

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

PHA Plans

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

Housing Authority of Murray, KY

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

PHA Plan Agency Identification

PHA Name: Housing Authority of Murray

PHA Number: KY030

PHA Fiscal Year Beginning: 04/2000

Public Access to Information

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

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

Display Locations For PHA Plans and Supporting Documents

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

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

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

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

5-YEAR PLAN
PHA FISCAL YEARS 2000 - 2004

[24 CFR Part 903.5]

A. Mission

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

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

The mission of the Housing Authority of Murray (HAM) is to provide drug free, decent, safe, and sanitary housing for eligible Families and to provide opportunities that promote self-sufficiency and economic independence for residents.

In order to achieve this mission we will recognize residents as our ultimate customer, improve HAM management and service delivery efforts through effective and efficient management of HAM staff, seek problem-solving partnerships with residents, community, and government leadership, and apply limited HAM resources to the effective and efficient management and operation of HAM programs.

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.

The HAM elects to use its own goals and objectives which are as follows:

Goal 1: Promote the overall goal of drug free, decent, safe and sanitary housing.

Objectives:

1. Insure a social and economic mix of residents within each HAM neighborhood in order to foster social stability and upward mobility by applying a broad range of incomes and adhering to the local preference policy regarding working Families.
2. Insure the fiscal stability of HAM
3. Lawfully deny admission or continued occupancy to applicants or residents whose presence in a HAM neighborhood is likely to adversely affect the health, safety, comfort or welfare of other residents or the physical environment of the neighborhood or create a danger to HAM employees
4. Insure the elderly Families can live in the HAM as long as they are able to live independently and/or have someone to help them live independently as in the case of a live-in aid.

Goal 2: Comply in letter and spirit with Title VI of the Civil Rights Act of 1964, and all other applicable federal laws and regulations to insure that admission to, and continued occupancy in, the HAM are conducted without regard to race, color, religion, creed, sex, national origin, disability, or familial status.

Objective:

1. Develop and use a brochure describing these civil rights by April 1, 2001. The brochure will be given to all upon application, initial lease-up, and recertification. It will describe what rights the Families have and where to get assistance if they believe their rights have been violated.

Goal 3: Improve the quality of life for residents by continuing established resident services programs, including the Public Housing Drug Elimination Program, and EDSS, eviction prevention, drug and alcohol counseling, educational programs through our computer learning center.

Objectives:

1. Even with shrinking federal financial assistance, the HAM will at least maintain these initiatives at their present level.

2. Complete an application under the ROSS NOFA.

Goal 4: Maximize homeownership opportunities for residents living in housing operated by HAM.

Objective:

1. Establish a non-profit agency to support its homeownership activities by April 1, 2002

Annual PHA Plan
PHA Fiscal Year 2000

[24 CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

Standard Plan

Streamlined Plan:

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

Troubled Agency Plan

ii. Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

The HAM Housing Authority has prepared this Agency Plan in compliance with Section 511 of the Quality Housing and Work Responsibility Act of 1998 and the ensuing HUD requirements.

We have adopted the following mission statement to guide the activities of the HAM Housing Authority.

“The mission of the Housing Authority of Murray (HAM) is to provide drug free, decent, safe, and sanitary housing for eligible families and to provide opportunities that promote self-sufficiency and economic independence for residents.

“In order to achieve this mission we will recognize residents as our ultimate customer, improve HAM management and service delivery efforts through effective and efficient management of HAM staff, seek problem-solving partnerships with residents, community, and government leadership, and apply limited HAM resources to the effective and efficient management and operation of HAM programs.”

We have also adopted the following goals and objectives for the next five years.

Goal 1: Promote the overall goal of drug free, decent, safe and sanitary housing.

Objectives:

1. Insure a social and economic mix of residents within each HAM neighborhood in order to foster social stability and upward mobility by

applying a broad range of incomes and adhering to the local preference policy regarding working Families.

2. Insure the fiscal stability of HAM
3. Lawfully deny admission or continued occupancy to applicants or residents whose presence in a HAM neighborhood is likely to adversely affect the health, safety, comfort or welfare of other residents or the physical environment of the neighborhood or create a danger to HAM employees
4. Insure the elderly Families can live in the HAM as long as they are able to live independently and/or have someone to help them live independently as in the case of a live-in aid.

Goal 2: Comply in letter and spirit with Title VI of the Civil Rights Act of 1964, and all other applicable federal laws and regulations to insure that admission to, and continued occupancy in, the HAM are conducted without regard to race, color, religion, creed, sex, national origin, disability, or Familial status .

Objective:

1. Develop and use a brochure describing these civil rights by April 1, 2001. The brochure will be given to all upon application, initial lease-up, and recertification. It will describe what rights the Families have and where to get assistance if they believe their rights have been violated.

Goal 3: Improve the quality of life for residents by continuing established resident services programs, including the Public Housing Drug Elimination Program, and EDSS , eviction prevention, drug and alcohol counseling, educational programs though our computer learning center.

Objectives:

1. Even with shrinking federal financial assistance, the HAM will at least maintain these initiatives at their present level.
2. Complete an application under the ROSS NOFA.

Goal 4: Maximize homeownership opportunities for residents living in housing operated by HAM.

Objective:

1. Establish a non-profit agency to support its homeownership activities by April 1, 2002

Our Annual Plan is based on the premise that if we accomplish our goals and objectives 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 and objectives. Taken as a whole, they outline a comprehensive approach towards our goals and objectives and are consistent with the Consolidated Plan - improve the condition of affordable housing in HAM.

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

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

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Attachments

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

Required Attachments:

- Admissions Policy for Deconcentration (ACOP KY030a01)
- FY 2000 Capital Fund Program Annual Statement (included in plan text)
- Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

Optional Attachments:

- PHA Management Organizational Chart
- FY 2000 Capital Fund Program 5 Year Action Plan (included in plan text)
- Public Housing Drug Elimination Program (PHDEP) Plan (KY030b01)
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- Other (List below, providing each attachment name)
Definition of Substantial Change KY030c01

Supporting Documents Available for Review

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
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), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
NA	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies

List of Supporting Documents Available for Review

Applicable & On Display	Supporting Document	Applicable Plan Component
X	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology 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
NA	Section 8 rent determination (payment standard) policies <input 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	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
NA	Section 8 informal review and hearing procedures <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
NA	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
X	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
NA	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
NA	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
NA	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
NA	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
NA	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
NA	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
NA	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
X	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
NA	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
X	The most recent Public Housing Drug Elimination Program (PHEDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
NA	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
X	Other supporting documents (optional) Public Housing Lease	Annual Plan Components 3 and 4

1. Statement of Housing Needs

[24 CFR Part 903.79 (a)]

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

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

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
Income <= 30% of AMI	509	5	4	3	4	3	4
Income >30% but <=50% of AMI	395	4	4	3	4	3	4
Income >50% but <80% of AMI	230	4	4	3	4	3	4

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford- ability	Supply	Quality	Access- ibility	Size	Loca- tion
Elderly	82	5	4	3	4	3	4
Families with Disabilities	Not Avail						
Black	496	5	4	3	4	3	4
Other	<10%						
White	657	5	4	3	4	3	4

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

- Consolidated Plan of the Jurisdiction/s
Indicate year:
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data
Indicate year:
- Other housing market study
Indicate year:
- Other sources: (list and indicate year of information)

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

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

Housing Needs of Families on the Waiting List
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Housing Needs of Families on the Waiting List

Waiting list type: (select one)

- Section 8 tenant-based assistance
 Public Housing
 Combined Section 8 and Public Housing
 Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/subjurisdiction:

	# of Families	% of total Families	Annual Turnover
Waiting list total	62		88
Extremely low income <=30% AMI	33	53	
Very low income (>30% but <=50% AMI)	19	31	
Low income (>50% but <80% AMI)	10	16	
Families with children	50	86	
Elderly Families	04	01	
Families with Disabilities	08	13	
African-American	16	26	
Caucasian	44	71	
Hispanic	02	03	
Characteristics by Bedroom Size (Public Housing Only)			
1BR	29	48	32
2 BR	19	32	20
3 BR	11	19	25
4 BR	03	01	11
5 BR	NA		
5+ BR	NA		

Is the waiting list closed (select one)? No Yes

If yes:

How long has it been closed (# of months)?

Does the PHA expect to reopen the list in the PHA Plan year? No Yes

Does the PHA permit specific categories of Families onto the waiting list, even if generally closed? No Yes

C. Strategy for Addressing Needs

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

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

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

Select all that apply

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

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

Select all that apply

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

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

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

Select all that apply

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

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

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

Select all that apply

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

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

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

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

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

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

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

Select if applicable

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

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

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

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

(2) Reasons for Selecting Strategies

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

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

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

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

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2000 grants)		
a) Public Housing Operating Fund	125,000	
b) Public Housing Capital Fund	290,020	
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance		
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	41,500	
g) Resident Opportunity and Self-Sufficiency Grants		
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
2. Prior Year Federal Grants (unobligated funds only) (list below)		
PHDEP 97	56,285	PHDEP
PHDEP 98	34,646	PHDEP
CIAP 99	196,195	Modernization
EDSS 98	39,633	EDSS
3. Public Housing Dwelling Rental Income		
	270,000	operations
4. Other income (list below)	0	
4. Non-federal sources (list below)		

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
Total resources	1,058,260	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

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

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- When Families are within a certain number of being offered a unit: (state number)
- When Families are within a certain time of being offered a unit: (state time)
- Other: (describe)
Upon initial application.

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): Credit check

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. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year?

2. Yes No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists?

3. Yes No: May Families be on more than one list simultaneously
If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- PHA main administrative office
- All PHA development management offices
- Management offices at developments with site-based waiting lists
- At the development to which they would like to apply
- Other (list below)

(3) Assignment

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

- One
- Two
- Three or More

b. Yes No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

a. Income targeting:

Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to Families at or below 30% of median area income?

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- Emergencies
- Overhoused
- Underhoused
- Medical justification
- Administrative reasons determined by the PHA (e.g., to permit modernization work)
- Resident choice: (state circumstances below)
- Other: (list below)

c. Preferences

1. Yes No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection **(5) Occupancy**)

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

Former Federal preferences:

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

Other preferences: (select below)

- Working Families and those unable to work because of age or disability
- Veterans and veterans' Families
- Residents who live and/or work in the jurisdiction
- ~~Those enrolled currently in educational, training, or upward mobility programs~~

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

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(1)
- Veterans and veterans’ Families (3)
- Residents who live and/or work in the jurisdiction (1)
- Those enrolled currently in educational, training, or upward mobility programs (2)
- 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)
job relocation (3)

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)
House Rules
Civil Rights Brochure

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: Did the PHA's analysis of its Family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. Yes No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

- Adoption of site-based waiting lists
If selected, list targeted developments below:
- Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments
If selected, list targeted developments below:
KY030-002 KY030-005
KY030-003 KY030-006
KY030-004
- Employing new admission preferences at targeted developments
If selected, list targeted developments below:

Other (list policies and developments targeted below)

d. Yes No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- Additional affirmative marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments
- Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
- Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income Families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:
 - KY030-002 KY030-005
 - KY030-003 KY030-006
 - KY030-004

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income Families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:
 - KY030-001

B. Section 8 Not Applicable

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B.
Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(1) Eligibility

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

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

- b. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- c. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- d. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)
- e. Indicate what kinds of information you share with prospective landlords? (select all that apply)
- Criminal or drug-related activity
- Other (describe below)

(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:

(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.

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 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)

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

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

(1) Income Based Rent Policies

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

a. Use of discretionary policies: (select one)

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

---or---

- 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% than adjusted income

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

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

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

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

- The section 8 rent reasonableness study of comparable housing
- Survey of rents listed in local newspaper
- Survey of similar unassisted units in the neighborhood
- Other (list/describe below)
At the FMR

B. Section 8 Tenant-Based Assistance Not Applicable

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

(1) Payment Standards

Describe the voucher payment standards and policies .

a. What is the PHA's payment standard? (select the category that best describes your standard)

- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR
- Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- FMRs are adequate to ensure success among assisted Families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional Families by lowering the payment standard
- Reflects market or submarket
- Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- FMRs are not adequate to ensure success among assisted Families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for Families
- Other (list below)

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

- Annually
- Other (list below)

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

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

(2) Minimum Rent

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

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

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

5. Operations and Management (not applicable, HP and small)

[24 CFR Part 903.7 9 (e)]

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

A. PHA Management Structure

Describe the PHA’s management structure and organization.

(select one)

- An organization chart showing the PHA’s management structure and organization is attached.
- A brief description of the management structure and organization of the PHA follows:

B. HUD Programs Under PHA Management

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

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing		

Section 8 Vouchers		
Section 8 Certificates		
Section 8 Mod Rehab		
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs(list individually)		

C. Management and Maintenance Policies

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

- (1) Public Housing Maintenance and Management: (list below)
 - ACOP
 - Maintenance Policy
 - Pest Extermination
 - Grievance Procedures
 - Public Housing Lease
- (2) Section 8 Management: (list below)
 - Not applicable

6. PHA Grievance Procedures (Not Applicable, HP)

[24 CFR Part 903.7 9 (f)]

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

A. Public Housing

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

If yes, list additions to federal requirements below:

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

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

B. Section 8 Tenant-Based Assistance

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

If yes, list additions to federal requirements below:

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

- PHA main administrative office
 Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

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

A. Capital Fund Activities

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

(1) Capital Fund Program Annual Statement

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

Select one:

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

-or-

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

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

Annual Statement

Capital Fund Program (CFP) Part I: Summary

Capital Fund Grant Number FFY of Grant Approval: (04/2000)

Original Annual Statement (approved with this plan)

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP Funds	
2	1406 Operations	290,106
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	1498 Mod Used for Development	
19	1502 Contingency	
20	Amount of Annual Grant (Sum of lines 2-19)	290,106
21	Amount of line 20 Related to LBP Activities	NA
22	Amount of line 20 Related to Section 504 Compliance	NA

23	Amount of line 20 Related to Security	NA
24	Amount of line 20 Related to Energy Conservation Measures	NA

Annual Statement
Capital Fund Program (CFP) Part II: Supporting Table

Development Number/Name	General Description of Major Work Categories	Development Account Number	Total Estimated Cost
HA-Wide Activities HA wide	Operations	1406	290,106

(2) Optional 5-Year Action Plan

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

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

b. If yes to question a, select one:

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

-or-

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

Optional 5-Year Action Plan Tables			
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development
PHA wide	PHA wide	9	4.4%

Description of Needed Physical Improvements or Management Improvements	Estimated Cost	Planned Start Date (HA Fiscal Year)
Operations	290,106	2001
Operations	290,106	2002
Operations	290,106	2003
Operations	290,106	2004
Total estimated cost over next 5 years	1,160,424	

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

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

- Yes No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
- b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)
1. Development name:
 2. Development (project) number:
 3. Status of grant: (select the statement that best describes the current status)
 - Revitalization Plan under development
 - Revitalization Plan submitted, pending approval
 - Revitalization Plan approved
 - Activities pursuant to an approved Revitalization Plan underway
- Yes No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
If yes, list development name/s below:
- Yes No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?
If yes, list developments or activities below:

Yes No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?

If yes, list developments or activities below:

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

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

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

2. Activity Description

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

Demolition/Disposition Activity Description	
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: <u>(DD/MM/YY)</u>	
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:	

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

[24 CFR Part 903.7 9 (i)]

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

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

2. Activity Description

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

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

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

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

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

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

2. Activity Description

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

Conversion of Public Housing Activity Description
1a. Development name: 1b. Development (project) number:
2. What is the status of the required assessment? <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway

5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one)

- Units addressed in a pending or approved demolition application (date submitted or approved: _____)
- Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____)
- Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____)
- Requirements no longer applicable: vacancy rates are less than 10 percent
- Requirements no longer applicable: site now has less than 300 units
- Other: (describe below)

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

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

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

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

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

2. Activity Description

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

Public Housing Homeownership Activity Description (Complete one for each development affected)	
1a. Development name:	
1b. Development (project) number:	
2. Federal Program authority:	<input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one)	<input type="checkbox"/> Approved; included in the PHA's Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)	
5. Number of units affected:	
6. Coverage of action: (select one)	<input type="checkbox"/> Part of the development <input type="checkbox"/> Total development

B. Section 8 Tenant Based Assistance (No Section 8)

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 component 12; if "yes", describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

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

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

- 25 or fewer participants
 26 - 50 participants

- 51 to 100 participants
- more than 100 participants

b. PHA-established eligibility criteria

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

12. PHA Community Service and Self-sufficiency Programs

Not Applicable, HP and Small Agency

[24 CFR Part 903.7 9 (l)]

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

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

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

If yes, what was the date that agreement was signed? DD/MM/YY

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

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

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

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

- Public housing rent determination policies

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

b. Economic and Social self-sufficiency programs

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

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2000 Estimate)	Actual Number of Participants (As of: DD/MM/YY)

Public Housing		
Section 8		

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

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- Adopting appropriate changes to the PHA’s public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

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

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

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

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

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)
- High incidence of violent and/or drug-related crime in some or all of the PHA's developments

- High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- Residents fearful for their safety and/or the safety of their children
- Observed lower-level crime, vandalism and/or graffiti
- People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- Other (describe below)

2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).

- Safety and security survey of residents
- Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- Analysis of cost trends over time for repair of vandalism and removal of graffiti
- Resident reports
- PHA employee reports
- Police reports
- Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- Other (describe below)

2. Which developments are most affected? (list below)
PHA-wide

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

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities
- Crime Prevention Through Environmental Design
- Activities targeted to at-risk youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program
- Other (describe below)
PHDEP

3. Which developments are most affected? (list below)
PHA wide

C. Coordination between PHA and the police

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

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

2. Which developments are most affected? (list below)

D. Additional information as required by PHDEP/PHDEP Plan

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

- Yes No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- Yes No: Has the PHA included the PHDEP Plan for FY 2000 in this PHA Plan?
- Yes No: This PHDEP Plan is an Attachment. KY030b02

14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

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

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

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

17. PHA Asset Management (Not Applicable)

[24 CFR Part 903.7 9 (q)]

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

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

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
 - Attached at Attachment (File name)
 - Provided below:

3. In what manner did the PHA address those comments? (select all that apply)

- Considered comments, but determined that no changes to the PHA Plan were necessary.
- The PHA changed portions of the PHA Plan in response to comments
List changes below:
- Other: (list below)

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

1. Yes No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)
2. Yes No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

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

b. Eligible candidates: (select one)

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

c. Eligible voters: (select all that apply)

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

C. Statement of Consistency with the Consolidated Plan

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

1. Consolidated Plan jurisdiction: State of Kentucky

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)
 - The PHA has based its statement of needs of Families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
 - The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
 - The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
 - Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

 - Other: (list below)

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

The mission of the Housing Authority of Murray (HAM) is to provide drug free, decent, and sanitary housing for eligible Families and to provide opportunities that promote self-sufficiency and economic independence for residents. This mission is consistent with the strategic goals of the Consolidated Plan for the Commonwealth of Kentucky.

C. Other Information Required by HUD

Definition of substantial change: any fundamental alteration of the agency's mission statement or goals as determined by the Board (see attachment KY030c01)

ADMISSIONS AND
CONTINUED OCCUPANCY POLICIES
AND PROCEDURES
(ACOPP)

HOUSING AUTHORITY OF MURRAY, KENTUCKY

Adopted by Board of Commissioners

NOTE: This plan (ACOPP) also serves as our "Resident Selection and Assignment Plan (RSAP)" because it meets the requirements for a RSAP and provides the details as to how the Housing Authority of Murray (HAM) processes the selection and assignment of applicants for HAM.

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SECTION I: INTRODUCTION

A. Mission Statement and Goals and Objectives:

Mission Statement: The mission of the Housing Authority of Murray (HAM) is to provide drug free, decent, safe, and sanitary housing for eligible families and to provide opportunities that promote self-sufficiency and economic independence for residents.

In order to achieve this mission we will recognize residents as our ultimate customer, improve HAM management and service delivery efforts through effective and efficient management of HAM staff, seek problem-solving partnerships with residents, community, and government leadership, and apply limited HAM resources to the effective and efficient management and operation of HAM programs.

Goal 1: Promote the overall goal of drug free, decent, safe and sanitary housing.

Objectives:

1. Insure a social and economic mix of residents within HAM in order to foster social stability and upward mobility by applying a broad range of incomes and adhering to the local preference policy regarding working families.
2. Insure the fiscal stability of HAM.
3. Lawfully deny admission or continued occupancy to applicants or residents whose presence in HAM housing is likely to adversely affect the health, safety, comfort or welfare of other residents

or the physical environment or create a danger to HAM employees.

4. Insure that elderly families can live in the HAM as long as they are able to live independently and/or have someone to help them live independently as in the case of a live-in aid.

Goal 2: Comply in letter and spirit with Title VI of the Civil Rights Act of 1964, and all other applicable federal laws and regulations to insure that admission to, and continued occupancy in, the HAM are conducted without regard to race, color, religion, creed, sex, national origin, disability, or familial status.

Objective:

1. Develop and use a brochure describing these civil rights by April 1, 2001. The brochure will be given to all upon application, initial lease-up, and recertification. It will describe what rights the HAM families have and where to get assistance if they believe their rights have been violated.

Goal 3: Improve the quality of life for residents by continuing established resident services programs, including the Public Housing Drug Elimination Program, ROSS if awarded, eviction prevention, drug and alcohol counseling and literacy programs.

Objectives:

1. Even with shrinking federal financial assistance, the HAM will at least maintain these initiatives at their present level.
2. Complete an application under the ROSS NOFA.

Goal 4: Maximize homeownership opportunities for residents living in housing operated by HAM.

Objective:

1. Establish a non-profit agency to support its homeownership activities by April 1, 2002

B. Purpose of Policy

The purpose of this policy (ACOPP) is to establish a central document for applicant and resident to be informed of Federal regulations, HAM policies and rules and state regulations covering admission and continued occupancy for the HAM. This policy is governed by regulations of the Department of Housing and Urban Development (HUD) and state law, with latitude for local policies and procedures. The policies and procedures governing admissions and continued occupancy are outlined in this policy and these requirements are binding upon applicants, residents and this housing authority alike. Notwithstanding the above, changes in applicable federal law or regulations shall supersede provisions in conflict with this policy.

Federal Regulations shall mean those found in 24 Code of Federal Regulations (CFR) Parts 5 and 900.

C. Primary Responsibilities of the HAM

1. Informing eligible families of the availability of public housing assistance;
2. Determining and posting annually the utility allowances;
3. Receiving applications from families and determining their eligibility for assistance;
4. Inspecting public housing units to determine that they meet or exceed Housing Quality Standards (HQS);
5. Approving leases;
6. Collecting rent on a monthly basis from residents;
7. Reexaminations of income, family composition and redetermination of rent as required by HUD regulation;
8. Authorizing and processing evictions; and
9. Ongoing maintenance and modernization of the HAM.

D. Outreach

As much information as possible about HAM may be disseminated through local media (newspaper, radio, television, etc.). For those who call the HAM office, the staff will be available to convey essential information. The HAM may hold meetings with local social community agencies. The HAM may sponsor "Open House" programs within the HAM community to attract potential residents, to inform them about Fair Housing requirements, and to view a HAM housing unit. The HAM may make known to the public, through publications

in a newspaper of general circulation as well as through minority media and other suitable means, the availability and nature of housing assistance for lower income families. The notice shall inform such families where they may apply for HAM housing. The HAM shall take affirmative actions to provide opportunities to participate in the program to persons who, because of such factors as race, ethnicity, sex of household head, age, or source of income, are less likely to apply for Public Housing.

SECTION II: FAIR HOUSING POLICY

It is the policy of the HAM to comply fully with all Federal, State, and local nondiscrimination laws and in accordance with the rules and regulations governing Fair Housing and Equal Opportunity in housing and employment and with the Americans with Disabilities Act. Specifically, the HAM shall not on account of race, color, sex, religion, creed, national or ethnic origin, familial status, or disability, deny any family or individual the opportunity to apply for or receive assistance under HUD's Public Housing Programs, within the requirements and regulations of HUD and other regulatory authorities. To affirmatively further the goals of Fair Housing, the HAM will provide access to information to HAM residents regarding "discrimination," including a Fair Housing Brochure when adopted. Also, this subject will be discussed during the briefing session and any complaints will be documented and made part of the applicant's/residents file.

SECTION III: PRIVACY RIGHTS

Applicants will be required to sign the Authorization for the Release of Information/Privacy Act Statement which states under what conditions HUD will release resident information. Requests for information by other parties must be accompanied by a signed release request in order for the HAM to release any information involving an applicant or participant, unless disclosure is authorized under Federal or State law or regulations. (Reference Form HUD 9886)

SECTION IV: DEFINITION OF TERMS

A. Annual Income (24 CFR PART 913.106)

Annual Income is the anticipated total income from all sources received by the family head and spouse (even if temporarily absent) and by each additional member of the family, including all imputed income derived from assets, for the twelve (12) month period following the effective date of initial determination or reexamination of income, exclusive of income that is temporary, nonrecurring or sporadic and exclusive of certain other types of income specified in 24 CFR Part 913.106.

If it is not feasible to anticipate a level of income over a 12-month period, the income anticipated for a shorter period may be annualized subject to a redetermination at the end of the shorter period.

Annual Income includes, but is not limited to the following:

1. The full amount, before any payroll deduction, of wages, salaries, and overtime pay, commissions, fees, tips, and bonuses, and other compensation for personal services;
2. Net income from the operation of a business or profession. Expenditures for business expansion or amortization of capital indebtedness shall not be deducted to determine net income from a business. An allowance for depreciation of assets used in a business or profession may be deducted based on straight line depreciation, as provided in Internal Revenue Service regulations.

Any withdrawal of cash or other assets from the operation of a business or profession will be included in income, except to the extent the withdrawal is reimbursement of cash or assets invested in the operation by the family;

3. Interest, dividends and other net income of any kind from real or personal property. Expenditures for amortization of capital indebtedness shall not be used as a deduction in determining net income. Where the family has Net family Assets in excess of \$5,000.00, Annual Income shall include the greater of the actual income derived from all Net family Assets, or a percentage of the value based on the current passbook savings rate (Periodically determined by HUD). An allowance for depreciation is permitted only as authorized in Part 2. assets invested by the family. Where the family has Net family Assets in excess of \$5,000.00, Annual Income shall include the greater of the actual income derived from all Net family Assets or a percentage of the value of such assets based on the current passbook savings rate as determined by HUD. An allowance for depreciation is permitted only as authorized in Part b. of this Section;
4. The full amount of periodic payments received from social security, annuities, insurance policies, retirement funds, pensions, disability or death benefit and other similar types of periodic receipts, including a lump sum payment for the delayed start of a Veterans Administration (VA) periodic payment;
5. Payments in lieu of earnings, such as unemployment and disability compensation, worker's compensation and severance pay;

6. Periodic and determinable allowances such as alimony and child support payments and regular contributions or gifts received from persons not residing in the apartment.

7. Welfare Assistance -

If the Welfare Assistance payment includes an amount specifically designated for shelter and utilities that are subject to adjustment by the Welfare Assistance agency in accordance with the actual cost of shelter and utilities, the amount of welfare assistance income shall consist of:

- a. The amount of the allowances or grant exclusive of the amount specifically designated for shelter or utilities, plus
- b. The maximum amount that the welfare assistance agency could in fact allow the family for shelter and utilities. If the family's Welfare Assistance is ratably reduced from the standard of need by applying a percentage, the amount calculated under this paragraph shall be the amount resulting from one application of the percentage;

Reduction of Welfare Assistance and the determination of rent:

- a. If the amount of welfare is reduced due to an act of fraud by a family member or because of any family member's failure to comply with requirements to participate in an economic self-sufficiency program or work activity, the amount of rent required to be paid by the family will not be decreased. In such cases, the amount of income attributable to the family will include what the family would have received had they complied with the welfare requirements and/or had not committed an act of fraud.
- b. If the amount of welfare assistance is reduced as a result of a lifetime time limit, the reduced amount is the amount that shall be counted as income.

8. Periodic and determinable allowances, such as alimony, child support payments, and regular contributions or gifts, including amounts received from any persons not residing in the dwelling.

9. All regular pay, special pay and allowances received by a member of the Armed Forces (whether or not living in the dwelling unit) who is head of the family, spouse, or other family member who dependents are residing in the apartment.

10. Payments to the head of the household for support of a minor or payments nominally

to a minor for his support but controlled for his benefit by the head of the household or a resident family member other than the head, who is responsible for his support;

11. Earned income of full-time students 18 years or older.
12. Veterans Administration compensation (Service Connected Disability or Death Benefits).

NOTE: If it is not feasible to anticipate a level of income over a twelve (12) month period, the income anticipated for a shorter period may be annualized, subject to a redetermination at the end of the shorter period.

Residents that receive lump-sum payments that are included as income and fall in the categories listed above, (excluding lump sum Supplemental Security Income (SSI) and lump sum Social Security Benefits (SS)), must report the income to the HAM management staff as soon as possible but no later than five (5) working days after receipt of the funds and the applicable portion of the payment that is due as back rent is due fourteen (14) days after the HAM notifies the family of the amount due.

Unreported Income: If a resident fails to report income, the tenancy, at the discretion of the HAM, may be terminated under the terms of the HAM's lease. If the act is determined by the HAM to be intentional, the resident will be obligated to pay the applicable portion of the rent for any and all unreported income within fourteen (14) days. If the unreported income was unintentional by the resident the resident will be billed for the amount due the HAM and the amount will be payable within fourteen (14) days. If the payment cannot be made in one payment, the resident may request the HAM to approve a repayment schedule. Any repayment agreement must be in writing and signed by the Resident and HAM representative.

Income does not include the following:

1. Income from employment of children (including foster children) under the age of 18 years;
2. Payments received for the care of foster children or foster adults (usually persons with disabilities, unrelated to the tenant family, who are unable to live alone);
3. Lump-sum additions to family assets, such as inheritances, insurance payments (including payments under health and accident insurance and worker's compensation), capital gains, and settlement for personal or property losses;
4. Amounts received by the family that are specifically for, or in reimbursement of, the cost of medical expenses for any family member;

5. Income of a live-in aide;
6. The full amount of student financial assistance paid directly to the student or to the educational institution;
7. The special pay to a family member serving in the Armed Forces who is exposed to hostile fire;
8. The amounts received from the following programs:
 - a. Amounts received under training programs funded by HUD;
 - b. Amounts received by a person with a disability that are disregarded for a limited time for purposes of Supplemental Security Income eligibility and benefits because they are set aside for use under a Plan to Attain Self-Sufficiency (PASS);
 - c. Amounts received by a participant in other publicly assisted programs that are specifically for or in reimbursement of out-of-pocket expenses incurred (special equipment, clothing, transportation, child care, etc.) and that are made solely to allow participation in a specific program;
 - d. Amounts received under a resident service stipend. A resident service stipend is a modest amount (not to exceed \$200 per month) received by a resident for performing a service for the Housing Authority or owner, on a part-time basis, that enhances the quality of life in the development. Such services may include, but are not limited to, fire patrol, hall monitoring, lawn maintenance, and resident initiatives coordination. No resident may receive more than one such stipend during the same period of time;
 - e. Incremental earnings and benefits resulting to any family member from participation in qualifying State or local employment training programs (including training programs not affiliated with a local government) and training of a family member as resident management staff. Amounts excluded by this provision must be received under employment training programs with clearly defined goals and objectives and are excluded only for the period during which the family member participates in the employment training program;
 - f. Temporary, nonrecurring or sporadic income (including gifts);

- g. Reparation payments paid by a foreign government pursuant to claims filed under the laws of that government by persons who were persecuted during the Nazi era;
- h. Earnings in excess of \$480 for each full-time student 18 years old or older (excluding the head of household and spouse);
- i. Adoption assistance payments in excess of \$480 per adopted child;
- j. For family members who enrolled in certain training programs prior to 10/1/99, the earnings and benefits resulting from the participation if the program provides employment training and supportive services in accordance with the family Support Act of 1988, Section 22 of the 1937 Act (42 U.S.C. 1437t), or any comparable Federal, State, or local law during the exclusion period. For purposes of this exclusion the following definitions apply:
 - 1). Comparable Federal, State or local law means a program providing employment training and supportive services that:
 - i. Is authorized by a Federal, State or local law;
 - ii. Is funded by the Federal, State or local government;
 - iii. Is operated or administered by a public agency; and
 - iv. Has as its objective to assist participants in acquiring employment skills.
 - 2). Exclusion period means the period during which the family member participates in a program described in this section, plus 18 months from the date the family member begins the first job acquired by the family member after completion of such program that is not funded by public housing assistance under the 1937 Act. If the family member is terminated from employment with good cause, the exclusion period shall end.
 - 3). Earnings and benefits means the incremental earnings and benefits resulting from a qualifying employment training program or subsequent job.
- 7. k. The incremental earnings due to employment during the 12-month period following date of hire shall be excluded. This exclusion will not apply for any family who concurrently is eligible for exclusion j. Additionally, this exclusion is only available to the following families:
- 8.

9. 1). families whose income increases as a result of employment of a family member who was previously unemployed for one or more years.
- 10.
11. 2). families whose income increases during the participation of a family member in any family self-sufficiency program.
- 12.
13. 3). families who are or were, within 6 months, assisted under a State TANF program.

(While HUD regulations allow for the housing authority to offer an escrow account in lieu of having a portion of their income excluded under this paragraph, it is the policy of this housing authority to provide the exclusion in all cases.)

- l. Deferred periodic amounts from supplemental security income and Social Security benefits that are received in a lump sum amount or in prospective monthly amounts;
- m. Amounts received by the family in the form of refunds or rebates under State or local law for property taxes paid on the dwelling unit;
7. n. Amounts paid by a State agency to a family with a member who has a developmental disability and is living at home to offset the cost of services and equipment needed to keep the developmentally disabled family member at home; or
7. o. Amounts specifically excluded by any other Federal statute from consideration as income for purposes of determining eligibility or benefits. These exclusions include:
 - 1) The value of the allotment of food stamps
 - 2) Payments to volunteers under the Domestic Volunteer Services Act of 1973
 - 3) Payments received under the Alaska Native Claims Settlement Act
 - 4) Income from submarginal land of the U.S. that is held in trust for certain Indian tribes
 - 5) Payments made under HHS's Low-Income Energy Assistance Program

- 6) Payments received under the Job Training Partnership Act
- 7) Income from the disposition of funds of the Grand River Band of Ottawa Indians
- 8) The first \$2000 per capita received from judgment funds awarded for certain Indian claims
- 9) Amount of scholarships awarded under Title IV including Work Study
- 10) Payments received under the Older Americans Act of 1965
- 11) Payments from Agent Orange Settlement
- 12) Payments received under the Maine Indian Claims Act
- 13) The value of child care under the Child Care and Development Block Grant Act of 1990
- 14) Earned income tax credit refund payments
- 15) Payments for living expenses under the AmeriCorps Program
1. 16) Additional income exclusions provided by and funded by the HAM

The HAM will not provide exclusions from income in addition to those already provided for by HUD.

B. Adjusted Annual Income

Annual income less the following allowances, determined in accordance with HUD regulations:

1. An allowance of \$480.00 for each dependent/member of the family (other than head of household or spouse) who is (1) seventeen (17) years of age or younger or (2) who is eighteen (18) years of age or older and a verified full-time student and/or is disabled according to this Section.
2. An allowance of \$400.00 for Elderly families whose head, spouse or sole member is sixty-two (62) years of age or older and is disabled according to this Section.

3. For any family that is not an Elderly family but has a disabled member other than the head of household or spouse, Disabled Assistance Expenses in excess of three percent of Annual Income, but this allowance may not exceed the employment income received by family members who are 18 years of age or older as a result of the assistance to the Disabled Person;
4. For any Elderly family;
 - a. That has no Disabled Assistance Expenses, an allowance for Medical Expenses equal to the amount by which the Medical Expenses exceed three percent of Annual Income;
 - b. That has Disabled Assistance Expenses greater than or equal to three percent of Annual Income, an allowance for Disabled Assistance Expenses computed in accordance with paragraph (c) of this section, plus an allowance for Medical Expenses that is equal to the family's Medical Expenses;
 - c. That has Disabled Assistance Expenses that are less than three percent of Annual Income, an allowance for combined Disabled Expenses and Medical Expenses that are equal to the amount by which the sum of these expenses exceed three percent of Annual Income; and
5. Child Care expenses, as defined below.

C. Flat Rent

Flat rents have been implemented in accordance with the Quality Housing and Work Responsibility Act and relevant HUD guidance and equal the Fair Market Rents as set by HUD.

D. Child

A member of the family, other than the family head or spouse, who is under eighteen (18) years of age.

E. Child Care Expenses

Child Care Expenses are amounts anticipated to be paid by the family for the care of children under thirteen (13) years of age during the period for which Annual Income is computed, but only where such care is necessary to enable a family member to be gainfully employed or to further his/her education and only to the extent such amounts are not reimbursed. In the case

of child care necessary to permit employment, the amount deducted must be verified and reflect reasonable charges and shall not exceed the amount of income received from such employment. The HAM will not normally determine child care expenses as necessary when the household contains an additional unemployed adult who is physically capable of caring for the children. An example of an exception may be an unemployed adult that is not capable of caring for a child because of some type of disability. The head of household must document the disability that prevents the adult from providing child care.

F. Citizen

A citizen or national of the United States.

G. Dependent

A member of the family household other than the head of household or spouse who is under eighteen (18) years of age (excluding foster children), or who is eighteen (18) years of age or older and a full-time student, or who is a disabled person. An unborn child shall not be considered a dependent.

H. Person with Disabilities

A person having a physical or mental impairment which:

1. Is expected to be of long-continued and indefinite duration;
2. Substantially impedes his/her ability to live independently, and
3. Is of such a nature that such disability could be improved by more suitable housing conditions.

NOTE: All three conditions must be met to qualify as a disabled person. A single person who is under a disability as defined in Section 223 of the Social Security Act (42 U.S.C. 423) or who has a developmental disability as defined in Section 102 (7) of the Developmental Disabilities Assistance and Bill of Rights Act (42 U.S.C. 6001(7)), or is disabled as defined below:

4. Section 223 of the Social Security Act defines disability as:
 - a. "Inability to engage in any substantial gainful activity by reason of any medically determinable physical or mental impairment which can be expected to result in death or which has lasted or can be expected to last for a continuous period of not less than twelve (12) months; or

b. In the case of any individual who has attained the age of fifty-five (55) years of age and is blind (within the meaning of "blindness" as defined in Section 416(i) of this title), inability by reason of such blindness to engage in substantial gainful activity requiring skills or abilities comparable to those of any gainful activity in which an individual has previously engaged with some regularity and over a substantial period of time.

c. Section 102 (7) of the Development Disabilities Services and Facilities Construction Amendment of 1970 defines disability as:

"A disability attributable to mental retardation, cerebral palsy, epilepsy or another neurological condition of an individual found by the Secretary (of Health and Human Resources) to be closely related to mental retardation or to require treatment similar to that required for mentally retarded individuals, which disability originates before such individual attains age eighteen (18) years of age which has continued or can be expected to continue indefinitely and which constitutes a substantial disability to such individual.

I. Elderly Family

A family whose head or spouse (or sole member) is an Elderly, or Disabled person. It may include two or more Elderly or Disabled persons living together, or one or more of these persons living together, or one or more of these persons living with one or more Live-in Aides.

J. Elderly Person

A person who is at least sixty-two (62) years of age.

K. Familial Status

A single pregnant woman and individuals in the process of obtaining custody of any individual who has not attained the age of eighteen (18) years are processed for occupancy the same as a single person (Reference Federal Register published February 13, 1996, pages 5,662 and 5,663). In Section II "Reinventing Parts 812 and 912" of the Federal Register states:

"The April 10, 1992 proposed revisions to parts 812 and 912, which concern section 5(b) of the Fair Housing Amendments Act of 1988 (HAMA) and the treatment of single, pregnant women obtaining custody, are not included in the final rule. The statutory prohibition against housing discrimination towards such persons is sufficiently clear and enforceable. Since the present age limit for occupancy by single persons (which could have been used to mask instances of discrimination, against persons in protected classes) has been eliminated, it is no

longer necessary to distinguish persons in the HAMA-protected classes from other single persons." Therefore, a single pregnant woman and individuals in the process of obtaining custody of any individual who has not attained the age of eighteen (18) years of age are processed for occupancy the same as a single person and only entitled to a one bedroom unit. Once the child is born and/or custody is obtained, the family will qualify for a two bedroom unit and authorized to transfer as outlined in Section XIX Transfer Policy.

L. Family

The term "family" as used in this policy means:

1. Two or more persons related by blood, marriage, adoption, operation of law or can verify a stable relationship for a minimum of six (6) months, e.g., receiving mail at the same address, joint credit or other financial accounts or utilities, etc. A family with or without children (the temporary absence of a child from the home due to placement in foster care shall not be considered in determining family composition and family size); who live regularly together as a single household in the dwelling unit. By definition, a family must contain a competent adult of at least nineteen (19) years of age or eighteen (18) years of age and married (not common law) to enter into a contract and capable of functioning as the head of the household. Note: If an individual is eighteen (18) years of age and qualifies under the definition of family by being married, the head of household and the spouse must be parties to the lease. There must be some concept of family living beyond the mere sharing or intention to share housing accommodations by two or more persons to constitute them as a family within the meaning of this policy. Some recognized and acceptable basis of family relationship must exist as a condition of eligibility;
2. An elderly family;
3. A near-elderly family;
4. A disabled family;
5. The remaining member of a resident family; and
6. A single person who is not an elderly or displaced person, or a person with disabilities, or the remaining member of a resident family. A single person who is not elderly or a person with disabilities or the remaining member of a resident family may not be provided a housing unit with two or more bedrooms (Ref. 24 CFR 982.207 "Housing Assistance Limitation for Single Persons," first published on February 13, 1996.)

M. Foster Adults/Children

With the prior written consent of the HAM, a foster adult or child may reside on the premises. The factors considered by the HAM in determining whether or not consent is granted may include:

1. Whether the addition of a new occupant may require a transfer of the family to another unit, and whether such units are available.
2. The HAM's obligation to make reasonable accommodations for disabled persons.

N. Full Time Student

A member of a family (other than the head of household or spouse) who is carrying a subject load which is considered full-time for day students under the standards and practices of the educational institution attended. An educational institution includes a vocational school with diploma or certificate program, as well as an institution offering a college degree. Verification will be supplied by the attended educational institution.

O. Disabled Assistance Expense

Reasonable expenses that are anticipated, during the period for which Annual Income is computed, for attendant care and auxiliary apparatus for a disabled family member and that are necessary to enable a family member (including the disabled member) to be employed, provided that the expenses are neither paid to a member of the family nor reimbursed by an outside source.

P. Hazardous Duty Pay

Pay to a family member in the Armed Forces away from home and exposed to hostile fire.

Q. Head of Household

The adult member of the family who is the head of the household for purposes of determining income eligibility and rent. Also, the head of household is primarily responsible and accountable for the family, particularly in regard to lease obligations.

R. Interim Determination of Rent

Changes of rent between admissions and reexaminations and the next succeeding reexamination.

S. INS

The U.S. Immigration and Naturalization Service.

T. Live-in Aide

A person and, as space permits, a person's dependents, who resides with an Elderly, or person with disabilities or persons and who:

1. Is determined by the HAM to be essential to the care and well-being of the person(s);
2. Is not obligated for support of the person(s);
3. Would not be living in the unit except to provide necessary supportive services. The income of a Live-in Aide that meets these requirements is not included as income to the resident family. NOTE: A Live-in Aide must be approved, in advance, by the HAM and meet applicant screening requirements for public housing occupancy.

U. Lower Income Family

A family whose Annual Income does not exceed eighty percent (80%) of the median income for the area, as determined by HUD with adjustments for smaller and larger families. HUD may establish income limits higher or lower than eighty (80) percent of the median income for the area on the basis of its finding that such variations are necessary because of the prevailing levels of construction costs or unusually high or low family incomes.

V. Medical Expense

Those necessary medical expenses, including medical insurance premiums, that are anticipated during the period for which Annual Income is computed, and that are not covered by insurance. Medical expenses, in excess of three (3%) percent of Annual Income, are deductible from income by elderly families only. To be eligible for this deduction, either the head or spouse is at least age 62, or disabled.

W. Minimum Rent

The minimum rent established by HAM is \$ 0.00.

X. Mixed Family

A family whose members include those with citizenship or eligible immigration status and those without citizenship or eligible immigration status. (24 CFR 5.504(b))

Y. Monthly Adjusted Income

One-twelfth of Adjusted Income.

Z. Monthly Income

One Twelfth of Annual Income.

AA. National

A person who owes permanent allegiance to the United States, for example, as a result of birth in a United States territory or possession.

BB. Near Elderly

A family whose head or spouse or "sole member" is at least fifty (50) years of age, but below the age of sixty-two (62).

CC. Net Family Assets

Net family Assets means the net cash value after deducting reasonable costs that would be incurred in disposing of real property, savings, stocks, bonds, and other forms of capital investment, excluding interests in Indian trust land and excluding equity accounts in HUD homeownership programs. The value of necessary items of personal property such as furniture and automobiles shall be excluded. (In cases where a trust fund has been established and the trust is not revocable by, or under control of, any member of the family or household, the value of the trust fund will not be considered an asset so long as the fund continues to be held in trust. Any income distributed from the trust fund shall be counted when determining Annual Income under 24 code of Federal Regulations (CFR) 913.106).

In determining Net family Assets, the HAM shall include the value of any business or family assets disposed of by an applicant or resident for less than fair market value (including a disposition in trust, but not in a foreclosure or bankruptcy sale) during the two (2) years preceding the date of application for the program or reexamination, as applicable, in excess of the consideration received therefore. In the case of a disposition as part of a separation or divorce settlement, the disposition will not be considered to be for less than fair market value if the applicant or resident receives important consideration not measurable in dollar terms.

DD. Noncitizen

A person who is neither a citizen nor national of the United States.

EE. Public Housing Agency

Any State, County, Municipality or other government entity or public body (or agency or instrumentality thereof) that is authorized to engage in or assist in the development or operation of housing for lower income families.

FF. Reexamination Date

The date on which any rent change is effective or would be effective if required as a result of the reexamination of eligibility and rent. The reexamination date(s) is April 1st for both non elderly and elderly residents.

GG. Remaining Member of the Resident Family

The person(s) of legal age remaining in the public housing unit after the person(s) who signed the lease has left the premises, other than by eviction, who may not normally qualify for assistance on their own circumstances. An individual must occupy the HAM unit, and be named in the lease as part of the household to which he claims head of household status for one year before becoming eligible for subsidized housing as a remaining family member. This person must complete forms necessary for housing within ten (10) days from the departure of the leaseholder and may remain in the unit for a reasonable time pending the verification and grievance process. This person must, upon satisfactory completion of the verification process, then execute a new lease and cure any monetary obligations in order to remain in the unit. Any person who claims him or herself as a remaining member shall, in the event that the HAM declares him or her ineligible for remaining member status, be entitled to the grievance process upon notice to him or her that he or she is not considered to be a remaining member of the household and or eligible. This grievance process must be requested in writing within five (5) business days of the notification from the HAM that the remaining family member is ineligible for remaining member status or ineligible. In the interim time between the time of the request for the grievance process and the decision by the hearing officer, all rent which was due pursuant to the lease, shall be deposited into an escrow account with the HAM under the same provisions as those relating to residents requesting a grievance hearing relating to rent under the grievance process. The HAM does not recognize the person as a resident by giving him or her the opportunity for a grievance hearing. A remaining member shall not be considered to be a resident until such time as a new lease is executed by the HAM and the person granted resident status after the verification process.

HH. Separation

Separation means the ending of co-habitation by mutual agreement. If an applicant is divorced*

or separated and has children by that spouse, applicant must provide at least one of the verification listed below:

1. A final divorce decree *(Applies to individuals who are legally divorced and are not legally separated and is the only documentation accepted for individuals that are divorced.)
2. Verification of court-ordered child support from former spouse.
3. Verification that applicant is pursuing child support through the Department of Human Resources, Child Support Unit, or Circuit Clerks Office.
4. Verification through the Department of Human Resources that the family is receiving TANF (Temporary Assistance for Needy families) for the former spouse's children.
5. A written statement from a lawyer that the applicant has filed suit for divorce and or legal separation.
6. If an applicant is legally divorced or legally separated form a person and has no children by that person, applicant must provide either a final divorce decree or a written statement form a lawyer that applicant has filed suit for divorce.

Note: If applicant is legally divorced or legally separated for the reason of physical abuse, the applicant will be required to sign a statement to the effect that the separated or divorced person will not be permitted in the resident's apartment or on the resident's property because he or she presents a threat to the peaceful enjoyment of the property by the applicant and others. Also, the person involved with physical abuse will not be allowed on the premises as long as the applicant lives in assisted housing within the HAM jurisdiction.

II. Single Person

A person who lives alone, or intends to live alone, and who does not qualify as an elderly family, disabled family or as the remaining member of a resident family.

JJ. Spouse

A spouse means the husband or wife of the head of household.

KK. Tenant Rent

The amount payable monthly by the family as rent to the HAM. Where all utilities (except telephone) and other essential housing services are supplied by the HAM, Tenant Rent equals

Total Tenant Payment. Where some or all utilities (except telephone) and other essential housing services are not supplied by the HAM and the cost thereof is not included in the amount paid as rent, Tenant Rent equals Total Tenant Payment less the Utility Allowance.

NOTE: The monthly rent that is payable by the resident must be paid in full, no partial payments will be accepted.

LL. Total Tenant Payment (TTP)

The monthly amount calculated according to 24 CFR 913. 107, and does not include charges for excess utility consumption or other miscellaneous charges. The minimum rent for families participating in the Public Housing Program is \$ 0.00.

TTP for families shall be the greater of the following rounded to the nearest dollar:

1. 30 percent of monthly adjusted income;
2. 10 percent of monthly income;
3. Minimum rent of \$ 0.00.

Rent will never exceed established fair market rents as set from time to time by the Department of Housing and Urban Development. These rents are called Flat Rents.

MM. Utility Allowance

If the cost of utilities (except telephone) and other housing services for an assisted unit is not included in the resident rent, but is the responsibility of the family occupying the unit, an amount equal to the estimate made or approved by the HAM or HUD, 24 CFR 965 of the monthly cost of a reasonable consumption of such utilities and other services for the unit by an energy-conservative household of modest circumstances consistent with the requirements of a safe, sanitary and healthful living environment.

NN. Utility Reimbursement Payment

Utility Reimbursement Payment is the amount, if any, by which the Utility Allowance for the unit, if applicable, exceeds the Total Tenant Payment for the family occupying the unit.

It is possible for HAM residents to qualify for a utility reimbursement despite the requirement of a minimum rent.

OO. Very Low-Income Family

A Lower Income family whose Annual Income does not exceed thirty (30%) percent of the median income for the area, as determined by HUD, with adjustments for smaller and larger families. HUD may establish income limits higher or lower than thirty (30%) percent of the median income for the area on the basis of its finding that such variations are necessary because of unusually high or low family incomes.

F.

PP. Veteran/Widow of Veteran

A person who served in the active military of the United States and was honorable discharged. The active military includes the Army, Navy, Air Force, Marine Corps, Coast Guard, and since July 29, 1945, the commissioned corps of the United States Public Health Service. The widow of a veteran is the husband or wife of a deceased veteran.

SECTION V: APPLYING FOR ADMISSION

A. How to apply

Families wishing to apply for housing with the HAM shall obtain and complete a rental application for public housing assistance. Applications can be picked up at the HAM management office located at 716 Nash Drive. Upon completion of the application, the applicant will have an interview with HAM staff.

During the interview the applicant(s) will be given a broad view of HAM policies and procedures as well as the following:

1. Determination of preference eligibility
2. Determination of citizenship or eligible non-citizen status
3. Estimate of monthly rent (formula rent) and the established flat rents
4. Security deposit requirements
5. Utility deposit requirements
6. Waiting list management
7. Fair Housing policies and brochure

Applications are taken to compile a waiting list. Due to the demand for housing in the HAM jurisdiction, the HAM may take applications on an “open enrollment basis,” depending on the length of the waiting list.

The date and time will be noted on all applications. Individuals who has a physical impairment which could prevent them from compelling an application may call the HAM to make special arrangement to complete their application. A telecommunications device for the deaf (TDD) is available for the hearing impaired. If the applicant is visually impaired, a reasonable accommodation will be made.

B. Closing of Application Taking

If the waiting list is open, the HAM may suspend the taking of applications if the waiting list is such that additional applicants would not be able to occupy a HAM unit within the next twelve (12) month period, as determined solely by the HAM. Application taking may be suspended by bedroom size, if applicable. The HAM will make known to the public through publication in a newspaper of general circulation, minority media, and other suitable means the fact that applications for HAM units are being suspended. To reach persons who cannot read the newspapers, the HAM will distribute fact sheets to the broadcasting media. Personal contacts with the news media and with community service personnel, as well as public service announcements, will be made.

C. Opening of Application Taking

When the HAM decides to start taking applications, the waiting list may be opened by bedroom size. The HAM will utilize the following procedures:

The HAM will make known to the public through publication in a newspaper of general circulation, minority media, and other suitable means the availability and nature of housing assistance for eligible families. The Notice must contain the following:

1. The HAM will publish the date applications will be accepted and the location where applications can be secured. NOTE: If the HAM anticipates suspending the taking of applications after a period of time, the date of acceptance and closing of applications must be published.
2. Briefly describe the public housing programs; and
3. To reach persons who cannot read the newspapers, the HAM will distribute fact sheets to the broadcasting media. Personal contact with the news media and with community service personnel, as well as public service announcements, will be made.

D. Application Period Dates

The application taking closing date may be determined administratively at the same time that the HAM determines to open enrollment. The open enrollment period shall be long enough to allow enough applicants as required by the projected turnover and the number of HAM vacancies.

SECTION VI: MISSED APPOINTMENTS

An applicant or resident who fails to keep a scheduled appointment without notifying the HAM and without rescheduling the appointment shall be sent a notice of termination of the process for failure to supply such certification, release of information or documentation as the HAM and HUD determines to be necessary (or failure to allow the HAM to inspect the dwelling unit at reasonable times and after reasonable notices, if applicable) in the following situations:

- Complete application
- Brining in verification information
- Briefing prior to occupancy
- Lease signature
- Recertification
- Interim adjustment
- Other appointments or requirements to bring in documentation as listed in this plan
- Move-in appointments

Process when appointment(s) are missed: For most of the functions above, the family may be given two appointments. If the family does not appear or call to reschedule the appointment(s) required, the HAM may begin termination procedures. The applicant or resident will be given an opportunity for an informal meeting or hearing, as appropriate pursuant to the grievance process. If the representative of the HAM or hearing officer makes a determination in favor of the applicant/resident, the HAM will comply with the decision unless the provisions of Section 7 of the Grievance Procedure are applicable to the hearing officer's decision.

Letter mailed to applicants by the HAM: If an applicant claims they did not receive a letter mailed by the HAM that requested the applicant to provide information or to attend an interview, the HAM will determine whether the letter was returned to the HAM. If the letter was not returned to the HAM, the applicant will be assumed to have received the letter. If the letter was returned to the HAM, and the applicant can provide evidence that they were living at the address to which the letter was sent, the applicant will be reinstated with the date and time of the applicant in effect at the time the letter was sent. **APPLICANTS MUST NOTIFY THE HAM, IN WRITING WITHIN TEN DAYS, IF THEIR ADDRESS CHANGES DURING THE APPLICATION PROCESS.**

SECTION VII: MISREPRESENTATION BY THE APPLICANT OR RESIDENT

If an applicant is found to have made false statements on the Rental Application, the application process will be terminated. If an applicant or resident is found to have made willful misrepresentations at any time which resulted in the applicant or resident being classified as eligible, when, in fact, they were ineligible, applicant or resident will be declared ineligible and the lease and/or application will be terminated because of the misrepresentation by the applicant/resident. If such misrepresentation resulted in the resident paying a lower rent than was appropriate, the resident shall be required to pay the difference between the actual payments and the amount which should have been paid. In justifiable instances, the HAM may take such other actions as it deem appropriate, including referring the resident to the proper authorities for possible criminal prosecution.

SECTION VIII: ADMISSION ELIGIBILITY AND CRITERIA

- A. To be eligible for admission to this PHA, each applicant must meet all of the following requirements:
1. Qualify as a family – Group of two or more persons related by blood, marriage, or adoption, or who maintains a continuous stable relationship (six months or more) and who will live regularly together in the same residence; a single person who is either displaced by Government Action, is at least 62 years of age, or disabled; a single pregnant woman with no other family members; a single person who is in the process of securing legal custody of any individual who has not attained the age of 18 years, or a single person
 2. Heads household where all members of the household are citizens or eligible noncitizens.
 3. Have an “Annual Income” that does not exceed the applicable income limits, except as permitted in HUD regulation. The HAM shall comply with the income targeting requirements as stated in the Quality Housing and Work Responsibility Act of 1998, i.e., in general, that at least 40 percent of the newly admitted families during a fiscal year will have incomes below 30 percent of the area median income.
 4. Provides Social Security number verification for all family members, age 6 or older, or can document and certify that they do have a Social Security number.
 5. Have signed HUD 9886 Authorization for the Release of

Information/Privacy Act Notice as well as in house Release of Information form.

6. Conform to the Occupancy Standards;
7. Have satisfactory history of meeting financial obligations, especially rent;
8. Have a satisfactory rental history, i.e. does not have a record of disturbance of neighbors, destruction of property, or living or housekeeping habits at prior residences which may have adverse effect on the health, safety, or welfare of other residents;
9. Does not owe rent or other amounts to the HAM or any other housing programs in connection with the Public Housing, Section 8 housing, or any other Federally assisted housing program;
10. Applicant or any member of applicant's household has not committed fraud in connection with any Federal housing program;
11. Does not have a history of violence to people or property, or criminal or acts which would have an adverse effect on the health, safety, and welfare of other residents;
12. Who would not have adverse influence upon sound family and community life; Provided, the HAM shall have the prerogative and the responsibility to reconsider for eligibility any family who presents verifiable evidence of rehabilitation, evidence of willingness to participate in social or counseling programs, and evidence of the family's willingness to increase family income.
13. If an applicant has been evicted from housing assisted under the U.S. Housing Act (Public, Indian, Section 8, or Section 23 housing) because of drug-related activity (drug use or drug distribution) or other criminal activity by any member of the applicant family, the applicant shall be ineligible for admission to public housing for a three-year period beginning on the date of such eviction.

However, the HAM may waive this restriction for a particular applicant if the HAM determines that the evicted persons:

- a. successfully completed a rehabilitation program approved by the HAM;
- b. the circumstances leading to the eviction no longer exist, such as:
 - 1) clearly did not participate in or know about the drug-related activity; or

2) no longer participates in any drug-related activity.

14. Any person who the HAM determines is illegally using a controlled substance and that there is a reasonable cause to believe that the person abuses alcohol in a way that may interfere with the health, safety, or right to peaceful enjoyment of the premises by other residents must be denied admission.

However, the HAM may waive the requirement to deny admission if the person demonstrates to the HAM's satisfaction that the person is no longer engaging in the drug-related activity or abuse of alcohol and:

- a. has successfully completed a supervised drug or alcohol rehabilitation program;
- b. is participating in a supervised drug or alcohol rehabilitation program.

B. Head of Household must be nineteen (19) years of age or older or eighteen (18) years of age and married (not common law) or a person that has been relieved of the disability of non-age by court action (sometimes referred to as Majority papers).

C. Sources of information for eligibility determination may include, but are not limited to, the applicant (by means of interviews or home visits), landlords, employers, family social workers, parole officers, court records, drug treatment centers, clinics, physicians, state or local police departments, and the National Crime Information Center, where warranted by the particular circumstances as determined solely by the HAM. Information relative to the acceptance or rejection of an applicant shall be documented and placed in the applicant's file. Such documentation may include reports of interviews, letters, or telephone conversations with reliable sources. At a minimum, such reports shall indicate the date, the source of the information, including the name and title of the individual contacted, and a resume of the information received.

D. If the applicant is determined ineligible, he/she will be so informed and the reasons stated in writing. The HAM's grievance policy, available to the public for review by request, shall be employed as applicable.

E. In addition, under Section 24 CFR 912.3, the HAM is permitted to determine as eligible, single persons living alone or intending to live alone who do not meet any of the definitions of a family (Ref CFR 912.2), if the HAM makes certain that all three of the following requirements are met:

- 1. Elderly families (including Disabled Persons) are given preference over single persons;

2. Near Elderly at least fifty (50) years of age, but below the age of sixty-two (62) years of age are given preference over single applicants; and
 3. Single persons are only eligible for efficiency units or one bedroom units per HAM's 0 Bedroom Policy.
- F. If there are no eligible families on the waiting list and the HAM has published a 30-day notice of available units in at least one newspaper of general circulation, families above the applicable income limit may be housed. They must vacate the unit if an eligible family applies.
7. G. Citizenship/Eligibility Status
1. To be eligible each member of the family must be a citizen, national, or a noncitizen who has eligible immigration status under one of the categories set forth in Section 214 of the Housing and Community Development Act of 1980 (see 42 U.S.C. 1436a(a)).
 2. Family eligibility for assistance.
 1. a. A family shall not be eligible for assistance unless every member of the family residing in the unit is determined to have eligible status, with the exception noted below.
 - b. Despite the ineligibility of one or more family members, a mixed family may be eligible for one of three types of assistance. (See Section 13.6 for calculating rents under the noncitizen rule)
 3. A family without any eligible members and receiving assistance on June 19, 1995, may be eligible for temporary deferral of termination of assistance.
- H. Any other reasonable information needed to determine eligibility for housing may be requested by the HAM, which may include police reports. Police reports may be secured through local departments, state departments and the National Crime Information Center (NCIC).

SECTION IX: GROUNDS FOR DENIAL OF ADMISSION

The HAM is not required or obligated to assist applicants who:

- A. Do not meet any one or more of the eligibility criteria;

- B. Do not supply information or documentation required by the application process;
- C. Have failed to respond to a written request for information or a request to declare their continued interest in the program, or have not provided such information in a timely manner;
- D. Have a history of not meeting financial obligations, especially rent;
- E. Do not have the ability to maintain (with assistance) their housing in a decent and safe condition where such habits could adversely affect the health, safety, or welfare of other tenants;
- F. Have a history of criminal activity by any household member involving crimes of physical violence against persons or property and any other criminal activity including drug-related criminal activity that would adversely affect the health, safety, or well being of other tenants or staff or cause damage to the property;
- G. Have a history of disturbing neighbors or destruction of property, or of living or housekeeping habits which may adversely affect the health, safety, or welfare of other residents.;
- H. Currently owes rent or other amounts to any housing authority in connection with their public housing or Section 8 programs;
- I. Have committed fraud, bribery or any other corruption in connection with any Federal housing assistance program, including the intentional misrepresentation of information related to their housing application or benefits derived there from;
- J. Were evicted from assisted housing within three years of the projected date of admission because of drug-related criminal activity involving the personal use or possession for personal use;
- K. Were evicted from assisted housing within five years of the projected date of admission because of drug-related criminal activity involving the illegal manufacture, sale, distribution, or possession with the intent to manufacture, sell, distribute a controlled substance as defined in Section 102 of the Controlled Substances Act, 21 U.S.C. 802;
- L. Are illegally using a controlled substance or are abusing alcohol in a way that may interfere with the health, safety, or right to peaceful enjoyment of the premises by other residents. The HAM may waive this requirement if:
 - 1. The person demonstrates to the HAM's satisfaction that the person is no longer engaging in drug-related criminal activity or abuse of alcohol;
 - 2. Has successfully completed a supervised drug or alcohol rehabilitation program;

3. Has otherwise been rehabilitated successfully; or
 4. Is participating in a supervised drug or alcohol rehabilitation program.
- M. Have engaged in or threatened abusive or violent behavior towards any HAM staff or residents;
- N. Have a household member who has ever been evicted from public housing;
- O. Have a family household member who has been terminated under the certificate or voucher program;
- P. Time frames:

Denied for Life: If any family member has been convicted of manufacturing or producing methamphetamine (speed) in a public housing development or in a Section 8 assisted property;

Denied for Life: Has a lifetime registration under a State sex offender registration program.

Denied for two years: Has a poor rental record, poor rent paying habits, bad housekeeping habits in and outside the unit, a history of damages to the unit, a history of disturbances, a record of permitting those not on the lease to reside in the unit, or demonstrates hostile behavior during the interview that indicates that the applicant may be a threat to the residents or staff.

Denied for three years: Persons evicted from any federally assisted housing program because of drug-related criminal activity (except for methamphetamine as stipulated above) including any personal use or possession for personal use. The HAM can waive this requirement if the person demonstrates to HAM's satisfaction successful completion of a rehabilitation program approved by the HAD, or the circumstances leading to the eviction no longer exist.

Denied to five years: Persons engaging in fraudulent activity or those with an arrest record that indicates that the applicant may be a threat and/or negative influence on other residents or staff.

Denied for ten years: Any family with a member convicted of drug trafficking, except as provided regarding methamphetamine, in which case the family will be denied for life as long as the individual remains a member of the family.

As noted above these time frames are only guidelines and the HAM may deny admission to any individual whose behavior may adversely affect the health, safety, or welfare of other residents or may admit persons who exhibit evidence of rehabilitation.

SECTION X: TENANT SELECTION AND ASSIGNMENT PLAN

A. Preferences

The HAM as adopted local preferences, in accordance with the Quality Housing and Work Responsibility Act of 1998 and HUD regulations, that are applied when determining an applicant's place on the waiting list. In cases where applicants' numerical points are equivalent, selection will be based on chronological order of application. These preferences are cumulative, i.e., an applicant may have as many preference points as he or she qualifies for.

These preferences, and the points assigned, are as follows (NOTE: please see the certification section immediately following the list of preferences):

Preference	Points
1. Working	
a) More than 36 hours/week	20
b) Equal to or greater than 20 but less than 36	10
c) Equal to or greater than 10 but less than 20	8
2. School/Education	
a) 12 or more credit hours per week (college or vocational school)	7
b) More than 3 but less than 12 credit hours per week (college or vocational school)	5
c) Adult continuing education (e.g., JOBS, JTPA, GED, etc.)	5
3. Job Relocation	
a) Relocating to the County because of a job	5
4. Veteran/Widow of a Veteran	5

B. Preference Certifications Required

The following certifications are required in order to be granted any preferences(s)

1. Employment: The "Employer Verification Form" supplied by the HAM and verified by the employer.
2. Student: A student schedule showing total credit hours or a letter from the educational institution on its letterhead, stating total number of credit hours.

3. Adult continuing education: A certification form the relevant agency on its letterhead stating the program participating in.
4. Job relocation: Letter from the employer on its letterhead stating the applicant's current address outside of the County.
5. Veteran/veteran's widow: A copy of the DD2 form.

C. Verification of Preference (Timing)

At the time of the application interview, initial determinations of an applicant's entitlement to a Preference may be made on the basis of an applicant's certification of their qualification for the preference. Before selection is made, this qualification must be verified

D. Equal Opportunity

The Fair Housing Act makes it illegal to discriminate on the basis of race, color, religion, sex, disability, familial status and national origin. The HAM shall not deny to any family the opportunity of applying for admission nor shall it deny to any eligible applicant the opportunity of leasing or renting a dwelling suitable to its need in any low-rent project by the HAM.

E. Selection Process

Residents shall be selected from among eligible applicant families whose family composition is appropriate to available dwelling units. The HAM will take into consideration the needs of individual families for low rent housing and the statutory purpose in developing and operating a socially and financially sound low-income housing project, which provides a decent home and a suitable living environment and fosters economic and social diversity in the resident body as a whole. Selection will be made in such a manner as:

1. To avoid concentrations of the most economic and socially deprived families in one or all of the projects operated by the HAM;
2. To preclude admission of applicants whose habits and practices may reasonable be expected to have a detrimental effect on the residents or the development environment;
3. To maintain a resident body in each project composed of families with a broad range of income and rent paying ability which is generally representative of the range of incomes of low income families in the HAM's area of operation as defined by state law.

4. The HAM shall follow the statutory requirement that at least 40% of newly admitted families in any fiscal year be families whose annual income is at or below 30% of the area median income. To insure this requirement is met we shall quarterly monitor the incomes of newly admitted families and the incomes of the families on the waiting list. If it appears that the requirement to house extremely low-income families will not be met, we will skip higher income families on the waiting list to reach extremely low-income families.

If there are not enough extremely low-income families on the waiting list we will conduct outreach on a non-discriminatory basis to attract extremely low-income families to reach the statutory requirement.

5. Deconcentration of poverty: It is HAM's policy to provide for deconcentration of poverty and encourage income mixing by bringing higher income families into lower income developments and lower income families into higher income developments. Toward this end, we will skip families on the waiting list to reach other families with a lower or higher income. We will accomplish this in a uniform and non-discriminating manner.

The HAM will affirmatively market our housing to all eligible income groups. Lower income residents will not be steered toward lower income developments and higher income people will not be steered toward higher income developments.

Prior to the beginning of each fiscal year, we will analyze the income levels of families residing in each of our developments, the income levels of census tracts in which our developments are located, and the income levels of the families on the waiting list. Based on this analysis, we will determine the level of marketing strategies and deconcentration incentives to implement.

The HAM may offer one or more incentives to encourage applicant families whose income classification would help to meet the deconcentration goals of a particular development.

Various incentives may be used at different times, or under different conditions, but will always be provided in a consistent and nondiscriminatory manner.

F. One-Offer Resident Assignment Plan

This plan is not based on the distribution of vacancies in the HAM's jurisdiction. The applicant shall be offered a suitable apartment of appropriate size. If the applicant refuses the offer without good cause, the applicant's name goes to the bottom of the waiting list. The good

cause reason includes, but is not limited to, accessibility of applicant's work site, children's school, etc., from the proposed apartment complex. The HAM will maintain records to document its action in the following manner:

1. The location and size of each apartment offered;
2. The name, family size, race/ethnicity, and priority ranking of the applicant to whom each offer is made;
3. The date of acceptance or rejection of the offer; and,
4. The reason(s) for rejection of the offer, if applicable, and the action taken by the HAM with respect to the rejection in regards to the good-cause reason or lack thereof.

The HAM shall promptly notify an applicant, in writing, who is determined to be ineligible for admission. The HAM will state the reason for the ineligibility and provide the applicant upon request, within a reasonable time after the determination has been made, with an opportunity for an informal hearing on such determination; and to promptly notify, in writing, an applicant determined to be eligible of the approximate date she/he can be housed insofar as that date can be reasonably determined. A reasonable time as determined by the HAM is five (5) working days to respond if applicant desires an informal hearing.

G. Order of Selection

Applications will be filed in the following hierarchical order:

1. Unit size/type needed by applicants
2. Local preference applicants
3. Date and time of application

When a vacancy occurs, the HAM will select the family according to the Local Preference Policy established by the HAM. If more than one family qualifies under these terms the oldest application according to date and time will be selected. An elderly family including disabled families will be given a preference over a single person for a one bedroom apartment. Also in developments designated for the elderly, a near elderly applicant will be given preference over a single person. An applicant can reject an offer one (1) time before losing their place on the waiting list. If an applicant rejects the offer, the applicant will be notified at that time that due to the fact they refused the offer of assistance, the date and time of their application is being changed to the date and time that they refused the offer and their name will go to the bottom of the waiting list. This will be explained verbally and followed-up in writing to the

applicant. The HAM will notify (verbally and in writing) the applicant that their actions may affect their place on the waiting list, and the next offer of assistance will be made when their name reaches the top of the waiting list.

SECTION XI: GROUNDS FOR DENIAL AND OPPORTUNITY FOR HEARING

If the HAM determines that an applicant does not meet the criteria for receiving housing, the HAM must promptly provide the applicant with notice of the determination. The notice must contain a brief statement of the reasons for the determination, and state that the applicant has the right to meet with the HAM designee to review it.

The HAM's grievance policy shall govern the dispute resolution process.

SECTION XII: INCOME VERIFICATION AND DOCUMENTATION

A. Income Verification.

The HAM will verify information related to waiting list preferences, eligibility, admission, and level of benefits prior to admission. Periodically during occupancy, items related to eligibility and rent determination shall also be reviewed and verified. Income, assets, and expenses will be verified, as well as disability status, need for a live-in aide and other reasonable accommodations; full time student status of family members 18 years of age and older; Social Security numbers; and citizenship/eligible noncitizen status. Age and relationship will only be verified in those instances where needed to make a determination of level of assistance.

B. Acceptable Methods of Verification

Age, relationship, U.S. citizenship, and Social Security numbers will generally be verified with documentation provided by the family. For citizenship, the family's certification will be accepted. (Or for citizenship documentation such as listed below will be required.) Verification of these items will include photocopies of the Social Security cards and other documents presented by the family, the INS SAVE approval code, and forms signed by the family.

Other information will be verified by third party verification. This type of verification includes written documentation with forms sent directly to and received directly by a source, not passed through the hands of the family. This verification may also be direct contact with the source, in person or by telephone. It may also be a report generated by a request from the HAM or automatically by another government agency, i.e. the Social Security Administration. Verification

forms and reports received will be contained in the applicant/tenant file. Oral third party documentation will include the same information as if the documentation had been written, i.e. name date of contact, amount received, etc.

When third party verification cannot be obtained, the HAM will accept documentation received from the applicant/tenant. Hand-carried documentation will be accepted if the HAM has been unable to obtain third party verification in a 4-week period of time. Photocopies of the documents provided by the family will be maintained in the file.

When neither third party verification nor hand-carried verification can be obtained, the HAM will accept a notarized statement signed by the head, spouse or co-head. Such documents will be maintained in the file.

C Types of verification

The chart below outlines the factors that may be verified and gives common examples of the verification that will be sought. To obtain written third party verification, the HAM will send a request form to the source along with a release form signed by the applicant/tenant via first class mail.

Verification Requirements for Individual Items		
Item to Be Verified	3 rd party verification	Hand-carried verification
General Eligibility Items		
Social Security Number	Letter from Social Security, electronic reports	Social Security card
Citizenship	N/A	Signed certification, voter's registration card, birth certificate, etc.
Eligible immigration status	INS SAVE confirmation #	INS card
Disability	Letter from medical professional, SSI, etc	Proof of SSI or Social Security disability payments
Full time student status (if >18)	Letter from school	For high school students, any document evidencing enrollment
Need for a live-in aide	Letter from doctor or other professional knowledgeable of condition	N/A

Verification Requirements for Individual Items		
Item to Be Verified	3 rd party verification	Hand-carried verification
Child care costs	Letter from care provider	Bills and receipts
Disability assistance expenses	Letters from suppliers, care givers, etc.	Bills and records of payment
Medical expenses	Letters from providers, prescription record from pharmacy, medical professional's letter stating assistance or a companion animal is needed	Bills, receipts, records of payment, dates of trips, mileage log, receipts for fares and tolls
Value of and Income from Assets		
Savings, checking accounts	Letter from institution	Passbook, most current statements
CDS, bonds, etc	Letter from institution	Tax return, information brochure from institution, the CD, the bond
Stocks	Letter from broker or holding company	Stock or most current statement, price in newspaper or through Internet
Real property	Letter from tax office, assessment, etc.	Property tax statement (for current value), assessment, records or income and expenses, tax return
Personal property	Assessment, bluebook, etc	Receipt for purchase, other evidence of worth
Cash value of life insurance policies	Letter from insurance company	Current statement
Assets disposed of for less than fair market value	N/A	Original receipt and receipt at disposition, other evidence of worth
Income		

7. Prior to being admitted, or at the first reexamination, all citizens and nationals will be required to sign a declaration under penalty of perjury. They will be required to show proof of their status by such means as a birth certificate, military ID, or military DD 214 Form.
7. Prior to being admitted or at the first reexamination, all eligible noncitizens who are 62 years of age or older will be required to sign a declaration under penalty of perjury. They will also be required to show proof of age.
7. Prior to being admitted or at the first reexamination, all eligible noncitizens must sign a declaration of their status and a verification consent form and provide their original INS documentation. The HAM will make a copy of the individual's INS documentation and place the copy in the file. The HAM will also verify their status through the INS SAVE system. If the INS SAVE system cannot confirm eligibility, the HAM will mail information to the INS in order that a manual check can be made of INS records.
7. Family members who do not claim to be citizens, nationals, or eligible noncitizens must be listed on a statement of noneligible members and the list must be signed by the head of the household.
7. Noncitizen students on student visas, though in the country legally, are not eligible to be admitted to public housing.
7. Any family member who does not choose to declare their status must be listed on the statement of noneligible members.
- 8.
9. If no family member is determined to be eligible under this section, the family's eligibility will be denied.
7. The family's assistance will not be denied, delayed, reduced, or terminated because of a delay in the process of determining eligible status under this section, except to the extent that the delay is caused by the family.
7. If the HAM determines that a family member has knowingly permitted an ineligible noncitizen (other than any ineligible noncitizens listed on the lease) to permanently reside in their public housing unit, the family will be evicted. Such family will not be eligible to be readmitted to public housing for a period of 24 months from the date of eviction or termination.

E. Verification of Social Security Numbers

7. Prior to admission, each family member who has a Social Security number and who is at least 6 years of age must provide verification of their Social Security number. New family members at least 6 years of age must provide this verification prior to being added to the lease. Children in

assisted households must provide this verification at the first regular reexamination after turning six.

7. The best verification of the Social Security number is the original Social Security card. If the card is not available, the HAM will accept letters from the Social Security Agency that establishes and states the number. Documentation from other governmental agencies will also be accepted that establishes and states the number. Driver's licenses, military IDs, passports, or other official documents that establish and state the number are also acceptable.
7. If an individual states that they do not have a Social Security number, they will be required to sign a statement to this effect. The HAM will not require any individual who does not have a Social Security number to obtain a Social Security number.
7. If a member of an applicant family indicates they have a Social Security number, but cannot readily verify it, the family cannot be housed until verification is provided.
- 8.
9. If a member of a tenant family indicates they have a Social Security number, but cannot readily verify it, they shall be asked to certify to this fact and shall have up to sixty (60) days to provide the verification. If the individual is at least 62 years of age, they will be given one hundred and twenty (120) days to provide the verification. If the individual fails to provide the verification within the time allowed, the family will be evicted.

F. Timing of Verification

Verification information must be dated within ninety (90) days of certification or reexamination. If the verification is older than this, the source will be contacted and asked to provide information regarding any changes.

When an interim reexamination is conducted, the Housing Authority will verify and update all information related to family circumstances and level of assistance. (Or, the Housing Authority will only verify and update those elements reported to have changed.)

G. Frequency of Obtaining Verification

For each family member, citizenship/eligible noncitizen status will be verified only once. This verification will be obtained prior to admission. If the status of any family member was not determined prior to admission, verification of their status will be obtained at the next regular reexamination. Prior to a new member joining the family, their citizenship/eligible noncitizen status will be verified.

For each family member age 6 and above, verification of Social Security number will be obtained only once. This verification will be accomplished prior to admission. When a family

member who did not have a Social Security number at admission receives a Social Security number, that number will be verified at the next regular reexamination. Likewise, when a child turns six, their verification will be obtained at the next regular reexamination.

SECTION XIII: ORIENTATION OF FAMILIES

A. Briefing

Purpose of the Briefing: The purpose of the briefing is to cover the occupancy requirements for the resident and the landlord. The briefing is conducted as follows:

1. Once the HAM determines that an applicant is eligible and the applicant's name reaches the top of the waiting list, the HAM shall offer an apartment to the applicant. The applicant shall be given an opportunity to view the apartment prior to the signing of the lease and other documents required before occupancy. After the offer is made and after this viewing, and when the offer is accepted, a HAM representative will schedule an appointment with the prospective resident, for orientation. NOTE: An applicant can reject an offer one (1) time before losing their place on the waiting list. If an applicant rejects the offer, the applicant will be notified at that time that due to the fact that they refused the offer of assistance, the date and time of their application is being changed to the date and time that they refused the offer. This will be explained verbally and followed-up in writing to the applicant. The HAM will notify (verbally and in writing) the applicant that their actions may affect their place on the waiting list and the next offer of assistance will be made when their name reaches the top of the waiting list.
2. At the briefing, the Lease and Grievance Procedure is explained in detail to the applicant. The required occupancy forms are explained and signed. The dwelling lease is signed by the prospective resident(s) and a HAM representative.
3. The applicable deposit, unearned rent and other charges (if applicable), will be collected and receipts for same given to the new resident.
4. The move-in will commence immediately or an appointment will be made at residents request.

B. Briefing and Application Interview Attendance Requirement

All adult members of the household are required to attend the briefing when they are interviewed during the application process as well as orientation prior to occupancy. No family can be housed if they have not attended a briefing. Failure to attend a scheduled briefing

(without notice to the HAM) will result in the prospective resident(s) being placed in the inactive file and the family may be required to reapply for assistance. Prospective resident(s) who provide prior notice of an inability to attend a briefing will be rescheduled. Failure of a prospective resident(s) to keep a scheduled appointment for lease-up, (move-in) without good cause, may result in the cancellation of the occupancy process and the prospective resident required to reapply for assistance.

C. Format of the Briefing (Move-in)

The prospective resident(s) is provided a copy of the Dwelling Lease and Grievance Procedure and the provisions of the Lease and Grievance Procedure are explained in detail to the prospective resident(s), and the lease specifies the unit to be occupied, family composition, date of admission, the rent to be charged, utility allowances, excess utilities, and the terms of occupancy. NOTE: If for any reason the family becomes over or under housed they must be informed that once a unit of the appropriate size as outlined in Section XIX Transfers 2(d) Or, if there is a change in family composition that caused the family to be over or under housed the family will be required to move at their own expense to the appropriate size unit when a unit becomes available. The moving date should be within fourteen (14) days of the date of the HAM's written notification of the affected family. If the HAM has more vacancies than families on the waiting list for the unit size of the family that is over housed, the family may remain in the unit until the next scheduled reexamination. However, families that are under housed should be housed in the appropriate size unit as soon as a unit is made available, but not more than fourteen (14) days after notice from the HAM.

D. Dwelling Lease Completion

1. The responsible member (head of household) of the family notified for admission to the HAM shall be required to execute a Dwelling Lease prior to admission. One executed copy is to be furnished the resident and the original executed copy is to be retained in the resident file established for the family by the HAM. A copy of the Grievance Procedure shall be attached to the Resident's copy of the Lease.
2. When a resident family transfers to another dwelling, the existing Lease shall be canceled and a new Dwelling Lease executed for the present dwelling.
3. If at any time during the life of the Dwelling Lease, any other changes in the resident's status results in the need to change or amend any provision of the Lease, or if the resident status changes resulting in a replacement of page one of the Lease, this page shall be completed, signed, and a copy given to the resident as the replacement for page one.

4. A duplicate form of acknowledgment and understanding which lists all items of which the resident has been informed shall be signed by the resident and the HAM representative. A copy of this form shall be attached to the resident's copy of the Lease along with copies of items as referred to and a copy maintained in the resident's file.

SECTION XIV: ANNUAL INSPECTIONS OF PUBLIC HOUSING UNITS

The HAM has a system in place that documents the inspection of all public housing units. If the inspection results in a work order the repairs are made in accordance to the urgency of need as documented by the inspection sheet. The HAM has a system that tracks each inspection. The inspection sheet used by the HAM meets or exceed the requirements of the Section 8 Housing Quality Standards (HQS).

SECTION XV: INSPECTION AND ENTRY OF UNIT PROCEDURES

The resident will be given notice as outlined in the Dwelling Lease, except for emergencies and search warrants. The notification will indicate the date and the approximate time of the inspection. If the inspection indicates that the resident has poor housekeeping habits that need to be improved upon, the inspector will file a report and the administrative staff will schedule a meeting with the resident to counsel the resident on their poor housekeeping habits. A follow-up inspection will be conducted by the staff within thirty (30) days of the counseling session and if the problem continues to exist the HAM may take whatever action that is necessary to correct the situation. If the resident fails to improve, the provisions of the Dwelling Lease can be enforced and the resident evicted. However, the HAM should take steps to help the resident improve before starting the eviction process.

If the inspection indicates that the resident has created damage that is beyond normal wear and tear, the damaged items will be replaced and the tenant billed for the damages, as posted. If the damage is severe, a report will be provided to the HAM and the HAM will take appropriate action with the resident.

HAM staff and/or agents of the HAM have authority to enter any unit if it is suspected that an "emergency" situation exists. If for any reason a unit is entered by authorized HAM personnel the resident will be provided with the reason for the entry, by leaving a written notice of the time, date and reason for entry.

HAM staff and/or agents of the HAM, at the direction of the police will open the door to a unit when law-enforcement officials present a lawfully executed search warrant (plus, provide a copy of the search warrant to HAM staff) for a dwelling unit managed by the HAM. HAM staff and/or its agents

will write down the name(s) of the police officers and keep the copy of the search warrant. These documents will be filed in the residents file folder. HAM staff will not enter the unit. This action will prevent the law enforcement officers from having to breakdown the door and causing damages to the unit.

SECTION XVI: TYPES OF INSPECTIONS

An authorized representative of HAM, resident and/or adult family member, shall be obligated to inspect the premises prior to commencement of occupancy. A written statement of condition of the premises and all equipment will be provided, and same shall be signed by both parties with a copy retained in resident's file. The HAM representative shall inspect the premises at the time the resident vacates and furnish a statement of estimated charges to be made, provided the resident turns in the proper notice under state law and requests the proper inspection. The resident shall be provided an opportunity to participate in a move out inspection, unless resident vacates without notice. The resident's security deposit can be used to offset against any resident damages to the unit.

A. Move-in Inspections

Performed with the resident at move-in and inspection documented by HAM on inspection form and signed by the resident. This inspection documents the condition of the unit at move-in. NOTE: Any adult member of the household is allowed to sign the inspection form for the head of household.

B. Move-out Inspections

Performed with resident, if possible, and documented by HAM on inspection form and signed by the resident, if present. NOTE: This inspection determines estimated damages that the resident may be responsible for and owes to the HAM. Any deposit will be used to offset the funds due the HAM.

C. Annual Inspections

The HAM inspects 100% of its units annually using standards that meet or exceed those of the Public Housing Assessment System..

D. Preventative Maintenance (PM) Inspections

Preventative Maintenance inspections are performed by HAM staff on a regular basis and the residents are given at least two days notice prior to the inspection.

E. Random Inspections

If during the normal routine of maintenance calls, pest control etc. it is noted by the HAM staff that a problem exists in regard to keeping the unit in a decent, safe and sanitary condition it will be noted and referred to HAM administrative staff for action under this policy.

F. Special Inspections

Representatives from the U.S. Department of Housing and Urban Development and/or other Government Officials visit the HAM to monitor operations and as part of the monitoring they will inspect a sampling of the public housing inventory. The affected residents will be given two days notice.

G. Emergency Inspections

If any employee and/or agent of the HAM has reason to believe that an emergency exists within the public housing unit, the unit can be entered without notice. The person(s) that enters the unit must leave a written notice to the resident that indicates the date and time the unit was entered and the reason why it was necessary to enter the unit.

SECTION XVII: DETERMINATION OF RENT, REEXAMINATION OF INCOME AND FAMILY CIRCUMSTANCES

A. Family choice

At admission and each year in preparation for their annual reexamination, each family is given the choice of having their rent determined under the formula method or having their rent set at the flat rent amount.

7. 1. Families who opt for the flat rent will be required to go through the income reexamination process every one to three years at the option of the director of the HAM, rather than the annual review they would otherwise undergo.
7. 2. Families who opt for the flat rent may request to have a reexamination and return to the formula based method at any time for any of the following reasons:
 3. a. The family's income has decreased.
 3. b. The family's circumstances have changed increasing their expenses for child care, medical care, etc.

3. c. Other circumstances creating a hardship on the family such that the formula method would be more financially feasible for the family.

B. The Formula Method

- 3.
4. The total tenant payment is equal to the highest of:
 5.
 1. 10% of monthly income;
 2. 30% of adjusted monthly income; or
 3. The welfare rent.
 - 3.
 4. The family will pay the greater of the total tenant payment or the minimum rent of \$0.
 - 5.
 6. In the case of a family who has qualified for the income exclusion at Section 11.2(H)(11), upon the expiration of the 12-month period described in that section, an additional rent benefit accrues to the family. If the family member's employment continues, then for the 12-month period following the 12-month period of disallowance, the resulting rent increase will be capped at 50 percent of the rent increase the family would have otherwise received.

C. Minimum Rent

The HAM has set the minimum rent at \$0. However if the family requests a hardship exemption, the HAM will immediately suspend the minimum rent for the family until the Housing Authority can determine whether the hardship exists and whether the hardship is of a temporary or long-term nature.

1. A hardship exists in the following circumstances:
 - a. When the family has lost eligibility for or is waiting an eligibility determination for a Federal, State, or local assistance program;
 - b. When the family would be evicted as a result of the imposition of the minimum rent requirement;
 - c. When the income of the family has decreased because of changed circumstances, including loss of employment;
 - d. When the family has an increase in expenses because of changed circumstances, for medical costs, childcare, transportation, education, or similar items;

- e. When a death has occurred in the family.
2. No hardship. If the Housing Authority determines there is no qualifying hardship, the minimum rent will be reinstated, including requiring back payment of minimum rent for the time of suspension.
3. Temporary hardship. If the Housing Authority reasonably determines that there is a qualifying hardship but that it is of a temporary nature, the minimum rent will be not be imposed for a period of 90 days from the date of the family's request. At the end of the 90-day period, the minimum rent will be imposed retroactively to the time of suspension. The Housing Authority will offer a repayment agreement in accordance with the Section 19 of this policy for any rent not paid during the period of suspension. During the suspension period the Housing Authority will not evict the family for nonpayment of the amount of tenant rent owed for the suspension period.
4. Long-term hardship. If the Housing Authority determines there is a long-term hardship, the family will be exempt from the minimum rent requirement until the hardship no longer exists.
5. Appeals. The family may use the grievance procedure to appeal the Housing Authority's determination regarding the hardship. No escrow deposit will be required in order to access the grievance procedure.

D. The Flat Rent

The HAM has set a flat rent for each public housing unit. In doing so, it considered the size and type of the unit, as well as its condition, amenities, services, and neighborhood. The HAM determined the market value of the unit and set the rent at the market value. The amount of the flat rent will be reevaluated annually and adjustments applied. Affected families will be given a 30-day notice of any rent change. Adjustments are applied on the anniversary date for each affected family (for more information on flat rents, see Section 15.3).

The HAM will post the flat rents at each of the developments and at the central office and are incorporated in this policy upon approval by the Board of Commissioners.

E. Rent for Families under the Noncitizen Rule

7. A mixed family will receive full continuation of assistance if all of the following conditions are met:
 1. The family was receiving assistance on June 19, 1995;
 - 3.

4. 2. The family was granted continuation of assistance before November 29, 1996;
3. The family's head or spouse has eligible immigration status; and
4. The family does not include any person who does not have eligible status other than the head of household, the spouse of the head of household, any parent of the head or spouse, or any child (under the age of 18) of the head or spouse.

If a mixed family qualifies for prorated assistance but decides not to accept it, or if the family has no eligible members, the family may be eligible for temporary deferral of termination of assistance to permit the family additional time for the orderly transition of some or all of its members to locate other affordable housing. Under this provision, the family receives full assistance. If assistance is granted under this provision prior to November 29, 1996, it may last no longer than three (3) years. If granted after that date, the maximum period of time for assistance under the provision is eighteen (18) months. The HAM will grant each family a period of six (6) months to find suitable affordable housing. If the family cannot find suitable affordable housing, the HAM will provide additional search periods up to the maximum time allowable.

Suitable housing means housing that is not substandard and is of appropriate size for the family. Affordable housing means that it can be rented for an amount not exceeding the amount the family pays for rent, plus utilities, plus 25%.

The family's assistance is prorated in the following manner:

1. Determine the 95th percentile of gross rents (tenant rent plus utility allowance) for the HAM. The 95th percentile is called the maximum rent.
2. Subtract the family's total tenant payment from the maximum rent. The resulting number is called the maximum subsidy.
3. Divide the maximum subsidy by the number of family members and multiply the result times the number of eligible family members. This yields the prorated subsidy.
4. Subtract the prorated subsidy from the maximum rent to find the prorated total tenant payment. From this amount subtract the full utility allowance to obtain the prorated tenant rent.

F. Utility Allowance

7. The HAM shall establish a utility allowance for all check-metered utilities and for all tenant-paid utilities. The allowance will be based on a reasonable consumption of utilities by an energy-conservative household of modest circumstances consistent with the requirements of a safe,

sanitary, and healthful environment. In setting the allowance, the HAM will review the actual consumption of tenant families as well as changes made or anticipated due to modernization (weatherization efforts, installation of energy-efficient appliances, etc). Allowances will be evaluated at least annually as well as any time utility rate changes by 10% or more since the last revision to the allowances.

8.

The utility allowance will be subtracted from the family's formula or flat rent to determine the amount of the Tenant Rent. The Tenant Rent is the amount the family owes each month to the HAM. The amount of the utility allowance is then still available to the family to pay the cost of their utilities. Any utility cost above the allowance is the responsibility of the tenant. Any savings resulting from utility costs below the amount of the allowance belongs to the tenant.

1.

For HAM paid utilities, the HAM will monitor the utility consumption of each household. Any consumption in excess of the allowance established by the HAM will be billed to the tenant monthly.

7.

Utility allowance revisions based on rate changes shall be effective retroactively to the first day of the month following the month in which the last rate change took place. Revisions based on changes in consumption or other reasons shall become effective at each family's next annual reexamination.

1.

Families with high utility costs are encouraged to contact the HAM for an energy analysis. The analysis may identify problems with the dwelling unit that once corrected will reduce energy costs. The analysis can also assist the family in identifying ways they can reduce their costs.

G. Paying Rent

Rent and other charges are due and payable on the first day of the month. All rents should be paid at the HAM office. Reasonable accommodations for this requirement will be made for persons with disabilities.

If the rent is not paid by the tenth of the month, a Notice to Vacate will be issued to the tenant. In addition, a \$20 late charge will be assessed to the tenant. If rent is paid by a personal check and the check is returned for insufficient funds, this shall be considered a non-payment of rent and will incur the late charge plus an additional charge of \$20 for processing costs. In addition, the tenant shall be responsible for any legal costs incurred by the HAM.

H. Determination of Rent

Rent as fixed at admission or annual reexamination will remain in effect for the period between regular rent determinations unless the following changes in family circumstances occur: (Also, resident agrees to report, in writing and provide certification following any change in

annual income within five (5) business days of the occurrence).

1. Loss or addition of family composition of any family member through birth, death, divorce, removal or other continuing circumstances and the amount, if any, of family member's income;
2. Employment, unemployment, changes in employment or wage increases of any nature of the family head, spouse, or other wage earner that is eighteen (18) years of age; or
3. The resident committed fraud at admission or reexamination rent shall be retroactive to the date of occurrence. If the error was made by the HAM in rental determination the resident will not be charged retroactive rent.
4. Temporary employment/unemployment or increases and decreases in wages "for any reason" of less than thirty (30) days will not constitute a rent adjustment.

I. Interim Determination of Rent

Rent as set at admission for Annual Reexamination will remain in effect for the period between regular rent determinations unless changes in family composition occur. Resident is required and agrees to report, in writing, the following specified changes in family income and composition within five (5) business days of occurrence.

1. Loss or addition to family composition of any kind through birth, death, marriage, divorce, removal or other continuing circumstance and amount, if any, of such family member's income. Any such additions, other than birth, must be approved by the HAM in advance, and must qualify, the same as an applicant or any prospective new resident;
2. Employment, unemployment or changes in income for employment of a permanent nature of the family head, spouse, or other wage earner eighteen (18) years of age or older;
3. The starting of or stopping of, or an increase or decrease of any benefits or payments received by any member of the family or household from Old Age Pension, K-TAP, Black Lung, Railroad Retirement, Private Pension Fund, Disability Compensation, Veterans Administration, Child Support, Alimony, Regular Contributions or Gifts. Lump sum payments or retroactive payments of benefits from any of the above sources which constitute the sum of monthly payments for a preceding period paid in a lump sum must be reported and rent adjusted retroactively on such income to date of eligibility for any family member residing in the household for that period of time.

4. Cost of living increases in Social Security or Supplemental Security Income need not be reported until next reexamination and redetermination of rent.
5. Any changes in allowable deductions such as child care expenses and medical deductions.
6. Errors of omission made at admission or reexamination shall be corrected by HAM. Retroactive payments will be made to the resident if the error is in the resident's favor.
7. A resident who has had an income reduction/increase after initial occupancy or after annual reexamination must report all changes in income within five (5) business days regardless of the amount or source.

J. Notice of Temporary Rent

On occasion, the HAM is required to compute rent based on information that is supplied by the resident and third party information that has not or will not be provided by the employer. When this situation occurs the HAM will compute a temporary rent based on the information available. Once information is verified the resident will be notified in writing. If an underpayment was made based on the information provided, the resident will have fourteen (14) days from the date of the HAM notification to pay the amount specified. If the resident has made an overpayment, that amount will be credited to the resident's account. The Head of Household and Spouse (if applicable) and a HAM representative signs this Notice of Temporary Rent and it is filed with the residents file and a copy provided to the resident.

K. The Effective Dates of Interim Redetermination of Rent will be as Follows

1. Any decrease in rent resulting from any decreases in family income will be made effective the first of the month following the date the decrease in family income was reported and verified in writing.
2. The resident agrees to pay any increase in rent resulting from an increase in family income the first of the second month following the date in which such increase in family income occurred, and to pay any back rent due because of failure on the part of the resident to report such increase in family income within five (5) business days.
3. Any interim change in rent will require recertification of all family income that has not been verified within ninety (90) calendar days of the previous rent determination.
4. Resident agrees to pay any increase in rent resulting from the implementation of

changes in rent computation or increases due to changes in regulations, policies or procedures requiring implementation by the United States Department of Housing and Urban Development (HUD).

5. Employment, unemployment or changes in employment of any nature (example, employed but not working due to illness that is not compensated by the employer) of the family head, spouse or any other wage earner eighteen (18) years of age or older.
6. If it is found that a resident has misrepresented or failed to report facts upon which rent is based so that the resident is paying less than the resident should be paying, the increase in rent shall be made retroactive to the first of the month following the date of the increase in income that was not reported. The resident will be required to pay the difference between the rent paid and the amount that should have been paid. In addition, the tenant may be subject to civil and criminal penalties. Misrepresentation is a serious lease violation which may result in eviction.

SECTION XVIII: TRANSFER POLICY

A. Objectives of the Transfer Policy

1. To fully utilize available housing resources while avoiding overcrowding by insuring that each family occupies the appropriate size unit.
2. To facilitate a relocation when required for modernization or other management purposes.
3. To facilitate relocation of families with inadequate housing accommodations.
4. To eliminate vacancy loss and other expense due to unnecessary transfers.

B. Types of Transfers

1. **HAM initiated:** The HAM may, at its discretion, transfer residents because of an uninhabitable unit, major repairs, or other actions initiated by management. For these types of transfers the HAM will cover the cost of the transfer in accordance to costs allowed by HUD.
2. **Transfers for reasons of health:** Residents may be transferred when the HAM determines that there is a medical need for such transfers, such as the inability to negotiate stairs or steps. The resident will be required to provide a statement from a medical doctor which indicates the condition of the resident and the HAM reserves the

right to make its own evaluation of the situation and receive other documentation. Normally such transfers will be within the resident's original neighborhood unless the appropriate size and type of unit does not exist on the site. The resident must pay for all of the moving expenses.

3. Convenience transfers. The Executive Director or his/her designee may at his/her discretion permit a transfer to another unit of different size for the convenience of the resident for good cause. Transfers to same size units will not be considered unless there is a compelling reason for the request. The cost of the transfer shall be borne by the resident. A "Transfer Charge" list is posted in the HAM office and is based on the cost of maintenance plus an administrative charge of \$25 for processing the transfer. The transfer charge list is updated annually by the HAM. The HAM will charge the actual cost of the transfer, which includes the administrative cost, the cost of preparing the unit for re-rental and, if applicable, a penalty for not turning in the keys to the old unit within five (5) calendar days of the transfer. The resident is allowed a period of five (5) calendar days to move and turn in the keys to the old unit without being charged the penalty. If the move takes more than five (5) calendar days and the keys are not turned into the HAM office, the resident will be charged a penalty of \$5 per day for each day the keys are not turned in. (The HAM will take into consideration documented extenuating circumstances in assessing this penalty.)

Prior to the transfer the HAM will perform an inspection of the current unit to determine the amount of charges the resident will be required to pay as a result of resident caused damages, if any.

All transfer charges must be paid at the time the resident signs his/her lease and receives the keys for the new unit. The HAD will perform a final inspection, with the resident present, on the unit that the resident transferred from, after the keys are turned in and a final determination will be made by the HAM staff as to any additional charges that may be due the HAM. (For example, the resident may not have cleaned the unit properly and/or may have damaged the unit during the moving process) If there are any charges that are due the HAM as a result of this inspection, the resident must pay them within fourteen (14) calendar days of written notice from the HAM. The resident must sign a transfer agreement after the HAM has authorized the transfer and prior to the transfer.

Requests for transfers for convenience must be made, in writing, to the HAM office stating the reason for the requested transfer. The HAM will issue a decision within thirty (30) calendar days of receipt of the request, and if approved, provide the resident with a list of the charges that will be the resident's responsibility to pay prior to the transfer.

4. Transfers for over/under-housed families. The HAM may transfer residents to the appropriate sized unit and residents are obligated to accept such transfers.

Transfers will be made in accordance with the following principles:

- a. Determination of the correct sized apartment shall be in accordance with the HAM's occupancy guidelines as articulated in this ACOP.
 - b. Transfers into the appropriate sized unit will be made within the same neighborhood unless that size does not exist in that neighborhood.
 - c. The resident must pay for all moving expenses.
5. Priorities for transfers. All transfers must be either for health reasons, for relocation to an appropriate sized unit, are approved convenience transfers, or initiated by the HAM due to modernization work and/or other good cause as determined by the HAM. The priority of transfers is as follows:
- a. HAM initiated transfers
 - b. Transfers for health reasons
 - c. Residents who are under-housed by two or more bedrooms
 - d. Residents who are over-housed by two or more bedrooms
 - e. Residents who are under-housed by one bedroom
 - f. Residents who are over-housed by one bedroom
 - g. Convenience transfers.

Within each priority type, transfers will be ranked by date. In processing transfers requested by residents for approved health reasons or to move to a larger unit, the date shall be that on which the changed family circumstances are verified by the HAM. The HAM reserves the right to immediately transfer any family who has misrepresented family circumstances or composition and the family will be charged the posted rate for convenience transfers. Failure to pay for these charges will result in termination of the dwelling lease.

6. Transfer procedures. The HAM shall:
- a. Prepare a prioritized transfer list, as needed, at reexamination.
 - b. Notify residents by letter of their pending transfer.

- c. Participate in evaluation of requests for transfer based on approved medical reasons.
 - d. Issue final offer of vacant units as soon as a vacant unit is identified.
 - e. Issue notice to transfer as soon as a vacant unit is available for occupancy.
 - f. Participate in planning and implementation of special transfer systems for modernization and other similar programs.
 - g. Inspect both units involved in the transfer, charging for any resident damages that are not considered normal wear and tear.
7. Transfer offers. Only two offers of a unit will be made to each resident. Upon refusal of the second offer the resident will be placed at the bottom of the transfer list. In the case of a family being transferred from a unit which is uninhabitable, incorrectly sized, or scheduled for major repairs, only one offer will be made. Failure to accept the unit will be grounds for eviction. When a resident declines the second offer (for health reasons and convenience transfers) and the resident requested the transfer, the HAM will notify the resident that the HAD is not obligated to make any subsequent offers. The HAM will notify the resident that the HAM has discharged its obligation to the resident and he/she will remain in the unit at his/her own risk and that the HAM assumes no liability for the resident's condition.
8. Rights of HAM in the transfer policy. The provisions listed above are to be used as a guide to insure fair and impartial means of assigning units for transfers. It is not intended that this policy shall create a property right or any other type of right for a resident to transfer or refuse a transfer.

SECTION XIX: LEASE TERMINATION AND EVICTIONS

A. The Lease

All Lease terminations and evictions will be processed in accordance with the HAM's current Dwelling Lease and Grievance Procedure. The HAM's Dwelling Lease and the Grievance Procedure is incorporated into this document by reference and is the guideline to be used for Lease terminations and evictions. The Dwelling Lease may not cover every specific situation that warrants a lease termination; therefore, for good cause the HAM may terminate a lease for reasons that are not specifically listed in the Dwelling Lease.

B. Continued Occupancy and Community Service

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

2. Exemptions

7.

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

3. a. family members who are 62 or older

3. b. family members who are blind or disabled

3. c. family members who are the primary care giver for someone who is blind or disabled

3. d. family members engaged in work activity

3. 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

3. 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

3. Notification of The Requirement

3. The HAM shall identify all adult family members who are apparently not exempt from the community service requirement.

3. The HAM 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 HAM shall verify such claims.

3. The notification will advise families that their community service obligation will begin upon the effective date of their first annual reexamination on or after 10/1/99. For family's paying a flat rent, the obligation begins on the date their annual reexamination would have been effective had an annual reexamination taken place. 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.

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

- 3.
4. Together with the resident advisory councils, the HAM may create volunteer positions such as hall monitoring, litter patrols, and supervising and record keeping for volunteers.

5. The Process

3. At the first annual reexamination on or after October 1, 1999, and each annual reexamination thereafter, the HAM 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 HAM whether each applicable adult family member is in compliance with the community service requirement.

6. Notification of Non-compliance with Community Service Requirement

3. The HAM 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;

7.

7. Opportunity for cure

3. The HAM 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.

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

3. 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 HAM shall take action to terminate the lease.

SECTION XX: COMPLAINTS AND GRIEVANCE PROCEDURES

- A. Complaints and Grievance Procedures shall be accomplished in accordance with the HAM

approved Grievance Procedure which is available for inspection at the HAM office.

B. Resident complaints and/or problems are to be handled as follows:

- A. 1. Problems that occur in a specific community or in occupancy shall be handled by the HAM administrative staff whenever possible.
- A. 2. Problems that cannot be resolved by the HAM administrative staff shall be referred promptly to the Executive Director.
- A. 3. If not resolved by the Executive Director, the problem shall be resolved by explaining the Grievance Procedure in detail and the resident given a copy of the Grievance Procedure for any filing of a hearing under the Grievance Procedure.
- 4. For families and/or individuals who report apparent discrimination in obtaining assisted housing, the HAM shall assist them in the completion of the Equal Opportunity complaint form HUD-903.

SECTION XXI: SECURITY DEPOSITS

A Security Deposit shall be made pursuant to a schedule posted in the HAM office. Security deposits may be refunded as provided in the Lease and in this procedure.

SECTION XXII: OCCUPANCY GUIDELINES

The following guidelines shall determine the number of bedrooms required to accommodate each family without overcrowding or over-housing. These guidelines may be waived only when necessary to achieve or maintain full occupancy and after every effort has been made to stimulate applications from families appropriate to the existing vacancies. families may be assigned improper sized units WITH THE WRITTEN UNDERSTANDING that they must transfer at their own expense to the appropriate size unit when instructed to do so by the HAM. Otherwise, the following occupancy standards shall apply:

A. Suggested guidelines

Number of Bedrooms	Number of Persons	
	Minimum	Maximum
Efficiency	1	2
1	1	2

2	2	4
3	3	6
4	6	8

- B. Assignments shall be made so that, except for husband and wife and infants under two (2) years of age, bedrooms will not be occupied by persons of different sex over the age of four (4) years old.
- C. At the option of the HAM, an infant up to the age of two years may share a bedroom with its parent(s), but the resident shall not be required to do so.
- D. In the case of chronic illness, or other physical infirmity, a deviation from the occupancy guidelines as presented above is permissible when justified with evidence and documentation from a licensed physician.
- E. Every family member is to be counted as a person.

SECTION XXIII: COMPLIANCE WITH EQUAL OPPORTUNITY REQUIREMENTS FOR POSTING REQUIRED INFORMATION

The HAM is fully committed to affirmatively further the goals of Fair Housing as articulated by the United States Department of Urban Development. There shall be maintained in the HAM office waiting room a bulletin board, which will accommodate the following posted materials:

- A. Statement of Policies and Procedures Governing Admission and Continued Occupancy Policies and Procedures (ACOPP) this Policy also outlines the HAM's resident selection and assignment plan
- B. Open Occupancy Notice (applicants being accepted and/or not accepted)
- C. Directory of Housing Communities including project sites, number of units by bedrooms size, number of units specifically designed for the disabled, elderly, and office hours of administrative office
- D. Income Limits for Admission
- E. Utility Allowances
- F. Current Schedule of Routine Maintenance Charges

- G. Dwelling Lease
- H. Grievance Procedure
- I. Fair Housing Poster
- J. "Equal Opportunity in Employment" Poster
- K. Any current "Resident Notices"
- L. Security Deposit Charges
- M. Ceiling Rents
- N. All Board Approved Policies

SECTION XXIV: PET POLICY

.(Reserved)

SECTION XXV: ADDITIONAL HAM POLICIES AND CHARGES

Additional policies and charges are posted in the HAM administrative office and are incorporated as if fully set out herein. They are available for review during regular business hours. Such policies and charges are fully binding. Where applicable they are subject to the HAM's grievance procedure. These policies and charges may be changed from time to time, or amended, and such changes or amendments shall be posted. All policies that have been modified or any additional policies adopted by the Board of Commissioners shall be kept by the Housing Authority of Murray in a separate file for historical and research purposes.

Public Housing Drug Elimination Program Plan

Note: THIS PHDEP Plan template (HUD 50075-PHDEP Plan) is to be completed in accordance with Instructions located in applicable PIH Notices.

Annual PHDEP Plan Table of Contents:

1. General Information/History
2. PHDEP Plan Goals/Budget
3. Milestones
4. Certifications

Section 1: General Information/History

- A. Amount of PHDEP Grant \$45,308**
- B. Eligibility type (Indicate with an “x”) N1 _____ N2 _____ R X _____**
- C. FFY in which funding is requested 2000**
- D. D. Executive Summary of Annual PHDEP Plan**

In the space below, provide a brief overview of the PHDEP Plan, including highlights of major initiatives or activities undertaken. It may include a description of the expected outcomes. The summary must not be more than five (5) sentences long

The Housing Authority of Murray’s (HAM) PHDEP Plan includes two principle components: continuation of the PHDEP coordinator and four specific drug prevention activities. The drug prevention functions include the continued operation of a police substation and DARE office, youth programming, and computer learning activities. Youth programming includes the continued support of HAM cub scout and boy scout troops and participation by resident youth in activities of the Kentucky Housing Association. Overall, the HAM PHDEP Plan embraces the philosophy that substance abuse can be prevented through education and association with positive influences.

E. Target Areas

Complete the following table by indicating each PHDEP Target Area (development or site where activities will be conducted), the total number of units in each PHDEP Target Area, and the total number of individuals expected to participate in PHDEP sponsored activities in each Target Area.

PHDEP Target Areas (Name of development(s) or site)	Total # of Units within the PHDEP Target Area(s)	Total Population to be Served within the PHDEP Target Area(s)
KY001	42	81
KY002	20	52
KY003	30	35
KY004	50	54
KY005	50	58
KY006	14	20
TOTAL	206	300

F. Duration of Program

Indicate the duration (number of months funds will be required) of the PHDEP Program proposed under this Plan (place an “x” to indicate the length of program by # of months. For “Other”, identify the # of months).

G. PHDEP Program History

Indicate each FY that funding has been received under the PHDEP Program (place an “x” by each applicable Year) and provide amount of funding received. If previously funded programs have not been closed out at the time of this submission, indicate the fund balance and anticipated completion date. For grant extensions received, place “GE” in column or “W” for waivers.

Fiscal Year of Funding	PHDEP Funding Received	Grant #	Fund Balance as of Date of this Submission	Grant Extensions or Waivers	Anticipated Completion Date
FY 1995					
FY 1996					
FY 1997	103,000	KY36DEP0300197	56,285	N/A	11/2000
FY1998	61,800	KY36DEP0300198	34,646	N/A	11/2000
FY 1999	45,320	KY36DEP0300199	45,320	N/A	12/2000

Section 2: PHDEP Plan Goals and Budget

A. PHDEP Plan Summary

In the space below, summarize the PHDEP strategy to address the needs of the target population/target area(s). Your summary should briefly identify: the broad goals and objectives, the role of plan partners, and your system or process for monitoring and evaluating PHDEP-funded activities. This summary should not exceed 5-10 sentences.

The Housing Authority of Murray’s PHDEP plan includes two principle components: continuation of the PHDEP coordinator and four specific drug prevention activities. The objective for the coordinator function is to manage the grant functions and facilitate the drug prevention activities. Under drug prevention, the program will continue the operation of a police substation at Project 2 in cooperation with the Murray Police Department and City of Murray. The program will continue the operation of the DARE office, targeting drug prevention in youth, also in cooperation with the Murray Police Department. The Youth Programming function will involve providing positive influences on youth by involving them in the activities of the Kentucky Housing Association and scouting. Finally, the activities of the computer learning center will provide education and training to help residents secure employment and youth succeed in school. The CLC activities are in cooperation with Murray State University, Paducah Community College, and a number of local area employers. On a quarterly basis, staff of the Housing Authority of Murray will monitor the participation of residents in comparison with goals established for each activity.

B. PHDEP Budget Summary

Enter the total amount of PHDEP funding allocated to each line item.

FY <u>2000</u> PHDEP Budget Summary	
Budget Line Item	Total Funding
9110 - Reimbursement of Law Enforcement	
9120 - Security Personnel	
9130 - Employment of Investigators	
9140 - Voluntary Tenant Patrol	
9150 - Physical Improvements	
9160 - Drug Prevention	31,320
9170 - Drug Intervention	
9180 - Drug Treatment	
9190 - Other Program Costs	14,000
TOTAL PHDEP FUNDING	45,308

C. PHDEP Plan Goals and Activities

In the tables below, provide information on the PHDEP strategy summarized above by budget line item. Each goal and objective should be numbered sequentially for each budget line item (where applicable). Use as many rows as necessary to list proposed activities (additional rows may be inserted in the tables). PHAs are not required to provide information in shaded boxes. Information provided must be concise—not to exceed two sentences in any column. Tables for line items in which the PHA has no planned goals or activities may be deleted.

9160 - Drug Prevention					Total PHDEP Funding: \$ 31,320		
Goal(s)	Substance abuse prevention through education and association with positive influences						
Objectives	Continuation of police substation and DARE office. Involve youths in scouting, KHA activities, and provide computer learning for all residents						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. Police Substation	50	All residents	Month 1	Month 24	2,000		Increase interaction with officers; reduce trouble calls
2. DARE office	300	All residents	Month 1	Month 24	5,000		Contact with 100% youth and 75% other residents
3. Computer Learning Center	96	All residents	Month 1	Month 24	16,000		Education for 50% youth and 35% adult residents
4. Youth Activities	130	Youth residents	Month 1	Month 24	8,308		Participation by 80% of youth residents

9190 - Other Program Costs					Total PHDEP Funds: \$14,000		
Goal(s)	Manage and administer the PHDEP program						
Objectives	Implement activities of PHDEP program plan						
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1. PHDEP Coordinator			Month 1	Month 24	14,000		Administer PHDEP program
2.							
3.							

Section 3: Expenditure/Obligation Milestones

Indicate by Budget Line Item and the Proposed Activity (based on the information contained in Section 2 PHDEP Plan Budget and Goals), the % of funds that will be expended (at least 25% of the total grant award) and obligated (at least 50% of the total grant award) within 12 months of grant execution.

Budget Line Item #	25% Expenditure of Total Grant Funds By Activity #	Total PHDEP Funding Expended (sum of the activities)	50% Obligation of Total Grant Funds by Activity #	Total PHDEP Funding Obligated (sum of the activities)
9110				
9120				
9130				
9140				
9150				
9160	Activity 1 Activity 2 Activity 3 Activity 4	500 1,250 4,000 2,077	Activity 1 Activity 2 Activity 3 Activity 4	1,000 2,500 8,000 4,154
9170				
9180				
9190	PHDEP Coordinator	3,500	PHDEP Coordinator	7,000
TOTAL		\$11,327		\$22,654

Section 4: Certifications

A comprehensive certification of compliance with respect to the PHDEP Plan submission is included in the “PHA Certifications of Compliance with the PHA Plan and Related Regulations.”

Definition of Substantial Change: any fundamental alteration in the mission or the goals and objectives as determined by the Board of Commissioners

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