  
**PROJECT-BASE ASSISTANCE**  
**2005**

In 2002, AHA successfully committed 15 vouchers to frail, elderly families at an assisted living facility. In 2003, The Augusta Housing Authority Board of Commissioners approved the assignment of 20 additional subsidies for PBV in AHA's market area. AHA leased up 15 of the 35 approved HCV's in designated "projects."

In 2004, leased up an additional 4 PBV units for transitional homeless families in collaboration with a faith-based organization, Bread of Life Ministries.

Any future assignment of HCV's to projects/facilities will maximize AHA's current resources and address the needs of specific populations who may be underserved in the community.

19 of the initially approved HCV's have been project-based. AHA will consider leasing up more of the approved HCV's and will be guided by:

- Demonstrated need for an underserved population
- Fiscal soundness of proposal
- Board of Commissioner's approval
- Compliance of the project with HUD standards and requirements

AHA expects that all PBV will be collaborative in nature with agencies and/or owners providing specific supportive service components to the tenants.

AHA will follow HUD regulations 24 CFR 983, *Section 8 Project based Certificate Program* and HUD guidance in 66 FR 3605, *Revisions to the PHA Project-Based Assistance, Initial Guidance* when developing selection criteria and advertising PBV.