

PHA 5-Year and Annual Plan	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires 4/30/2011
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1.0	PHA Information PHA Name: Augusta Housing Authority PHA Code: ME 030 PHA Type: <input type="checkbox"/> Small <input checked="" type="checkbox"/> High Performing <input type="checkbox"/> Standard <input checked="" type="checkbox"/> HCV (Section 8) PHA Fiscal Year Beginning: (MM/YYYY): 2010																										
2.0	Inventory (based on ACC units at time of FY beginning in 1.0 above) Number of PH units: None Number of HCV units: 405																										
3.0	Submission Type <input checked="" type="checkbox"/> 5-Year and Annual Plan <input type="checkbox"/> Annual Plan Only <input type="checkbox"/> 5-Year Plan Only																										
4.0 N/A	PHA Consortia <input type="checkbox"/> PHA Consortia: (Check box if submitting a joint Plan and complete table below.)																										
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2" style="width: 35%;">Participating PHAs</th> <th rowspan="2" style="width: 10%;">PHA Code</th> <th rowspan="2" style="width: 20%;">Program(s) Included in the Consortia</th> <th rowspan="2" style="width: 20%;">Programs Not in the Consortia</th> <th colspan="2" style="width: 15%;">No. of Units in Each Program</th> </tr> <tr> <th style="width: 5%;">PH</th> <th style="width: 10%;">HCV</th> </tr> </thead> <tbody> <tr> <td style="height: 40px; vertical-align: top;">PHA 1:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td style="height: 20px; vertical-align: top;">PHA 2:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td style="height: 20px; vertical-align: top;">PHA 3:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Participating PHAs	PHA Code	Program(s) Included in the Consortia	Programs Not in the Consortia	No. of Units in Each Program		PH	HCV	PHA 1:						PHA 2:						PHA 3:					
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PHA 2:																											
PHA 3:																											
5.0	5-Year Plan. Complete items 5.1 and 5.2 only at 5-Year Plan update.																										
5.1	<p>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 for the next five years:</p> <p style="color: blue;">The mission of the Augusta Housing Authority is to assist low, very-low and extremely low-income families find and maintain decent, safe and affordable housing opportunities; to promote family self-sufficiency; to create and maintain partnerships with its customers and with community agencies in order to accomplish its goals and to operate a fiscally sound program.</p>																										

5.2	<p>Goals and Objectives. Identify the PHA’s quantifiable goals and objectives that will enable the PHA to serve the needs of low-income and very low-income, and extremely low-income families for the next five years. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.</p> <p><u>HUD Strategic Goal #1</u> Increasing the Availability of Housing</p> <ul style="list-style-type: none"> • Compete for additional vouchers up to a maximum of 100 by 2014 • Preserve existing housing units with Enhanced Vouchers up to a maximum of 100 by 2014 • Partner with public/private entities to purchase or rehab up to 10 units by 2014 • Project-base an additional 5 units in congregate or elderly housing by 2014 • Refer tenants to <i>MaineHousingSearch.org</i>, a free rental listing service, beginning in 2010 • Complete transition to PHA-WEB accounting system in 2010 • Cross-train staff for at least one alternate specialty by 2014 • Establish a housing authority website by 2014 <p><u>HUD Strategic Goal # 2</u> Improve Community Quality of Life and Economic Vitality</p> <ul style="list-style-type: none"> • Maintain High Performer Status on SEMAP each year through 2014 • Keep Lease-up Rate @ or above 98% 4 out of 5 years by 2014 • Maintain an HCV Homeownership Program, moving 5 new families to HO vouchers by 2014 • Maintain/expand AHA’s “Gatekeeper” Program for persons with disabilities through 2014 <p><u>HUD Strategic Goal # 3</u> Promote Self-sufficiency and asset development of families and individuals</p> <ul style="list-style-type: none"> • Recruit at least 4 new participants per year into the FSS Program through 2014 • Conduct 10 FSS briefings for cooperating agencies or for agency personnel through 2014 • Provide guidance to FSS HO applicants and guidance to FSS HO owners through 2014 • Refer four families to the FDA (IDA) savings program through 2014 <p><u>HUD Strategic Goal # 4</u> Ensure Equal Opportunity in Housing for all Americans</p> <ul style="list-style-type: none"> • Conduct staff training for new employees regarding LEP/Reasonable Accommodation, annually • Appoint a single staff person as an LEP and Disabilities Liaison for AHA in 2010 • Compile and update an LEP/Disability Resource Guide annually for AHA, annually • Conduct 2 Fair Housing trainings with Pine Tree Legal for staff and landlords by 2014
6.0	<p>PHA Plan Update</p> <p>(a) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission: No Revisions since January 2009</p> <p>(b) Identify the specific location(s) where the public may obtain copies of the 5-Year and Annual PHA Plan. For a complete list of PHA Plan elements, see Section 6.0 of the instructions. All documents are located in the Main Office @ 33 Union Street, Augusta, Maine</p>
7.0	<p>Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers. <i>Include statements related to these programs as applicable.</i></p> <p><u>HOMEOWNERSHIP PROGRAM</u> AHA initiated a Homeownership Program in 2006. since that time, AHA has helped two families move to Homeownership with a voucher. The FSS Program also guided 3 other families to homeownership <u>without</u> voucher subsidy.</p> <p><u>PROJECT BASE VOUCHER PROGRAM</u> AHA currently has 15 PBV in elderly congregate housing and 4 vouchers in transitional homeless housing.</p>

<p>8.0 N/A</p>	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.</p>
<p>8.1 N/A</p>	<p>Capital Fund Program Annual Statement/Performance and Evaluation Report. As part of the PHA 5-Year and Annual Plan, annually complete and submit the <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i>, form HUD-50075.1, for each current and open CFP grant and CFFP financing.</p>
<p>8.2 N/A</p>	<p>Capital Fund Program Five-Year Action Plan. As part of the submission of the Annual Plan, PHAs must complete and submit the <i>Capital Fund Program Five-Year Action Plan</i>, form HUD-50075.2, and subsequent annual updates (on a rolling basis, e.g., drop current year, and add latest year for a five year period). Large capital items must be included in the Five-Year Action Plan.</p>
<p>8.3 N/A</p>	<p>Capital Fund Financing Program (CFFP). <input type="checkbox"/> Check if the PHA proposes to use any portion of its Capital Fund Program (CFP)/Replacement Housing Factor (RHF) to repay debt incurred to finance capital improvements.</p>

Housing Needs. Based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data, make a reasonable effort to identify the housing needs of the low-income, very low-income, and extremely low-income families who reside in the jurisdiction served by the PHA, including elderly families, families with disabilities, and households of various races and ethnic groups, and other families who are on the public housing and Section 8 tenant-based assistance waiting lists. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location.

Statement of Housing Needs for Section 8 Tenant-Based Housing (HCV)

2008 Data	# of Families	% of Families
Waiting List Total	550	100
ELI	457	83
VLI	90	16
LI	3	1
Elderly	11	2
Elderly, Disabled	27	5
Non-Elderly Disabled	332	60
Non-Elderly	180	33
White	522	95
African American	12	2
American Indian	2	>1
Asian	1	>1
Native Hawaiian	0	0
Hispanic	13	2

9.0 Waiting List closed August, 2005 and re-opened in January, 2008. Turnover Rate was 14% in 2008.

Affordability and Supply

AHA reduced its Payment Standard for new lease-ups to 100% FMR in 2009 in order to avoid reducing the number of vouchers. This reduction in subsidy has increased the housing burden for affected tenants. Some of the more affordable properties are succumbing to foreclosure. Rents in the area for “good” units continue to out-pace HUD’s published FMRs.

Quality and Accessibility

Maine has some of the oldest housing stock in the nation, much of it turn-of-the-century mill and factory housing. The high cost of fuel and current banking crisis has impacted property owners adversely.

However, we have had an increase in quality, accessible units since 2000 built by private developers: Capital Village offers affordable family housing in a 35-unit complex; 98 Water Street, a rehab of a former commercial building, offers 24 accessible units in the downtown area; The Inn at City Hall, a congregate elderly rehab, has 15 market units and 15 project-based units for frail elderly/ disabled with supportive services. A private developer will be completing the renovation of 80+ subsidized units in the Greentree Apartment complex. This renovation will be completed with stimulus monies during the next five years.

Size and Location of Units

Augusta Housing Authority is an HCV-only PHA. The voucher gives families a choice of town/country living in a jurisdiction that extends across 2 counties and into 21 towns beyond Augusta itself. In most cases, families and individuals are able to locate units. However, affordability is affecting the availability.

Strategy for Addressing Housing 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. **Note: Small, Section 8 only, and High Performing PHAs complete only for Annual Plan submission with the 5-Year Plan.**

9.1

AHA will continue to maintain a lease-up rate of at least 98%. AHA will apply for vouchers, as available. AHA will continue to seek relationships with state and local agencies as well as private developers to increase housing availability in the area, to upgrade the quality of available housing and to address specific needs of an aging population, including an increase in project-basing units.

Additional Information. Describe the following, as well as any additional information HUD has requested.

(a) Progress in Meeting Mission and Goals. Provide a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year Plan.

FULFILLING OUR MISSION...

Between 2005 and 2009, AHA assisted over 400 Low, very low and extremely low families using its Housing Choice Vouchers in Project-Based units, group homes and local community rentals. AHA also managed over 200 ported HCVs in the local community as well as in project-based SROs. AHA continues to use Mainstream vouchers to transition individuals and families from the state-supported Bridging Rental Assistance and Shelter+Care Programs.

MEETING OUR GOALS and OBJECTIVES as stated in the 2005-2009 FIVE-YEAR PLAN...

HUD Strategic Goal #1 Increasing the Availability of Housing

- Augusta Housing Corporation considered purchase of 75 units in 2007; purchase price/rehabilitation cost was prohibitive
- AHA improved its SEMAP score to 100% in 2008
- AHA applied for 25 FUP vouchers but was unsuccessful in its effort in 2009

HUD Strategic Goal # 2 Improve community quality of life and economic vitality

- Administered vouchers in SROs, group homes and elderly residences
- Granted waiver to MSHA to administer their vouchers in special projects in the city

HUD Strategic Goal # 3 Promote Self-sufficiency and asset development of families and individuals

- AHA maintained an average of 15 families in its FSS Program
- AHA initiated a Homeownership Program and moved two tenants to homeownership
- Refer families to MCWWC, the agency operating Family Development Accounts (IDAs)

HUD Strategic Goal # 4 Ensure Equal Opportunity in Housing for all Americans

- Compiled an LEP/Disability Reference Manual, outlining policy, procedures and resources
- Posted updated Fair Housing Posters and language translation pos

10.0

(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA's definition of "significant amendment" and "substantial deviation/modification."

AHA defines a Significant Amendment of an Annual Plan as any discretionary change in the policies and procedures of the PHA such as changes in Rental Policies, Admission Preferences and PHA Activities that significantly alter the currently effective Annual Plan and impact the population served.

AHA defines a Substantial Deviation/Modification of the Five-Year Plan as any PHA action that substantially alters the intent of the Mission Statement or changes the stated Goals/Objectives and requires Board of Commissioner approval.

11.0

Required Submission for HUD Field Office Review. In addition to the PHA Plan template (HUD-50075), PHAs must submit the following documents. Items (a) through (g) may be submitted with signature by mail or electronically with scanned signatures, but electronic submission is encouraged. Items (h) through (i) must be attached electronically with the PHA Plan. **Note:** Faxed copies of these documents will not be accepted by the Field Office.

- (a) **Form HUD-50077, PHA Certifications of Compliance with the PHA Plans and Related Regulations (which includes all certifications relating to Civil Rights)**
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace* (PHAs receiving CFP grants only) **N/A**
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions* (PHAs receiving CFP grants only) **N/A**
- (d) Form SF-LLL, *Disclosure of Lobbying Activities* (PHAs receiving CFP grants only) **N/A**
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet* (PHAs receiving CFP grants only) **N/A**
- (f) **Resident Advisory Board (RAB) comments. Comments received from the RAB must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations.**
- (g) Challenged Elements **N/A**
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report* (PHAs receiving CFP grants only) **N/A**
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan* (PHAs receiving CFP grants only) **N/A**

ATTACHMENTS

- ME030a01 Resident Advisory Board Recommendations and PHA Decisions based on Recommendations**
- ME030b01 VAWA, Addendum D, Augusta Housing Administrative Plan**

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, as amended, which introduced 5-Year and Annual PHA Plans. The 5-Year and Annual PHA plans provide 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 is to be used by all PHA types for submission of the 5-Year and Annual Plans to HUD. Public reporting burden for this information collection is estimated to average 12.68 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 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. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality

Instructions form HUD-50075

Applicability. This form is to be used by all Public Housing Agencies (PHAs) with Fiscal Year beginning April 1, 2008 for the submission of their 5-Year and Annual Plan in accordance with 24 CFR Part 903. The previous version may be used only through April 30, 2008.

1.0 PHA Information

Include the full PHA name, PHA code, PHA type, and PHA Fiscal Year Beginning (MM/YYYY).

2.0 Inventory

Under each program, enter the number of Annual Contributions Contract (ACC) Public Housing (PH) and Section 8 units (HCV).

3.0 Submission Type

Indicate whether this submission is for an Annual and Five Year Plan, Annual Plan only, or 5-Year Plan only.

4.0 PHA Consortia

Check box if submitting a Joint PHA Plan and complete the table.

5.0 Five-Year Plan

Identify the PHA's Mission, Goals and/or Objectives (24 CFR 903.6). Complete only at 5-Year update.

5.1 Mission. A statement of the mission of the public housing agency for serving the needs of low-income, very low-income, and extremely low-income families in the jurisdiction of the PHA during the years covered under the plan.

5.2 Goals and Objectives. Identify quantifiable goals and objectives that will enable the PHA to serve the needs of low income, very low-income, and extremely low-income families.

6.0 PHA Plan Update. In addition to the items captured in the Plan template, PHAs must have the elements listed below readily available to the public. Additionally, a PHA must:

- (a) Identify specifically which plan elements have been revised since the PHA's prior plan submission.
- (b) Identify where the 5-Year and Annual Plan may be obtained by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on its official website. PHAs are also encouraged to provide each resident council a copy of its 5-Year and Annual Plan.

PHA Plan Elements. (24 CFR 903.7)

1. **Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures.** Describe the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV and unit assignment policies for public housing; and procedures for

maintaining waiting lists for admission to public housing and address any site-based waiting lists.

2. **Financial Resources.** A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA Operating, Capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources.
3. **Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units.
4. **Operation and Management.** A statement of the rules, standards, and policies of the PHA governing maintenance management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA.
5. **Grievance Procedures.** A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants.
6. **Designated Housing for Elderly and Disabled Families.** With respect to public housing projects owned, assisted, or operated by the PHA, describe any projects (or portions thereof), in the upcoming fiscal year, that the PHA has designated or will apply for designation for occupancy by elderly and disabled families. The description shall include the following information: **1)** development name and number; **2)** designation type; **3)** application status; **4)** date the designation was approved, submitted, or planned for submission, and; **5)** the number of units affected.
7. **Community Service and Self-Sufficiency.** A description of: **(1)** Any programs relating to services and amenities provided or offered to assisted families; **(2)** Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS; **(3)** How the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. **(Note: applies to only public housing).**
8. **Safety and Crime Prevention.** For public housing only, describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must include: **(i)** A description of the need for measures to ensure the safety of public housing residents; **(ii)** A description of any crime prevention activities

conducted or to be conducted by the PHA; and (iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities.

9. **Pets.** A statement describing the PHAs policies and requirements pertaining to the ownership of pets in public housing.
10. **Civil Rights Certification.** A PHA will be considered in compliance with the Civil Rights and AFFH Certification if: it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction.
11. **Fiscal Year Audit.** The results of the most recent fiscal year audit for the PHA.
12. **Asset Management.** A statement of how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.
13. **Violence Against Women Act (VAWA).** A description of: **1)** Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; **2)** Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and **3)** Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families.

7.0 Hope VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership Programs, and Project-based Vouchers

- (a) **Hope VI or Mixed Finance Modernization or Development.** **1)** A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Mixed Finance Modernization or Development; and **2)** A timetable for the submission of applications or proposals. The application and approval process for Hope VI, Mixed Finance Modernization or Development, is a separate process. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm>
- (b) **Demolition and/or Disposition.** With respect to public housing projects owned by the PHA and subject to ACCs under the Act: **(1)** A description of any housing (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and **(2)** A timetable for the demolition or disposition. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at: http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm

Note: This statement must be submitted to the extent that

approved and/or pending demolition and/or disposition has changed.

- (c) **Conversion of Public Housing.** With respect to public housing owned by a PHA: **1)** A description of any building or buildings (including project number and unit count) that the PHA is required to convert to tenant-based assistance or that the public housing agency plans to voluntarily convert; **2)** An analysis of the projects or buildings required to be converted; and **3)** A statement of the amount of assistance received under this chapter to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at: <http://www.hud.gov/offices/pih/centers/sac/conversion.cfm>
- (d) **Homeownership.** A description of any homeownership (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval.
- (e) **Project-based Vouchers.** If the PHA wishes to use the project-based voucher program, a statement of the projected number of project-based units and general locations and how project basing would be consistent with its PHA Plan.

8.0 Capital Improvements. This section provides information on a PHA's Capital Fund Program. With respect to public housing projects owned, assisted, or operated by the public housing agency, a plan describing the capital improvements necessary to ensure long-term physical and social viability of the projects must be completed along with the required forms. Items identified in 8.1 through 8.3, must be signed where directed and transmitted electronically along with the PHA's Annual Plan submission.

8.1 Capital Fund Program Annual Statement/Performance and Evaluation Report. PHAs must complete the *Capital Fund Program Annual Statement/Performance and Evaluation Report* (form HUD-50075.1), for each Capital Fund Program (CFP) to be undertaken with the current year's CFP funds or with CFFP proceeds. Additionally, the form shall be used for the following purposes:

- (a) To submit the initial budget for a new grant or CFFP;
- (b) To report on the Performance and Evaluation Report progress on any open grants previously funded or CFFP; and
- (c) To record a budget revision on a previously approved open grant or CFFP, e.g., additions or deletions of work items, modification of budgeted amounts that have been undertaken since the submission of the last Annual Plan. The Capital Fund Program Annual Statement/Performance and Evaluation Report must be submitted annually.

Additionally, PHAs shall complete the Performance and Evaluation Report section (see footnote 2) of the *Capital Fund Program Annual Statement/Performance and Evaluation* (form HUD-50075.1), at the following times:

1. At the end of the program year; until the program is completed or all funds are expended;
2. When revisions to the Annual Statement are made, which do not require prior HUD approval, (e.g., expenditures for emergency work, revisions resulting from the PHAs application of fungibility); and
3. Upon completion or termination of the activities funded in a specific capital fund program year.

8.2 Capital Fund Program Five-Year Action Plan

PHAs must submit the *Capital Fund Program Five-Year Action Plan* (form HUD-50075.2) for the entire PHA portfolio for the first year of participation in the CFP and annual update thereafter to eliminate the previous year and to add a new fifth year (rolling basis) so that the form always covers the present five-year period beginning with the current year.

8.3 Capital Fund Financing Program (CFFP). Separate, written HUD approval is required if the PHA proposes to pledge any portion of its CFP/RHF funds to repay debt incurred to finance capital improvements. The PHA must identify in its Annual and 5-year capital plans the amount of the annual payments required to service the debt. The PHA must also submit an annual statement detailing the use of the CFFP proceeds. See guidance on HUD's website at:

<http://www.hud.gov/offices/pih/programs/ph/capfund/cffp.cfm>

9.0 Housing Needs. Provide a statement of the housing needs of families residing in the jurisdiction served by the PHA and the means by which the PHA intends, to the maximum extent practicable, to address those needs. (Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).

9.1 Strategy for Addressing Housing Needs. Provide a 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. (Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).

10.0 Additional Information. Describe the following, as well as any additional information requested by HUD:

- (a) **Progress in Meeting Mission and Goals.** PHAs must include (i) a statement of the PHAs progress in meeting the mission and goals described in the 5-Year Plan; (ii) the basic criteria the PHA will use for determining a significant amendment from its 5-year Plan; and a significant amendment or modification to its 5-Year Plan and Annual Plan. (Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan).
- (b) **Significant Amendment and Substantial Deviation/Modification.** PHA must provide the definition

of "significant amendment" and "substantial deviation/modification". (Note: Standard and Troubled PHAs complete annually; Small and High Performers complete only for Annual Plan submitted with the 5-Year Plan.)

- (c) PHAs must include or reference any applicable memorandum of agreement with HUD or any plan to improve performance. (Note: Standard and Troubled PHAs complete annually).

11.0 Required Submission for HUD Field Office Review. In order to be a complete package, PHAs must submit items (a) through (g), with signature by mail or electronically with scanned signatures. Items (h) and (i) shall be submitted electronically as an attachment to the PHA Plan.

- (a) Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*
- (b) Form HUD-50070, *Certification for a Drug-Free Workplace (PHAs receiving CFP grants only)*
- (c) Form HUD-50071, *Certification of Payments to Influence Federal Transactions (PHAs receiving CFP grants only)*
- (d) Form SF-LLL, *Disclosure of Lobbying Activities (PHAs receiving CFP grants only)*
- (e) Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet (PHAs receiving CFP grants only)*
- (f) Resident Advisory Board (RAB) comments.
- (g) Challenged Elements. Include any element(s) of the PHA Plan that is challenged.
- (h) Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.1.
- (i) Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan (Must be attached electronically for PHAs receiving CFP grants only)*. See instructions in 8.2.

**REVIEW OF 2010 ANNUAL PLAN
and
2010-2014 FIVE-YEAR PLAN**

RAB MEETING

On September 11, 2009, AHA held a Resident Advisory Board Meeting with all three current members in attendance. The purpose of the meeting was to review the PHA's 2010 Annual Plan/2010-2014 Five-Year Plan rendered on HUD's new Plan template. A draft of the combined plans was provided to Board members prior to the meeting, either by mail or electronically.

**RAB Members Present: Tonia Sirois
 Amanda Frost
RAB Members Absent: Wanda Navarro**

PHA Representative Present: Catherine Austin

AHA reviewed its current 2005-2009 Five-Year Plan, explaining HUD's Strategic Goals and Augusta Housing's efforts during the last five years to meet the stated objectives. The Board approved AHA's actions in complying with the Goals and Objectives of the expiring 2005-2009 Five-Year Plan.

AHA reviewed the elements of its proposed 2010 Annual Plan/2010-2014 Five-Year Plan. The two Board members approved AHA's Goals and Objectives. We also briefly reviewed the Project-Base and the Homeownership Programs. Since one of the Board Members is currently an AHA Voucher Homeowner, there was some talk centering on program requirements, affordability availability. However, there were no recommendations for changes to the program as it is designed now.

The single element in the Plan that elicited the most comment and conversation was The Statement of Housing Needs. Both tenants were dismayed at the length of our Waiting List (550 counted in 2008). I explained that we are currently serving families that applied in February 2008. Talk centered on the lack of emergency housing; the local shelter is full and the family violence shelter has a 30 day-stay limit. These shortages often send a family back to the untenable situation from which they are trying to escape!

I explained that the State Housing Authority generally issues homeless vouchers to families in our area, allowing AHA to concentrate on housing the extremely-low income families/individuals often transferring from the Bridging Rental Assistance Program for persons with mental illness. However, at this time, even the Maine State Housing

Authority does not have FairShare vouchers to issue to the homeless. However, they were awarded 100 vouchers for statewide use for the Family Unification Program and they also have available vouchers for the Rental Assistance Coupon Program.

We discussed AHA's efforts to get new vouchers, the frustration of competing with larger PHA's who often have additional financial resources and/or leverage. AHA submitted a proposal for the FUP Grant, but was not awarded vouchers. AHA will continue to submit proposals for vouchers as NOFAs are published.

The Board members concluded that AHA has set reasonable and attainable expectations for the Housing Authority for the next five years. There were no changes or recommendations submitted that required a response or action by AHA.

Submitted by Catherine Austin

September 21, 2009

VIOLENCE AGAINST WOMEN ACT (VAWA)
Section 8 Administrative Plan
Addendum D

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.

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, third-party verification being preferred:

1. *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.
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. *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.

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.