

	<p>5. Grievance Procedures – No changes</p> <p>6. Designated Housing for Elderly and Disabled Families – No changes</p> <p>7. Community Service and Self-Sufficiency – No changes</p> <p>8. Safety and Crime Prevention – No changes</p> <p>9. Pets –</p> <ul style="list-style-type: none"> • Establishing use of a “Pet Permit” to be made available to HA staff upon request; • Residents are responsible for notifying the Housing Authority of any changes to their Pet Permit within a reasonable time-period; and, • Residents who can prove paying the entire pet deposit at once will create a financial burden may be permitted to enter a formal agreement for installment payments. <p>10. Civil Rights Certification – No changes</p> <p>11. Fiscal Year Audit – No changes</p> <p>12. Asset Management – No changes</p> <p>13. Violence Against Women Act (VAWA) – Details are in <u><i>Attachment A</i></u>.</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.</p> <p>Copies at Main office</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><i>HOPE VI</i> – WHA does not anticipate applying for a HOPE VI grant in the upcoming fiscal year.</p> <p><i>Mixed-Finance Modernization or Development</i> – WHA does not anticipate any mixed-finance mod or development in the upcoming fiscal year</p> <p><i>Demolition and/or Disposition</i> – WHA does not anticipate applying for demolition or disposition in the upcoming fiscal year</p> <p><i>Conversion of Public Housing</i> – WHA does not anticipate any conversions of public housing to tenant-based assistance in the upcoming fiscal year</p> <p><i>Section 8 Homeownership Program</i> - WHA does not anticipate administering a Section 8 Homeownership Program in the upcoming fiscal year</p> <p><i>Public Housing Homeownership Program</i> – WHA does not anticipate administering a Public Housing Homeownership Program in the upcoming fiscal year</p> <p><i>Project-Based Vouchers</i> – WHA does not anticipate project-basing any of it’s tenant-based vouchers in the upcoming fiscal year</p> <p><i>Other</i> – WHA may apply for new programs or incremental units if NOFAs are issued by HUD or other appropriate opportunities are presented.</p>
8.0	<p>Capital Improvements. Please complete Parts 8.1 through 8.3, as applicable.</p>
8.1	<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>Attachment B – FY 2011 Capital Fund Program Annual Statement Attachment C – FY 2010 Capital Fund Program Performance and Evaluation Report Attachment D – FY 2009 Capital Fund Program Performance and Evaluation Report Attachment E – FY 2009 Capital Fund Program Performance and Evaluation Report – CFRG Stimulus Grant <u>Final</u> P & E</p>
8.2	<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>Attachment F – Capital Fund Program Five-Year Action Plan</p>

8.3	<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> <p>Not Applicable</p>
9.0	<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.</p> <p>N/A – Annual Plan Submission/High Performer</p>
9.1	<p>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.</p> <p>N/A – Annual Plan Submission/High Performer</p>
10.0	<p>Additional Information. Describe the following, as well as any additional information HUD has requested.</p> <p>(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.</p> <p>N/A – Annual Plan Submission/High Performer</p> <p>(b) Significant Amendment and Substantial Deviation/Modification. Provide the PHA’s definition of “significant amendment” and “substantial deviation/modification”</p> <p>N/A – Annual Plan Submission/High Performer</p>
11.0	<p>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.</p> <p>(a) Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> (which includes all certifications relating to Civil Rights) (See Attachment G)</p> <p>(b) Form HUD-50070, <i>Certification for a Drug-Free Workplace</i> (PHAs receiving CFP grants only) (See Attachment H)</p> <p>(c) Form HUD-50071, <i>Certification of Payments to Influence Federal Transactions</i> (PHAs receiving CFP grants only) (See Attachment I)</p> <p>(d) Form SF-LLL, <i>Disclosure of Lobbying Activities</i> (PHAs receiving CFP grants only) (See Attachment J)</p> <p>(e) Form SF-LLL-A, <i>Disclosure of Lobbying Activities Continuation Sheet</i> (PHAs receiving CFP grants only)</p> <p>(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. (See Attachment K)</p> <p>(g) Challenged Elements (See Attachment L)</p> <p>(h) Form HUD-50075.1, <i>Capital Fund Program Annual Statement/Performance and Evaluation Report</i> (PHAs receiving CFP grants only)</p> <p>(i) Form HUD-50075.2, <i>Capital Fund Program Five-Year Action Plan</i> (PHAs receiving CFP grants only)</p>

Attachment A

Waterville Housing Authority

Annual Plan

Fiscal Year 07/01/2011 – 06/30/2012

Violence Against Women Act (VAWA) Report

A goal of the Waterville Housing Authority is to fully comply with the Violence Against Women Act (VAWA). It is our objective to work with others to prevent offenses covered by VAWA to the degree we can.

The Waterville Housing Authority provides or offers the following activities, services, or programs, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking:

Through cooperation with the local domestic violence agency and the Waterville Police Department, any cases of violence as described are referred for assistance. The local domestic violence agency is the Family Violence Project.

The Waterville Housing Authority provides or offers the following activities, services, or programs that help child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing:

Program staff at the local domestic violence agency is aware of our housing programs and make client referrals to our office. Apparently eligible clients are placed on our waiting list.

For persons already living in a public housing or Housing Choice Voucher unit who become victims as described, and/or those who cannot be immediately assisted, these are referred to the above-listed domestic violence advocacy groups. An applicant or participant that is or has been a victim of domestic violence, dating violence, or stalking is not an appropriate basis for denial of program assistance or for denial of admission, if the applicant otherwise qualifies for assistance or admission.

The Waterville Housing Authority provides or offers the following activities, services, or programs to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families:

The same methods as described herein are used, making referrals to the above-listed domestic violence advocacy group for counseling and support services, and attempting to enforce orders of protection with the cooperation of Police Department personnel.

The Waterville Housing Authority has the following procedure in place to assure applicants and residents are aware of their rights and responsibilities under the Violence Against Women Act:

All residents and participants have been notified of their rights and responsibilities under the Violence Against Women Act.

The orientation for new residents and new participants includes information on their rights and responsibilities under the Violence Against Women Act.

The Admissions & Continued Occupancy Policy (ACOP), the Public Housing Dwelling Lease and the Section 8 Administrative Plan have been revised to include screening and termination language related to the Violence Against Women Act

Part I: Summary		PHA Name: Waterville Housing Authority		Grant Type and Number Capital Fund Program Grant No: ME36P00850111		Replacement Housing Factor Grant No:		FFY of Grant: 2011	
		Date of CFFP:						FFY of Grant Approval: 2011	
Type of Grant		<input checked="" type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input type="checkbox"/> Revised Annual Statement (revision no:)			
Performance and Evaluation Report for Period Ending:						Final Performance and Evaluation Report			
Line	Summary by Development Account	Original	Total Estimated Cost	Revised²	Obligated	Total Actual Cost¹			
1	Total non-CFF Funds								
2	1406 Operations (may not exceed 20% of line 21) ³	151,600							
3	1408 Management Improvements								
4	1410 Administration (may not exceed 10% of line 21)								
5	1411 Audit								
6	1415 Liquidated Damages								
7	1430 Fees and Costs								
8	1440 Site Acquisition								
9	1450 Site Improvement	20,000							
10	1460 Dwelling Structures	178,400							
11	1465.1 Dwelling Equipment - Nonexpendable								
12	1470 Non-dwelling Structures								
13	1475 Non-dwelling Equipment								
14	1485 Demolition								
15	1492 Moving to Work Demonstration								
16	1495.1 Relocation Costs								
17	1499 Development Activities ⁴								
18a	1501 Collateralization or Debt Service paid by the PHA								
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment								
19	1502 Contingency (may not exceed 8% of line 20)								
20	Amount of Annual Grant: (sum of line 2 - 19)	350,000		0		0			
21	Amount of line 20 Related to LBP Activities								
22	Amount of line 20 Related to Section 504 Activities								
23	Amount of line 20 Related to Security - Soft Costs								
24	Amount of line 20 Related to Security - Hard Costs								
25	Amount of line 20 Related to Energy Conservation Measures								

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 Units in management may use 100% of CFF Grants for operations.

⁴ RHF funds shall be included here.

Part I: Summary		Grant Type and Number		FFY of Grant:	
PHA Name:		Capital Fund Program Grant No:		2011	
Waterville Housing Authority		ME36P00850111		FFY of Grant Approval:	
Date of CFFP:		Replacement Housing Factor Grant No:		2011	
<input checked="" type="checkbox"/> Original Annual Statement <input type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/> Reserve for Disasters/Emergencies <input type="checkbox"/> Revised Annual Statement (revision no:) <input type="checkbox"/> Final Performance and Evaluation Report			
Line		Total Estimated Cost		Total Actual Cost¹	
Summary by Development Account		Original		Obligated	
Signature of Executive Director		Signature of Public Housing Director		Date	
<i>[Signature]</i>		<i>[Signature]</i>		3/9/2011	

Part II: Supporting Pages		Grant Type and Number		CFPP (Yes/No)		Federal FFY of Grant:		
PHA Name: Waterville Housing Authority		Capital Fund Program Grant No: ME36P00850111		No		2011		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised 2	Funds Obligated ²	Funds Expended ²	
ME008000088 Formerly ME008-2	Paving, site work, landscaping - Acq. Complete unit rehab - Acq.	1450 1460	2 Bldgs 2 Units	20,000 17,500				
	Sub-Total			37,500				
ME008000088 Formerly ME008-3	Bathroom Rehab - on-going	1460	4 Units	10,400				
	Sub-Total			10,400				
ME008000088 Formerly ME008-4	Plumbing, drain line repair/replacement Replace windows	1460 1460	135	16,500 84,000				
	Sub-Total			113,500				
ME008000088 Formerly ME008-6	Replace heat appliances/water heaters	1460	5 Units	37,000				
	Sub-Total			37,000				
ME008000088	General operating expenses	1406		151,600				
	Sub-Total			151,600				
	TOTAL			350,000				

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

² To be completed for the Performance and Evaluation Report.

Part I: Summary		Grant Type and Number		Replacement Housing Factor Grant No:		FFY of Grant:	
PHA Name:		Capital Fund Program Grant No:		ME36P00850110		2010	
Waterville Housing Authority		Date of CFFP:				FFY of Grant Approval:	
		Reserve for Disasters/Emergencies		Revised Annual Statement (revision no: 2)		2010	
		12/31/2010		Final Performance and Evaluation Report			
Type of Grant		Original Annual Statement		Revised ²		Total Actual Cost ¹	
<input type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input checked="" type="checkbox"/> Revised ²		<input type="checkbox"/> Obligated	
<input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending:		12/31/2010		Final Performance and Evaluation Report			
Summary by Development Account		Total Estimated Cost					
Line		Original	Revised ²	Obligated	Total Actual Cost ¹	Expended	
1	Total non-CPP Funds						
2	1406 Operations (may not exceed 20% of line 21) ³	50,000	50,000		50,000		
3	1408 Management Improvements						
4	1410 Administration (may not exceed 10% of line 21)						
5	1411 Audit						
6	1415 Liquidated Damages						
7	1430 Fees and Costs	5,800	5,800		0		
8	1440 Site Acquisition						
9	1450 Site Improvement						
10	1460 Dwelling Structures	291,354	291,354		136,491		51,960
11	1465.1 Dwelling Equipment - Nontaxable	6,000	6,000		2,909		2,909
12	1470 Non-dwelling Structures						
13	1475 Non-dwelling Equipment	7,000	7,000		0		
14	1485 Demolition						
15	1492 Moving to Work Demonstration						
16	1495.1 Relocation Costs						
17	1499 Development Activities ⁴						
18a	1501 Collateralization or Debt Service paid by the PHA						
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment						
19	1502 Contingency (may not exceed 8% of line 20)						
20	Amount of Annual Grant: (sum of line 2 - 19)	360,154	360,154		189,400		54,869
21	Amount of line 20 Related to LBP Activities						
22	Amount of line 20 Related to Section 504 Activities						
23	Amount of line 20 Related to Security - Soft Costs						
24	Amount of line 20 Related to Security - Hard Costs						
25	Amount of line 20 Related to Energy Conservation Measures						

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 Units in management may use 100% of CPP Grants for operations.

⁴ RHF funds shall be included here.

Part I: Summary	
PIA Name: Waterville Housing Authority	Grant Type and Number Capital Fund Program Grant No: ME36P00850110 Date of CFFP: _____
FFY of Grant: 2010	Replacement Housing Factor Grant No: 2010
FFY of Grant Approval: 2010	
Type of Grant <input type="checkbox"/> Original Annual Statement <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: Line Summary by Development Account	<input type="checkbox"/> Reserve for Disasters/Emergencies 12/31/2010 <input checked="" type="checkbox"/> Revised Annual Statement (revision no: 2) <input type="checkbox"/> Final Performance and Evaluation Report Total Estimated Cost Revised Total Actual Cost
Signature of Executive Director <i>David Taylor</i>	Signature of Public Housing Director Date 3/9/2011

Part II: Supporting Pages		Grant Type and Number		CFPP (Yes/No):		Federal FFY of Grant:		
PHA Name: Waterville Housing Authority		Capital Fund Program Grant No: ME36P00850110		No		2010		
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised 2	Funds Obligated ²	Funds Expended ²	
ME008000088	Replace entry steps/porch repair - Acq.	1460	6 Units	12,000	0			Completed 501-09
Formerly ME008-2	Complete unit rehab - Acq.	1460	2 Units	35,000	5,520	5,520	5,520	Completed
	Replace roofs	1460	3 Bldgs	55,154	55,154	55,154	3,820	In Progress
	Complete siding (ARRA Cont)	1460	1 Unit	11,673	9,270	9,270	9,270	Completed
	Sub-Total			113,827	69,944	69,944	18,610	
ME008000088	Replace entry steps-ongoing	1460	4 Bldgs	4,200	4,200	4,200		In Progress
Formerly ME008-3	Replace windows	1460	115	27,600	0			Defer
	Replace flooring (on-going)	1460	5 Units	10,527	10,500	10,347	4,105	In Progress
	Bathroom Rehab (ARRA Cont)	1460	17 Units	24,600	44,200	20,000	15,564	In Progress
	Sub-Total			66,927	58,900	34,547	19,669	
ME008000088	Plumbing, drain line repair/replacement	1460		45,000	38,500	17,000		As Needed
Formerly ME008-4	Replace windows	1460	135	27,600	86,010			Pricing
	Replace flooring (on-going)	1460	5 Units	18,000	18,000	15,000	13,681	As Needed
	Sub-Total			90,600	142,510	32,000	13,681	
ME008000088	General operating expenses	1406		50,000	50,000	50,000		
	Computer Equipment, Office Fixtures	1475		7,000	7,000			Pricing
	Professional reports, design, fees, etc.	1430		5,800	5,800			
	Replace appliances as needed	1465.1		6,000	6,000	2,909	2,909	As Needed
	Replace boilers/water heaters as needed	1460		20,000	20,000			As Needed
	Sub-Total			88,800	88,800	52,909	2,909	
	TOTAL			360,154	360,154	189,400	54,869	
						0		

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

² To be completed for the Performance and Evaluation Report.

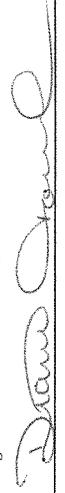
Part I: Summary		Grant Type and Number		Replacement Housing Factor Grant No:		FFY of Grant:	
PHA Name:		Capital Fund Program Grant No:		ME36P008501.09		2009	
Waterville Housing Authority		Date of CFFP:				FFY of Grant Approval:	
		Reserve for Disasters/Emergencies				2009	
Type of Grant		12/31/2010		Revised Annual Statement (revision no: 3)			
<input type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input checked="" type="checkbox"/> X		Final Performance and Evaluation Report	
<input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending:							
Summary by Development Account		Total Estimated Cost		Revised ²		Total Actual Cost ¹	
Line		Original			Obligated	Expended	
1	Total non-CFP Funds						
2	1406 Operations (may not exceed 20% of line 21) ³	35,000		70,000		70,000	35,000
3	1408 Management Improvements	0		10,460		10,460	10,460
4	1410 Administration (may not exceed 10% of line 21)						
5	1411 Audit						
6	1415 Liquidated Damages						
7	1430 Fees and Costs	8,829		8,672		5,000	1,360
8	1440 Site Acquisition						
9	1450 Site Improvement	50,000		74,760		39,760	39,760
10	1460 Dwelling Structures	230,273		170,670		119,240	65,537
11	1465.1 Dwelling Equipment - Nonexpendable	12,000		12,000		12,000	10,513
12	1470 Non-dwelling Structures						
13	1475 Non-dwelling Equipment	15,000		4,540		4,540	2,436
14	1485 Demolition						
15	1492 Moving to Work Demonstration						
16	1495.1 Relocation Costs						
17	1499 Development Activities ⁴						
18a	1501 Collateralization or Debt Service paid by the PHA						
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment						
19	1502 Contingency (may not exceed 8% of line 20)						
20	Amount of Annual Grant: (sum of line 2 - 19)	351,102		351,102		261,000	165,068
21	Amount of line 20 Related to LBP Activities						
22	Amount of line 20 Related to Section 504 Activities						
23	Amount of line 20 Related to Security - Soft Costs						
24	Amount of line 20 Related to Security - Hard Costs						
25	Amount of line 20 Related to Energy Conservation Measures						

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 Units in management may use 100% of CFP Grants for operations.

⁴ RHF funds shall be included here.

Part I: Summary		Grant Type and Number Capital Fund Program Grant No: ME36P00850109		Replacement Housing Factor Grant No:		FFY of Grant: 2009	
PHA Name: Waterville Housing Authority		Date of CFFP:		Revised Annual Statement (revision no: 3) Final Performance and Evaluation Report		FFY of Grant Approval: 2009	
<input type="checkbox"/> Original Annual Statement		<input type="checkbox"/> Reserve for Disasters/Emergencies		<input checked="" type="checkbox"/> Revised Annual Statement (revision no: 3)			
<input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending: 12/31/2010				<input type="checkbox"/> Final Performance and Evaluation Report			
Line		Summary by Development Account		Total Estimated Cost		Total Actual Cost¹	
Signature of Executive Director		Original		Revised²		Obligated	
		Date 3/9/2011		Signature of Public Housing Director		Date	

Part II: Supporting Pages									
PHA Name: Waterville Housing Authority		Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No:			CFPP (Yes/No)		Federal FFY of Grant: 2009		
		ME36P00850109			No				
Development Number Name/PHA-Wide Activities	General Description of Major Work Categories	Development Account No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work	
				Original	Revised 2	Funds Obligated ²	Funds Expended ²		
ME008000088	Install DHW Solar Panels - Riverview	1460	1 Bldg	110,000	44,000	6,900	0	Designed/pricing	
Formerly ME008-2	Comm. room update - Riverview	1460	1 Room	20,000	10,000	10,000		Pricing/ordering	
	Pavilion, site, landscape - Riverview	1450	1 Bldg	0	35,000	0	0	Pricing	
	Replace entry steps/porch repair - Acq.	1460	6 Units	12,000	5,143	5,143	5,143	Completed	
	LBP removal/repairs - Acq.	1460	4 Units	25,000	26,055	26,055	26,055	Completed	
	Sub-Total			167,000	120,198	48,098	31,198		
ME008000088	Bathroom Rehab (on-going)	1460	8 Units	0	18,200	18,200	0	On-going	
Formerly ME008-3	Replace entry steps	1460	15 Bldgs	15,750	15,750	15,000	8,400	On-going	
	Site work, grading, seeding	1450		20,000	9,390	9,390	9,390	Completed	
	Sub-Total			35,750	43,340	42,590	17,790		
ME008000088	Install exterior flood lights	1460		6,000	6,000	6,000	6,000	Completed	
Formerly ME008-4	Sub-Total			6,000	6,000	6,000	6,000		
ME008000088	Community Room Update	1460		10,000	14,000	12,000		Pricing/ordering	
Formerly ME008-5	Site Improvements (lights/paving)	1450		30,000	30,370	30,370	30,370	Completed	
	Solar Panel Installation	1460		11,523	11,522	11,522	11,522	Completed(cont' 50108)	
	Sub-Total			51,523	55,892	53,892	41,892		

¹ To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

² To be completed for the Performance and Evaluation Report.

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 4/30/2011

Part I: Summary		PHA Name:	Grant Type and Number	Replacement Housing Factor Grant No:	FFY of Grant:
		Waterville Housing Authority	Capital Fund Program Grant No: ME36S00850109		2009
			Date of CFFP:		FFY of Grant Approval: 2009
Type of Grant		Reserve for Disasters/Emergencies	Revised Annual Statement (revision no:)		
<input type="checkbox"/> Original Annual Statement <input checked="" type="checkbox"/> Performance and Evaluation Report for Period Ending:		<input type="checkbox"/>	<input type="checkbox"/> Revised <input checked="" type="checkbox"/> Final Performance and Evaluation Report		
Line	Summary by Development Account	Original	Total Estimated Cost	Obligated	Total Actual Cost ¹
1	Total non-CFF Funds				
2	1406 Operations (may not exceed 20% of line 21) ³				
3	1408 Management Improvements				
4	1410 Administration (may not exceed 10% of line 21)				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs		7,573	15,504	15,504
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465 1 Dwelling Equipment - Non-expendable				
12	1470 Non-dwelling Structures		437,250	429,319	429,319
13	1475 Non-dwelling Equipment				
14	1485 Demolition				
15	1492 Moving to Work Demonstration				
16	1495 1 Relocation Costs				
17	1499 Development Activities ⁴				
18a	1501 Collateralization or Debt Service paid by the PHA				
18ba	9000 Collateralization or Debt Service paid Via System of Direct Payment				
19	1502 Contingency (may not exceed 8% of line 20)				
20	Amount of Annual Grant: (sum of line 2 - 19)		444,823	444,823	444,823
21	Amount of line 20 Related to LBP Activities				
22	Amount of line 20 Related to Section 504 Activities				
23	Amount of line 20 Related to Security - Soft Costs				
24	Amount of line 20 Related to Security - Hard Costs				
25	Amount of line 20 Related to Energy Conservation Measures				

¹ To be completed for the Performance and Evaluation Report.

² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.

³ PHAs with under 250 Units in management may use 100% of CFFP Grants for operations.

⁴ RHF funds shall be included here.

Part I: Summary		FFY of Grant: 2009	
PHA Name: Waterville Housing Authority		Capital Fund Program Grant No: ME36S00850109	Replacement Housing Factor Grant No:
Date of CFFP:		FFY of Grant Approval: 2009	
<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 checked="" type="checkbox"/> X	<input type="checkbox"/> Final Performance and Evaluation Report	
Line	Summary by Development Account	Total Estimated Cost	Total Actual Cost¹
Signature of Executive Director <i>Diana...</i>		Revised²	Obligated
Date 3/9/2011		Date	
Signature of Public Housing Director		Date	

Capital Fund Program-Five-Year Action Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
OMB No. 2577-0226
Expires 4/30/2011

Part I: Summary		Waterville, Maine					Revision No:
PHA Name/Number	Waterville Housing Authority/ME008	Locality (City/County & State)	Work Statement for Year 3	Work Statement for Year 4	Work Statement for Year 5	Work Statement for Year 5	Revision No:
Development Number and Name	Year	FFY	FFY	FFY	FFY	FFY	2015
A.	ME008000088, Elm Towers	2011					
		Annual Statement					
B.	Physical Improvements Subtotal		228,750	241,000	226,000		
C.	Management Improvements						
D.	PHA-Wide Non-dwelling Structures and Equipment						
E.	Administration						
F.	Other						
G.	Operations		121,250	109,000	124,000		
H.	Demolition						
I.	Development						
J.	Capital Fund Financing - Debt Service						
K.	Total CFP Funds		350,000	350,000	350,000		350,000
L.	Total Non-CFP Funds		0	0	0		0
M.	Grand Total		350,000	350,000	350,000		350,000

Capital Fund Program-Five-Year Action Plan

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0226
 Expires 4/30/2011

Part I: Summary (Continuation)

PHA Name/Number Development Number and Name	Waterville Housing Authority/ME008	Locality (City/County & State) Waterville, Maine					Revision No: Work Statement for Year 5 FFY _____ 2015 _____
		Work Statement for Year 1 FFY _____ 2011 _____	Work Statement for Year 2 FFY _____ 2012 _____	Work Statement for Year 3 FFY _____ 2013 _____	Work Statement for Year 4 FFY _____ 2014 _____	Original 5-Year Plan Work Statement for Year 4 FFY _____ 2014 _____	
		Annual Statement					
ME008-2/Acquisitions & Riverview		17,500	20,000	75,000	20,000	20,000	
ME008-3/Woodmond Heights		101,150	83,000	108,150	108,150	108,150	
ME008-4/Chap-Hill Manor		0	0	42,850	97,850	97,850	
ME008-5/Elm Towers		0	0	0	0	0	
ME008-6/Louise Ave.		48,000	38,875	10,000	0	0	
ME008-7/Forsythe		62,938	86,875	5,000	0	0	
PHA Wide		120,412	121,250	109,000	124,000	124,000	
		350,000	350,000	350,000	350,000	350,000	
		0	0	0	0	0	
		350,000	350,000	350,000	350,000	350,000	

**PHA Certifications of Compliance with the PHA Plans and Related Regulations:
Board Resolution to Accompany the PHA 5-Year and Annual PHA Plan**

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioners, I approve the submission of the ___ 5-Year and/or Annual PHA Plan for the PHA fiscal year beginning 07/01/2011, hereinafter referred to as "the Plan", of which this document is a part and make the following certifications and agreements with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

1. The Plan is consistent with the applicable comprehensive housing affordability strategy (or any plan incorporating such strategy) for the jurisdiction in which the PHA is located.
2. The Plan contains a certification by the appropriate State or local officials that the Plan is consistent with the applicable Consolidated Plan, which includes a certification that requires the preparation of an Analysis of Impediments to Fair Housing Choice, for the PHA's jurisdiction and a description of the manner in which the PHA Plan is consistent with the applicable Consolidated Plan.
3. The PHA certifies that there has been no change, significant or otherwise, to the Capital Fund Program (and Capital Fund Program/Replacement Housing Factor) Annual Statement(s), since submission of its last approved Annual Plan. The Capital Fund Program Annual Statement/Annual Statement/Performance and Evaluation Report must be submitted annually even if there is no change.
4. The PHA has established a Resident Advisory Board or Boards, the membership of which represents the residents assisted by the PHA, consistent with this Board or Boards in developing the Plan, and considered the recommendations of the Board or Boards (24 CFR 903.13). The PHA has included in the Plan submission a copy of the recommendations made by the Resident Advisory Board or Boards and a description of the manner in which the Plan addresses these recommendations.
5. The PHA made the proposed Plan and all information relevant to the public hearing available for public inspection at least 45 days before the hearing, published a notice that a hearing would be held and conducted a hearing to discuss the Plan and invited public comment.
6. The PHA certifies that it will carry out the Plan in conformity with Title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990.
7. The PHA will affirmatively further fair housing by examining their programs or proposed programs, identify any impediments to fair housing choice within those programs, address those impediments in a reasonable fashion in view of the resources available and work with local jurisdictions to implement any of the jurisdiction's initiatives to affirmatively further fair housing that require the PHA's involvement and maintain records reflecting these analyses and actions.
8. For PHA Plan that includes a policy for site based waiting lists:
 - The PHA regularly submits required data to HUD's 50058 PIC/IMS Module in an accurate, complete and timely manner (as specified in PIH Notice 2006-24);
 - The system of site-based waiting lists provides for full disclosure to each applicant in the selection of the development in which to reside, including basic information about available sites; and an estimate of the period of time the applicant would likely have to wait to be admitted to units of different sizes and types at each site;
 - Adoption of site-based waiting list would not violate any court order or settlement agreement or be inconsistent with a pending complaint brought by HUD;
 - The PHA shall take reasonable measures to assure that such waiting list is consistent with affirmatively furthering fair housing;
 - The PHA provides for review of its site-based waiting list policy to determine if it is consistent with civil rights laws and certifications, as specified in 24 CFR part 903.7(c)(1).
9. The PHA will comply with the prohibitions against discrimination on the basis of age pursuant to the Age Discrimination Act of 1975.
10. The PHA will comply with the Architectural Barriers Act of 1968 and 24 CFR Part 41, Policies and Procedures for the Enforcement of Standards and Requirements for Accessibility by the Physically Handicapped.
11. The PHA will comply with the requirements of section 3 of the Housing and Urban Development Act of 1968, Employment Opportunities for Low-or Very-Low Income Persons, and with its implementing regulation at 24 CFR Part 135.
12. The PHA will comply with acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and implementing regulations at 49 CFR Part 24 as applicable.

13. The PHA will take appropriate affirmative action to award contracts to minority and women's business enterprises under 24 CFR 5.105(a).
14. The PHA will provide the responsible entity or HUD any documentation that the responsible entity or HUD needs to carry out its review under the National Environmental Policy Act and other related authorities in accordance with 24 CFR Part 58 or Part 50, respectively.
15. With respect to public housing the PHA will comply with Davis-Bacon or HUD determined wage rate requirements under Section 12 of the United States Housing Act of 1937 and the Contract Work Hours and Safety Standards Act.
16. The PHA will keep records in accordance with 24 CFR 85.20 and facilitate an effective audit to determine compliance with program requirements.
17. The PHA will comply with the Lead-Based Paint Poisoning Prevention Act, the Residential Lead-Based Paint Hazard Reduction Act of 1992, and 24 CFR Part 35.
18. The PHA will comply with the policies, guidelines, and requirements of OMB Circular No. A-87 (Cost Principles for State, Local and Indian Tribal Governments), 2 CFR Part 225, and 24 CFR Part 85 (Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally Recognized Indian Tribal Governments).
19. The PHA will undertake only activities and programs covered by the Plan in a manner consistent with its Plan and will utilize covered grant funds only for activities that are approvable under the regulations and included in its Plan.
20. All attachments to the Plan have been and will continue to be available at all times and all locations that the PHA Plan is available for public inspection. All required supporting documents have been made available for public inspection along with the Plan and additional requirements at the primary business office of the PHA and at all other times and locations identified by the PHA in its PHA Plan and will continue to be made available at least at the primary business office of the PHA.
21. The PHA provides assurance as part of this certification that:
 - (i) The Resident Advisory Board had an opportunity to review and comment on the changes to the policies and programs before implementation by the PHA;
 - (ii) The changes were duly approved by the PHA Board of Directors (or similar governing body); and
 - (iii) The revised policies and programs are available for review and inspection, at the principal office of the PHA during normal business hours.
22. The PHA certifies that it is in compliance with all applicable Federal statutory and regulatory requirements.

Waterville Housing Authority

ME008

PHA Name

PHA Number/HA Code

5-Year PHA Plan for Fiscal Years 20__ - 20__

Annual PHA Plan for Fiscal Years 20¹¹ - 20¹²

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. **Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

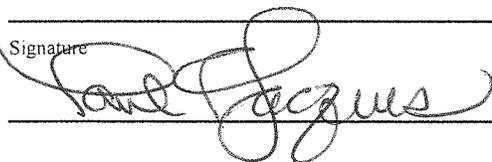
Name of Authorized Official

Paul F. Jacques

Title

Board Chairperson

Signature



Date

3-8-11

Civil Rights Certification

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

Civil Rights Certification

Annual Certification and Board Resolution

Acting on behalf of the Board of Commissioners of the Public Housing Agency (PHA) listed below, as its Chairman or other authorized PHA official if there is no Board of Commissioner, I approve the submission of the Plan for the PHA of which this document is a part and make the following certification and agreement with the Department of Housing and Urban Development (HUD) in connection with the submission of the Plan and implementation thereof:

The PHA certifies that it will carry out the public housing program of the agency in conformity with title VI of the Civil Rights Act of 1964, the Fair Housing Act, section 504 of the Rehabilitation Act of 1973, and title II of the Americans with Disabilities Act of 1990, and will affirmatively further fair housing.

Waterville Housing Authority

ME008

PHA Name

PHA Number/HA Code

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

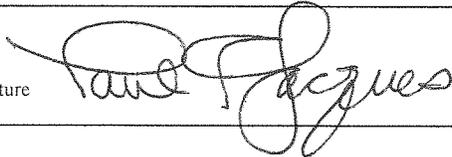
Name of Authorized Official

Paul F. Jacques

Title

Board Chairperson

Signature



Date

3-8-11

Certification by State or Local
Official of PHA Plans Consistency
with the Consolidated Plan

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Expires 4/30/2011

**Certification by State or Local Official of PHA Plans Consistency with the
Consolidated Plan**

I, Dale McCormick the Director certify that the Five Year and
Annual PHA Plan of the Waterville Housing Authority is consistent with the Consolidated Plan of
Maine State Housing Authority prepared pursuant to 24 CFR Part 91.

Dale McCormick
mmk

3-9-2011

Signed / Dated by Appropriate State or Local Official

Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name

Waterville Housing Authority

Program/Activity Receiving Federal Grant Funding

Capital Fund Program

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

- (1) The dangers of drug abuse in the workplace;
- (2) The Applicant's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

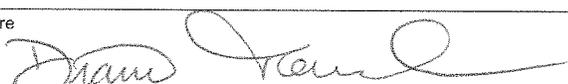
- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federalagency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. **Sites for Work Performance.** The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

60 Elm Street, 83 Water St., 7 Lowell St., 12 Silvermount St., 51 Summer St., 14 Belmont Ave., 25 Oakland St., 18 & 20 Boothby St., 24 Hight St., 14 Boutelle Ave., 8 Canabas Ave., 91 North St., 6 Fairmont St., 63-85 Drummond Ave., 2-23 Wilson St., 13-24 Crawford St., 21-31 Hazelwood Ave., 17,19,21 Chaplin St., 13,18,20 Hillside Ave., and 26 Louise Ave., Waterville, Kennebec County, Maine, 04901

Check here if there are workplaces on file that are not identified on the attached sheets.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate. **Warning:** HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official Diane Townsend	Title Executive Director
Signature X 	Date 03/08/2011

Certification of Payments to Influence Federal Transactions

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

Applicant Name

Waterville Housing Authority

Program/Activity Receiving Federal Grant Funding

Capital Fund Program

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties.
(18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name of Authorized Official

Diane Townsend

Title

Executive Director

Signature

Date (mm/dd/yyyy)

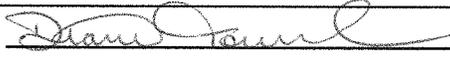


03/08/2011

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

Approved by OMB
0348-0046

1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only: year _____ quarter _____ date of last report _____
4. Name and Address of Reporting Entity: <input checked="" type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: Waterville Housing Authority 88 Silver Street Waterville, ME 04901 Congressional District, if known:	5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: N/A Congressional District, if known:	
6. Federal Department/Agency: Department of Housing and Urban Development	7. Federal Program Name/Description: HUD PHA Plan CFDA Number, if applicable: <u>N/A</u>	
8. Federal Action Number, if known: N/A	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i> N/A	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i> N/A	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: <u></u> Print Name: <u>Diane Townsend</u> Title: <u>Executive Director</u> Telephone No.: <u>(207) 873-2155</u> Date: <u>3-8-11</u>	
Federal Use Only:		Authorized for Local Reproduction Standard Form LLL (Rev. 7-97)

Attachment K

Waterville Housing Authority

Annual Plan

Fiscal Year 07/01/2011 – 06/30/2012

Comments of the Resident Advisory Board

The Housing Authority of the City of Waterville met with the Resident Advisory Board (RAB) on March 3, 2011.

Elements of the PHA Plan Template and the Capital Fund Program grants were discussed. The RAB agreed with the overall Plan as presented and no comments or suggestions were offered by them.



Diane Townsend, Executive Director
Waterville Housing Authority

March 9, 2011

Attachment L

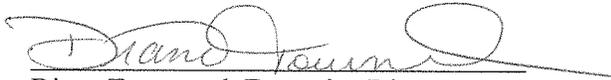
Waterville Housing Authority

Annual Plan

Fiscal Year 07/01/2011 – 06/30/2012

Challenged Elements

There were no challenged elements to the Housing Authority's Annual Plan

A handwritten signature in cursive script, appearing to read "Diane Townsend", written in black ink over a horizontal line.

Diane Townsend, Executive Director
Waterville Housing Authority

March 9, 2011