

PHA Plans

Streamlined Annual Version

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

OMB No. 2577-0226
(exp. 08/31/2009)

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

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

Streamlined Annual PHA Plan

for Fiscal Year: 2008

PHA Name: Augusta Housing Authority

NOTE: This PHA Plan template (HUD-50075-SA) is to be completed in accordance with instructions contained in previous Notices PIH 99-33 (HA), 99-51 (HA), 2000-22 (HA), 2000-36 (HA), 2000-43 (HA), 2001-4 (HA), 2001-26 (HA), 2003-7 (HA), and any related notices HUD may subsequently issue.

Streamlined Annual PHA Plan Agency Identification

PHA Name: [Augusta Housing Authority](#) **PHA Number:** [ME030](#)

PHA Fiscal Year Beginning: (mm/yyyy) [01/2008](#)

PHA Programs Administered:

Public Housing and Section 8 **Section 8 Only** **Public Housing Only**
Number of public housing units: Number of S8 units: Number of public housing units:
Number of S8 units:
[N/A](#) [600](#) [N/A](#)

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

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

PHA Plan Contact Information:

Name: [Victoria Watkins](#) Phone: [207-626-2357 ext. 202](#)
TDD: [207-626-2357](#) Email (if available): vwatkins@adelphia.net

Public Access to Information

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

PHA's main administrative office PHA's development management offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plan revised policies or program changes (including attachments) are available for public review and inspection. Yes No.

If yes, select all that apply:

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

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

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

Streamlined Annual PHA Plan

Fiscal Year 2008

[24 CFR Part 903.12(c)]

Table of Contents

[24 CFR 903.7(r)]

Provide a table of contents for the Plan, including applicable additional requirements, and a list of supporting documents available for public inspection.

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ATTACHMENTS

- [ME030a01](#) [Addendum C to Administrative Plan Homeownership, revised](#)
[ME030b01](#) [Addendum D to the Administrative Plan, VAWA Policy](#)
[ME030c01](#) [Furthering Fair Housing Statement, revised](#)

A. PHA PLAN COMPONENTS

- 1. Site-Based Waiting List Policies
903.7(b)(2) Policies on Eligibility, Selection, and Admissions
- 2. Capital Improvement Needs
903.7(g) Statement of Capital Improvements Needed
- 3. Section 8(y) Homeownership
903.7(k)(1)(i) Statement of Homeownership Programs
- 4. Project-Based Voucher Programs
- 5. PHA Statement of Consistency with Consolidated Plan. Complete only if PHA has changed any policies, programs, or plan components from its last Annual Plan.
- 6. Supporting Documents Available for Review
- 7. Capital Fund Program and Capital Fund Program Replacement Housing Factor, Annual Statement/Performance and Evaluation Report
- 8. Capital Fund Program 5-Year Action Plan

B. SEPARATE HARD COPY SUBMISSIONS TO LOCAL HUD FIELD OFFICE

[PHA Certifications of Compliance with the PHA Plans and Related Regulations: Board Resolution to Accompany the Streamlined Annual Plan \(HUD Form 50076\)](#)

Identifies policies or programs the PHA has revised since submission of its last Annual Plan, including Civil Rights certifications and assurances the changed policies were presented to the Resident Advisory Board for review and comment, approved by the PHA governing board, and made available for review and inspection at the PHA's principal office

[Certification by State and Local Official of PHA Plans consistency with the Consolidated Plan to accompany \(HUD Form 50075-SA\)](#)

AHA is currently "covered" under the State of Maine Consolidated Plan. The city of Augusta is in the process of compiling information that may be more locally applicable for the 2009 Annual Plan.

For PHAs Applying for Formula Capital Fund Program (CFP) Grants: [N/A](#)

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

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

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

1. Site-Based Waiting Lists (Eligibility, Selection, Admissions Policies) N/A

[24 CFR Part 903.12(c), 903.7(b)(2)]

Exemptions: Section 8 only PHAs are not required to complete this component.

A. Site-Based Waiting Lists-Previous Year

1. Has the PHA operated one or more site-based waiting lists in the previous year? If yes, complete the following table; if not skip to B.

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

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

B. Site-Based Waiting Lists – Coming Year

If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to next component.

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)

2. Capital Improvement Needs [N/A](#)

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

Exemptions: Section 8 only PHAs are not required to complete this component.

A. Capital Fund Program

1. Yes No Does the PHA plan to participate in the Capital Fund Program in the upcoming year? If yes, complete items 7 and 8 of this template (Capital Fund Program tables). If no, skip to B.
2. Yes No: Does the PHA propose to use any portion of its CFP funds to repay debt incurred to finance capital improvements? If so, the PHA must identify in its annual and 5-year capital plans the development(s) where such improvements will be made and show both how the proceeds of the financing will be used and the amount of the annual payments required to service the debt. (Note that separate HUD approval is required for such financing activities.).

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

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

1. Yes No: Has the PHA received a HOPE VI revitalization grant? (if no, skip to #3; if yes, provide responses to the items on the chart located on the next page, copying and completing as many times as necessary).

2. Status of HOPE VI revitalization grant(s):

HOPE VI Revitalization Grant Status	
a. Development Name:	
b. Development Number:	
c. Status of Grant:	
	<input type="checkbox"/> Revitalization Plan under development
	<input type="checkbox"/> Revitalization Plan submitted, pending approval
	<input type="checkbox"/> Revitalization Plan approved
	<input type="checkbox"/> Activities pursuant to an approved Revitalization Plan underway

3. Yes No: Does the PHA expect to apply for a HOPE VI Revitalization grant in the Plan year?
If yes, list development name(s) below:

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

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

3. Section 8 Tenant Based Assistance--Section 8(y) Homeownership Program
(if applicable) [24 CFR Part 903.12(c), 903.7(k)(1)(i)]

1. Yes No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If "No", skip to the next component; if "yes", complete each program description below (copy and complete questions for each program identified.)

2. Program Description:

a. Size of Program

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

If the answer to the question above was yes, what is the maximum number of participants this fiscal year? 4

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:

- [Admission is restricted to current or completed FSS families and disabled/elderly families](#)
- [Families must have participated in the HCV Program for at least one year in the AHA jurisdiction or in a porting PHA](#)
- [Families must be in good standing with AHA or porting PHA with a good history of compliance with lease terms and HCV Program](#)

c. What actions will the PHA undertake to implement the program this year (list)?
[Program was implemented in 2006](#)

3. Capacity of the PHA to Administer a Section 8 Homeownership Program:

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

- Establishing a minimum homeowner downpayment requirement of at least 3 percent of purchase price and requiring that at least 1 percent of the purchase price comes from the family's resources.
- Requiring that financing for purchase of a home under its Section 8 homeownership will be provided, insured or guaranteed by the state or Federal government; comply with secondary mortgage market underwriting requirements; or comply with generally accepted private sector underwriting standards.
- Partnering with a qualified agency or agencies to administer the program (list name(s) and years of experience below):
- Demonstrating that it has other relevant experience (list experience below):

4. Use of the Project-Based Voucher Program

Intent to Use Project-Based Assistance

Yes No: Does the PHA plan to "project-base" any tenant-based Section 8 vouchers in the coming year? If the answer is "no," go to the next component. If yes, answer the following questions.

1. Yes No: Are there circumstances indicating that the project basing of the units, rather than tenant-basing of the same amount of assistance is an appropriate option? If yes, check which circumstances apply:

- low utilization rate for vouchers due to lack of suitable rental units
- access to neighborhoods outside of high poverty areas
- other (describe below:)

[Response to community need for projects serving specific populations as reflected in AHA's waiting list and current tenant base](#)

2. Indicate the number of units and general location of units (e.g. eligible census tracts or smaller areas within eligible census tracts):
 - [Inn at City Hall, Augusta \(15 units\) assisted living facility \(established 2002\)](#)
 - [Bread of Life Ministries \(4 units\) transitional homeless \(established 2004\)](#)

5. PHA Statement of Consistency with the Consolidated Plan

[24 CFR Part 903.15]

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary) only if the PHA has provided a certification listing program or policy changes from its last Annual Plan submission.

1. Consolidated Plan jurisdiction: (provide name here)

[State of Maine](#)

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 on its waiting lists 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)

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

- [Maine State Housing \(MSHA\) guarantees loans for First-time Homebuyers](#)
- [Maine State Housing \(MSHA\) subsidizes the HoMEworks Program, a homeownership training required for all first-time homebuyers working with MSHA or with AHA's Homeownership Option](#)

6. Supporting Documents Available for Review for Streamlined Annual PHA Plans

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
X	<i>PHA Certifications of Compliance with the PHA Plans and Related Regulations and Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual Plans;</i>	5 Year and Annual Plans
X	<i>PHA Certifications of Compliance with the PHA Plans and Related Regulations and Board Resolution to Accompany the Streamlined Annual Plan</i>	Streamlined Annual Plans
X	<i>Certification by State or Local Official of PHA Plan Consistency with Consolidated Plan.</i>	5 Year and standard Annual Plans
X	Fair Housing Documentation Supporting Fair Housing Certifications: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5 Year and Annual Plans
X	Housing Needs Statement of the Consolidated Plan for the jurisdiction(s) in which the PHA is located and any additional backup data to support statement of housing needs for families on the PHA’s public housing and Section 8 tenant-based waiting lists.	Annual Plan: Housing Needs
N/A	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources
N/A	Public Housing Admissions and (Continued) Occupancy Policy (A&O/ACOP), which includes the Tenant Selection and Assignment Plan [TSAP] and the Site-Based Waiting List Procedure.	Annual Plan: Eligibility, Selection, and Admissions Policies
N/A	Deconcentration Income Analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
N/A	Any policy governing occupancy of Police Officers and Over-Income Tenants in Public Housing. <input type="checkbox"/> Check here if included in the public housing A&O Policy.	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
N/A	Public housing rent determination policies, including the method for setting public housing flat rents. <input type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Rent Determination
N/A	Schedule of flat rents offered at each public housing development. <input type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies (if included in plan, not necessary as a supporting document) and written analysis of Section 8 payment standard policies. <input checked="" type="checkbox"/> Check here if included in Section 8 Administrative Plan.	Annual Plan: Rent Determination
N/A	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation).	Annual Plan: Operations and Maintenance
N/A	Results of latest Public Housing Assessment System (PHAS) Assessment (or	Annual Plan: Management

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
	other applicable assessment).	and Operations
N/A	Follow-up Plan to Results of the PHAS Resident Satisfaction Survey (if necessary)	Annual Plan: Operations and Maintenance and Community Service & Self-Sufficiency
X	Results of latest Section 8 Management Assessment System (SEMAP)	Annual Plan: Management and Operations
NA	Any policies governing any Section 8 special housing types <input type="checkbox"/> Check here if included in Section 8 Administrative Plan	Annual Plan: Operations and Maintenance
N/A	Public housing grievance procedures <input type="checkbox"/> Check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures. <input checked="" type="checkbox"/> Check here if included in Section 8 Administrative Plan.	Annual Plan: Grievance Procedures
N/A	The Capital Fund/Comprehensive Grant Program Annual Statement /Performance and Evaluation Report for any active grant year.	Annual Plan: Capital Needs
N/A	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grants.	Annual Plan: Capital Needs
N/A	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans, or any other approved proposal for development of public housing.	Annual Plan: Capital Needs
N/A	Self-evaluation, Needs Assessment and Transition Plan required by regulations implementing Section 504 of the Rehabilitation Act and the Americans with Disabilities Act. See PIH Notice 99-52 (HA).	Annual Plan: Capital Needs
N/A	Approved or submitted applications for demolition and/or disposition of public housing.	Annual Plan: Demolition and Disposition
N/A	Approved or submitted applications for designation of public housing (Designated Housing Plans).	Annual Plan: Designation of Public Housing
N/A	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act, Section 22 of the US Housing Act of 1937, or Section 33 of the US Housing Act of 1937.	Annual Plan: Conversion of Public Housing
N/A	Documentation for required Initial Assessment and any additional information required by HUD for Voluntary Conversion.	Annual Plan: Voluntary Conversion of Public Housing
N/A	Approved or submitted public housing homeownership programs/plans.	Annual Plan: Homeownership
X	Policies governing any Section 8 Homeownership program (Addendum D of the Section 8 Administrative Plan)	Annual Plan: Homeownership
N/A	Public Housing Community Service Policy/Programs <input type="checkbox"/> Check here if included in Public Housing A & O Policy	Annual Plan: Community Service & Self-Sufficiency
N/A	Cooperative agreement between the PHA and the TANF agency and between the PHA and local employment and training service agencies.	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan(s) for public housing and/or Section 8.	Annual Plan: Community Service & Self-Sufficiency
N/A	Section 3 documentation required by 24 CFR Part 135, Subpart E for public housing.	Annual Plan: Community Service & Self-Sufficiency
N/A	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports for public housing.	Annual Plan: Community Service & Self-Sufficiency
N/A	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G). <input type="checkbox"/> Check here if included in the public housing A & O Policy.	Annual Plan: Pet Policy
X	The results of the most recent fiscal year audit of the PHA conducted under the Single Audit Act as implemented by OMB Circular A-133, the results of that	Annual Plan: Annual Audit

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Related Plan Component
	audit and the PHA's response to any findings.	
N/A	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)
N/A	Consortium agreement(s) and for Consortium Joint PHA Plans <u>Only</u> : Certification that consortium agreement is in compliance with 24 CFR Part 943 pursuant to an opinion of counsel on file and available for inspection.	Joint Annual PHA Plan for Consortia: Agency Identification and Annual Management and Operations

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

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

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

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

PHA Name:		Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No:			Federal FY of Grant:			
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	

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

Annual Statement/Performance and Evaluation Report Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part III: Implementation Schedule							
PHA Name:			Grant Type and Number Capital Fund Program No: Replacement Housing Factor No:				Federal FY of Grant:
Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	

8. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan					
Part I: Summary					
PHA Name				<input type="checkbox"/> Original 5-Year Plan <input type="checkbox"/> Revision No:	
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: PHA FY:	Work Statement for Year 3 FFY Grant: PHA FY:	Work Statement for Year 4 FFY Grant: PHA FY:	Work Statement for Year 5 FFY Grant: PHA FY:
	Annual Statement				
CFP Funds Listed for 5-year planning					
Replacement Housing Factor Funds					

8. Capital Fund Program Five-Year Action Plan

Capital Fund Program Five-Year Action Plan						
Part II: Supporting Pages—Work Activities						
Activities for Year 1	Activities for Year : ____ FFY Grant: PHA FY:			Activities for Year: ____ FFY Grant: PHA FY:		
	Development Name/Number	Major Work Categories	Estimated Cost	Development Name/Number	Major Work Categories	Estimated Cost
See						
Annual						
Statement						
Total CFP Estimated Cost			\$			\$

8. Capital Fund Program Five-Year Action Plan

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

Section 8 Homeownership Option
Section 8 Administrative Plan
Effective January 1, 2008

Authorization

In the September 12, 2000 publication of the Section Homeownership Program Final Rule, HUD authorized PHAs to use Housing Choice Vouchers for Homeownership assistance. Under this rule, Augusta Housing Authority will offer eligible families the opportunity to use their Housing Choice Voucher for homeowner assistance payments when they purchase a home. Augusta Housing Authority will be guided by the regulations set forth in that Rule at 24 CFR 982.625 - 982.643 and/or any other Rulemaking, Guidance or Notice related to Voucher Homeownership published after the above date.

The PHA has indicated its Capacity to Administer the Homeownership Option, per HUD guidance, in Addendum A of the 2006 Annual Plan submitted to HUD in October 2005.

This Addendum does not re-state HUD policy. The following Sections set forth Augusta Housing Authority's permissible Discretionary Policy for its HCV Homeownership Option.

Eligibility Requirements 24 CFR 982.626 and 982. 627

Any family who has been issued a Housing Choice Voucher may utilize their subsidy to purchase a home if qualified under the HUD eligibility criteria at 24 CFR 982.627.

Additional PHA Criteria for Eligibility:

- Admission is restricted to current or completed FSS families and disabled/elderly families
- Families must have participated in the HCV Program for at least one year in the AHA jurisdiction or in a porting PHA
- Families must be in good standing with AHA or porting PHA with a good history of compliance with lease and HCV Program

Additional PHA Criteria for Individualized Case Management:

- Families must attend a Homeownership Option Individual or Group Briefing and meet all HUD and AHA eligibility criteria
- Families may be asked for proof of credit worthiness(FICO score)
- Families must present proof of pre-approval by an approved lender
- Families must present proof of HoMEworks certification (homeownership training)

AHA's Homeownership Manager will provide individual case management to families who can provide The above proof of readiness for Homeownership. During any single calendar year, Augusta Housing will limit case management for new homeownership vouchers to the first four (4) families who meet all eligibility criteria and criteria for individualized case management..

As families become homebuyers, AHA will continue to provide case management for four (4) families at any one time. If a Waiting List is required, AHA will place only those families who have satisfied the criteria for individualized case management on a Waiting List.

Maximum Time Allowed to Locate and Purchase a House 24 CFR 982.629

After AHA receives proof of financing and completion of HoMEworks training, AHA will conduct an individual Housing Search Briefing. The family will have 90 days to complete its search and purchase a home from the date of the briefing. Three 30-day-extensions will be granted, for a total of 180 days, if the family can present proof of housing search. Further extensions may be considered at AHA's discretion if a home is under contract during the initial 180 days, especially if the delay is due to circumstances beyond the homeowner's control (such as lender delay, seller repairs etc.).

Continuation of Assistance in the HCV Rental Program 24 CFR 982.629

Any family in good standing who has failed to find and purchase a home during the specified time limit will be able to continue using their voucher for rental assistance.

Financing Options 24 CFR 982.632

AHA will require that financing be provided through a direct loan from a federal agency or be provided by an approved participating lender. AHA will use MaineHousing's Participating Lenders List.

AHA will prohibit the following forms of financing:

- Balloon payment mortgages
- Variable Rate Mortgages (ARMS)
- Seller Financing
- Interest-only/interest-first mortgages

AHA will review lender qualifications. Rates and terms of the mortgage are subject to approval by AHA.

Minimum Family Equity Required 24 CFR 982.632

AHA will honor the minimum equity amounts established by approved lenders.

Affordability 982.632

AHA will allow the lender to determine affordability. However, AHA will counsel the buyer if the homeownership expenses exceed 40% of the adjusted income.

Family Obligations 24 CFR 982.633

- The family must comply with the family obligations as stated at 24 CFR 982.633 and at 24 CFR 982.551 and on HUD's *Statement of Homeownership Obligations*, Form HUD-52649.
- If circumstances change after purchase (i.e. loss of job, etc.) the minimum contribution will be **\$50/month** as in the rental HCV Program.
- AHA will conduct Annual HQS Inspections.
- AHA may require post-homeownership counseling with AHA or default counseling with the lender if AHA determines that the family needs intervention to maintain homeownership.

Determining Homeownership Expenses 24 CFR 982.635

When calculating the HAP, AHA is required to use the lower of (1) the Section 8 Voucher Payment Standard minus the Total Tenant Payment or (2) the monthly Homeownership Expenses minus the Total Tenant Payment. For purposes of this program, the Homeownership Expenses will include:

- Mortgage principal and interest
- Mortgage insurance, if applicable
- Real estate taxes
- Homeowner's insurance
- Principal and interest on any other debt to finance repairs, closing costs, down payments, or accessibility changes for a person with disabilities
- Utility allowance amounts including sewer and water, if applicable
- Condo/cooperative fees, if applicable
- **Maintenance and repair, \$50 per month**

Payment Policy for HAP 24 CFR 982.635

Housing Assistance Payments will be made directly to the Buyer.

Moving Restriction 24 CFR 982.637

Participants must retain ownership of a home for at least a 12 month period if they wish to transfer their subsidy to another unit, whether owned or rented. Extenuating circumstances that may preclude this policy will include, but is not limited to:

- Death of a family member
- Serious illness of a family member that may affect the earning power of the family

AHA reserves the right to make the decision to continue the voucher subsidy if the family sells a house, without default, before a one-year residency in that home.

Mortgage Default 24 CFR 982.638

If a family participating in the Homeownership Option defaults on a home mortgage loan or on supportive loans for down payment assistance or repairs, the family will lose its voucher assistance. The family may re-apply for a voucher and get back on the HCV Waiting List.

If a family is housed with a voucher after coming to the top of the Waiting List, the family must meet the initial requirements/criteria, including a year as a rental tenant, before applying for the Homeownership Option again.

AHA reserves the right to grant or deny participation in this program based on the circumstances leading to default/foreclosure or sale of the first subsidized property.

VIOLENCE AGAINST WOMEN ACT (VAWA)
Section 8 Administrative Plan
Effective January 2008

I. Purpose and Applicability

The purpose of this policy (herein called "Policy") is to implement the applicable provisions of the Violence Against Women and Department of Justice Reauthorization Act of 2005 (Pub. L. 109-162) and more generally to set forth AHA's policies and procedures regarding domestic violence, dating violence, and stalking, as hereinafter defined.

This Policy shall be applicable to the administration by AHA of all federally subsidized Section 8 rental assistance under the United States Housing Act of 1937 (42 U.S.C. §1437 *et seq.*). Notwithstanding its title, this policy is gender-neutral, and its protections are available to males who are victims of domestic violence, dating violence, or stalking as well as female victims of such violence.

This Policy may be amended from time to time by AHA as approved by the AHA Board of Commissioners.

II. Goals and Objectives

This Policy has the following principal goals and objectives:

- A. Maintaining compliance with all applicable legal requirements imposed by VAWA;
- B. Ensuring the physical safety of victims of actual or threatened domestic violence, dating violence, or stalking who are assisted by AHA;
- C. Providing and maintaining housing opportunities for victims of domestic violence dating violence, or stalking;
- D. Creating and maintaining collaborative arrangements between AHA, law enforcement authorities, victim service providers, and others to promote the safety and well-being of victims of actual and threatened domestic violence, dating violence and stalking, who are assisted by AHA; and
- E. Taking appropriate action in response to an incident or incidents of domestic violence, dating violence, or stalking, affecting individuals assisted by AHA.

III. Other AHA Policies and Procedures

This Policy shall be referenced in and attached to AHA's Five-Year Public Agency Plan and shall be included in the Administrative Plan as Amendment D. AHA's Annual Agency Plan shall also contain information concerning AHA's activities, services or programs relating to domestic violence, dating violence, and stalking.

To the extent any provision of this policy shall vary or contradict any previously adopted policy or procedure of AHA, the provisions of this Policy shall prevail.

IV. Definitions

As used in this Policy:

A. *Domestic Violence* – The term ‘domestic violence’ includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabiting with or has cohabited with the victim as a spouse, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of the jurisdiction.”

B. *Dating Violence* – means violence committed by a person—

- (A) who is or has been in a social relationship of a romantic or intimate nature with the victim; and
- (B) where the existence of such a relationship shall be determined based on a consideration of the following factors:

- (i) The length of the relationship.
- (ii) The type of relationship.
- (iii) The frequency of interaction between the persons involved in the relationship.

C. *Stalking* – means –

(A) (i) to follow, pursue, or repeatedly commit acts with the intent to kill, injure, harass, or intimidate another person; and (ii) to place under surveillance with the intent to kill, injure, harass or intimidate another person; and

(B) in the course of, or as a result of, such following, pursuit, surveillance or repeatedly committed acts, to place a person in reasonable fear of the death of, or serious bodily injury to, or to cause substantial emotional harm to –

- (i) that person;
- (ii) a member of the immediate family of that person; or
- (iii) the spouse or intimate partner of that person;

D. *Immediate Family Member* - means, with respect to a person –

(A) a spouse, parent, brother, sister, or child of that person, or an individual to whom that person stands in loco parentis; or

(B) any other person living in the household of that person and related to that person by blood or marriage.

E. *Perpetrator* – means person who commits an act of domestic violence, dating violence or stalking against a victim.

V. Admissions

AHA will not deny admission to public housing or to the Section 8 rental assistance program to any person because that person is or has been a victim of domestic violence, dating violence, or stalking, provided that such person is otherwise qualified for such admission.

VI. Termination of Tenancy or Assistance

A. *VAWA Protections.* Under VAWA, persons assisted under the Section 8 Housing rental assistance program have the following specific protections, which will be observed by AHA:

1. An incident or incidents of actual or threatened domestic violence, dating violence, or stalking will not be considered to be a “serious or repeated” violation of the lease by the victim or threatened victim of that violence and will not be good cause for terminating the subsidy of the victim of that violence.

2. In addition to the foregoing, assistance will not be terminated by AHA as a result of criminal activity, if that criminal activity is directly related to domestic violence, dating violence or stalking engaged in by a member of the assisted household, a guest or another person under the tenant’s control, and the tenant or an immediate family member is the victim or threatened victim of this criminal activity. However, the protection against termination of assistance described in this paragraph is subject to the following limitations:

(a) Nothing contained in this paragraph shall limit any otherwise available authority of AHA or a property owner or manager to terminate tenancy, evict, or to terminate assistance, as the case may be, for any violation of a lease or program requirement not premised on the act or acts of domestic violence, dating violence, or stalking in question against the tenant or a member of the tenant’s household. However, in taking any such action, neither AHA nor a Section 8 manager or owner may apply a more demanding standard to the victim of domestic violence dating violence or stalking than that applied to other tenants.

(b) Nothing contained in this paragraph shall be construed to limit the authority of AHA or a property owner or manager to evict or terminate from assistance any tenant or lawful applicant if the owner, manager or AHA, as the case may be, can demonstrate an actual and imminent threat to other tenants or to those employed at or providing service to the property, if the tenant is not evicted or terminated from assistance.

B. *Removal of Perpetrator.* Further, notwithstanding anything in paragraph VI.A.2. or Federal, State or local law to the contrary, a property owner or manager, as the case may be, may bifurcate a lease, or remove a household member from a lease, without regard to whether a household member is a signatory to a lease, in order to evict, remove, terminate occupancy rights, or terminate assistance to any individual who is a tenant or lawful occupant and who engages in acts of physical violence against family members or others. Such action against the perpetrator of such physical violence may be taken without evicting, removing, terminating assistance to, or otherwise penalizing the victim of such violence who is also the tenant or a lawful occupant. Such eviction, removal, termination of occupancy rights, or termination of assistance shall be effected in accordance with the procedures prescribed by law applicable to terminations of tenancy and evictions by AHA. At the option of a property owner or manager, leases for dwelling units occupied by families assisted with Section 8 rental assistance administered by AHA, shall contain provisions setting forth the substance of this paragraph.

VII. Verification of Domestic Violence, Dating Violence or Stalking

A. *Requirement for Verification.* The law allows, but does not require, AHA to verify that an incident or incidents of actual or threatened domestic violence, dating violence, or stalking claimed by a tenant or other lawful occupant is bona fide and meets the requirements of the applicable definitions set forth in this policy. Subject only to waiver as provided in paragraph VII. C., AHA shall require verification in all cases where an individual claims protection against an action involving such individual proposed to be taken by AHA. Property owners or managers receiving rental assistance administered by AHA may elect to require verification, or not to require it as permitted under applicable law.

B. Verification of a claimed incident or incidents of actual or threatened domestic violence, dating violence or stalking may be accomplished in one of the following three ways:

1. *HUD-approved form* - by providing to AHA a written certification, on a form approved by the U.S. Department of Housing and Urban Development (HUD), that the individual is a victim of domestic violence, dating violence or stalking that the incident or incidents in question are bona fide incidents of actual or threatened abuse meeting the requirements of the applicable definition(s) set forth in this policy. The incident or incidents in question must be described in reasonable detail as required in the HUD-approved form, and the completed certification must include the name of the perpetrator.

2. *Other documentation* - by providing to AHA documentation signed by an employee, agent, or volunteer of a victim service provider, an attorney, or a medical professional, from whom the victim has sought assistance in addressing the domestic violence, dating violence or stalking, or the effects of the abuse, described in such documentation. The professional providing the documentation must sign and attest under penalty of perjury (28 U.S.C. 1746) to the professional's belief that the incident or incidents in question are bona fide incidents of abuse meeting the requirements of the applicable definition(s) set forth in this policy. The victim of the incident or incidents of domestic violence, dating violence or stalking described in the documentation must also sign and attest to the documentation under penalty of perjury.

3. *Police or court record* – by providing to AHA a Federal, State, tribal, territorial, or local police or court record describing the incident or incidents in question.

B. *Time allowed to provide verification/ failure to provide.* An individual who claims protection against adverse action based on an incident or incidents of actual or threatened domestic violence, dating violence or stalking, and who is requested by AHA to provide verification, must provide such verification within 14 business days (*i.e.*, 14 calendar days, excluding Saturdays, Sundays, and federally-recognized holidays) after receipt of the request for verification. Failure to provide verification, in proper form within such time will result in loss of protection under VAWA and this policy against a proposed adverse action.

C. *Waiver of verification requirement.* The Executive Director of AHA may, with respect to any specific case, waive the above-stated requirements for verification and provide the benefits of this policy based on the victim's statement or other corroborating evidence. Such waiver may be granted at the sole discretion of the Executive Director. Any such waiver must be in writing. Waiver in a particular instance or instances shall not operate as precedent for, or create any right to, waiver in any other case or cases, regardless of similarity in circumstances.

VIII. Confidentiality

All information (including the fact that an individual is a victim of domestic violence, dating violence or stalking) provided to AHA in connection with a verification required under section VII of this policy or provided in lieu of such verification where a waiver of verification is granted, shall be retained by the receiving party in confidence and shall neither be entered in any shared database nor provided to any related entity, except where disclosure is:

1. requested or consented to by the individual in writing, or
2. required for use in connection with termination of Section 8 assistance, as permitted in VAWA, or
3. otherwise required by applicable law.

IX. Waiver of 30-day Notice to Move

- A. In situations that involve significant and immediate risk of violent harm to an individual as a result of previous incidents or threats of domestic violence, dating violence, or stalking, AHA will waive a 30-day notice to the owner in order to reduce the level of risk to the individual. AHA will require a written request for a waiver of the 30-day Notice from the tenant.
- B. AHA will also expedite a request to port to another jurisdiction if the requested port is necessary to protect the health or safety of the tenant or another member of the household who is or was the victim of domestic violence dating violence or stalking and who reasonably believes that the tenant or other household member will be imminently threatened by harm from further violence if the individual remains in the present dwelling unit.

X. Relationships with Service Providers

It is the policy of AHA to cooperate with organizations and entities, both private and governmental, that provide shelter and/or services to victims of domestic violence. If AHA staff become aware that an individual assisted by AHA is a victim of domestic violence, dating violence or stalking, AHA will refer the victim to such providers of shelter or services as appropriate. Notwithstanding the foregoing, this Policy does not create any legal obligation requiring AHA either to maintain a relationship with any particular provider of shelter or services to victims of domestic violence or to make a referral in any particular case.

XI. Notification

AHA shall provide written notification to applicants at their Initial Lease-up Briefing and annually to tenants at their re-certification appointment.

All property owners and managers will be advised of their rights and obligations created under VAWA relating to confidentiality, denial of assistance and, termination of tenancy or assistance in the HAP Contract, Part C, the Tenancy Addendum, signed by the owner.

XII. Relationship with Other Applicable Laws

Neither VAWA nor this Policy implementing it shall preempt or supersede any provision of Federal, State or local law that provides greater protection than that provided under VAWA for victims of domestic violence, dating violence or stalking.

AFFIRMATIVELY FURTHERING FAIR HOUSING STATEMENT
Section 8 Administrative Plan
January 2008

It is the policy of Augusta Housing Authority to comply fully with all Federal, State, and local non-discrimination laws and with rules and regulations governing Fair Housing and Equal Opportunity in housing and employment. AHA will comply with all laws relating to Civil Rights, including:

- Title VI of the Civil Rights Act of 1964
- Title VIII of the Civil Rights Act of 1968 (as amended by the Community Development Act of 1974 and the Fair Housing Amendments Act of 1988)
- Executive Order 11063
- Section 504 of the Rehabilitation Act of 1973
- The Age Discrimination Act of 1975
- Title II of the Americans with Disabilities Act (to the extent that it applies, otherwise Section 504 and the Fair Housing Amendments govern)
- Violence Against Women Act of 1994
- *Any applicable state laws or local ordinances and any legislation protecting individual rights of tenants, applicants or staff that may subsequently be enacted.

AHA administers Housing Choice Vouchers and Mod Rehabs only. AHA does not rent properties that it owns or in which it has an interest.

AHA will not discriminate because of race, color, sex, religion, familial status, disability, national origin, marital status, or sexual orientation. To further its commitment to full compliance with applicable Civil Rights laws, AHA will provide Federal/State/local information to applicants/tenants regarding "discrimination" and any recourse available to them if they believe they are victims of discrimination. Such information will be made available to them during the initial briefing session and will be available at the front desk upon request. HUD's Housing Discrimination poster is displayed in the waiting area of the office.

AHA will not, on account of race, color, sex, religion, familial status, disability, national origin, marital status, or sexual orientation, deny to any family the opportunity to apply for housing, nor deny to any qualified applicant the opportunity to lease housing suitable to his or her needs in the community. AHA will not treat a person differently in determining eligibility or other requirements for admission.

AHA will not deny any person access to the same level of service given to any other person. AHA's office is accessible to persons with physical disabilities. There is a ramp, elevator and accessible doors and bathroom. Accessibility for the hearing impaired is provided by the TDD/TDY telephone number or by relay system. Accessibility for LEP is available through "Language-Line" or Catholic Charities translation services.

AHA's jurisdiction is included in Maine State Housing Authority's Comprehensive Plan for the State of Maine. However, the composite population of the entire state, especially its immigrant and non-white population, is not representative of the local jurisdiction of Augusta. Unlike other major population centers included in the MSHA Comprehensive Plans Analysis of Impediments, such as Portland and Lewiston, AHA serves a smaller population with less than 1% of families who have LEP, less than 1% of reportable ethnic background and less than 1% people of color. (extracted data from our Waiting List and VMS tenant data).

Because the city of Augusta is a major mental health service center, and because of the closure of the Augusta Mental Health Institute, the city of Augusta houses a large number of families composed of individuals with mental illness, cognitive and physical disabilities. Therefore, our identified population and its attendant needs are somewhat unique to this city and its jurisdiction. Approximately 80% of families served by AHA are at or below 30% median income (most on Federal SSI); many of these households consist of at least one person with a disability.. Therefore, AHA focuses its efforts on collaboration with DHHS, through the Departments of Mental Health Services and Office of Adults with Cognitive and Physical Disability Services, and with their contracted local mental health providers to provide services to this population.

Reducing Discrimination in Housing

AHA works closely with individual case managers and the applicants/ tenants themselves, and intercedes with local landlords and management companies to find the right “fit” for prospective rentals with our Housing Choice Vouchers. This collaborative approach leads to less discrimination by owners and neighborhoods. This action often requires voucher extensions for housing search and extra staff time for maintenance of subsidy once housed.

Overcoming Impediments to Fair Housing and Housing Choice

Following are some of the actions AHA has taken to overcome impediments to fair housing choice for applicants/tenants:

- Maintains a local preference for residents who live and/or work in the jurisdiction
- Maintains a system of duplicate mailing to caseworkers as a Reasonable Accommodation for any applicant/tenant who requests or requires this service
- Works closely with individual mental health workers and agency management to be sure that rental subsidies are not interrupted due to the tenant’s action/inaction
- Maintains an active relationship with the local landlord group, CAHA
- Maintains an active relationship with Augusta City Health and Welfare Dept. and Bread of Life Ministries
- Administer a variable number of group homes in conjunction with mental health agencies
- Offers staff training through the State Employees Training Unit in a variety of customer service areas including by not limited to: domestic violence issues, dealing with difficult clients, serving persons with mental illness, personality disorders etc

Promoting Fair Housing Rights and Fair Housing Choice

Following are some of the actions AHA has taken to promote fair housing rights and fair housing choice for all applicants/tenants :

- Works directly with Pine Tree Legal(non-profit, low0income legal services) to mediate applicant and tenant issues, either directly with AHA and with landlords
- Offers staff trainings in Fair Housing offered by Pine Tree Legal
- Offers tenants the Homeownership Option, restricted to FSS Participants and the elderly/disabled

AHA has also responded to “target” population needs by collaborating on the following activities:

- Applied for a waiver for self-help homeownership construction/voucher use
- Project-based 15 units of congregate housing for elderly, medically needy at the Inn at City Hall
- Project-based 4 units for transitional homeless families with Bread of Life Ministries
- Administers 9 SRO transitional homeless units for Bread of Life Ministries

AHA will continue outreach to organizations and agencies with a potential for identifying or addressing fair housing issues in order to continue to provide the services warranted by its High-Performing PHA status.