

City of Berkeley

PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004

Draft Annual Plan for Fiscal Year 2002/2003

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

PHA Plan Agency Identification

PHA Name: City of Berkeley Housing Authority

PHA Number: CA 058

PHA Fiscal Year Beginning: 07/2002

Public Access to Information

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

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

Display Locations For PHA Plans and Supporting Documents

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

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

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

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

5-YEAR PLAN
PHA FISCAL YEARS 2000 - 2004
[24 CFR Part 903.5]

A. Mission

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

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

The mission of the Berkeley Housing Authority is to assist low and moderate-income residents to secure and maintain high quality, affordable housing and to promote civic involvement and economic self-sufficiency for low-income persons.

B. Goals

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAS ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAS should identify these measures in the spaces to the right of or below the stated objectives.

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

PHA Goal: Expand the supply of assisted housing

Objectives:

Apply for additional rental vouchers: *100*

Reduce public housing vacancies:

Leverage private or other public funds to create additional housing opportunities: *\$1,500,000*

Acquire or build units or developments

Other (list below)

PHA Goal: Improve the quality of assisted housing

Objectives:

Improve public housing management: (PHAS score)

Improve voucher management: (SEMAP score)

Increase customer satisfaction:

Concentrate on efforts to improve specific management functions:

(list; e.g., public housing finance; voucher unit inspections)

Renovate or modernize public housing units:

Demolish or dispose of obsolete public housing:

Provide replacement public housing:

Provide replacement vouchers:

Other: (list below)

PHA Goal: Increase assisted housing choices

Objectives:

Provide voucher mobility counseling:

Conduct outreach efforts to potential voucher landlords

Increase voucher payment standards

Implement voucher homeownership program:

Implement public housing or other homeownership programs:

Implement public housing site-based waiting lists:

Convert public housing to vouchers:

Other: (list below)

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

PHA Goal: Provide an improved living environment

Objectives:

Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:

Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:

Implement public housing security improvements:

Designate developments or buildings for particular resident groups (elderly, persons with disabilities)

Other: (list below)

Implement Broad Range of Income, work with TANF and others to provide job training and opportunities for economic self-sufficiency, continue with modernization in public housing to improve quality of life.

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals

PHA Goal: Promote self-sufficiency and asset development of assisted households

Objectives:

Increase the number and percentage of employed persons in assisted families:

Provide or attract supportive services to improve assistance recipients' employability:

Provide or attract supportive services to increase independence for the elderly or families with disabilities.

Other: (list below)

HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans

PHA Goal: Ensure equal opportunity and affirmatively further fair housing

Objectives:

Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:

Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:

Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:

Other: (list below)

Other PHA Goals and Objectives:

In addition, the Housing Authority has developed the following Strategic Goals:

1. *Streamline operations to keep up with needs*

a. *Review operations to keep up with needs*

b. *Review hardware and software computer systems to keep up with program requirements and regulation changes*

c. *Implement regulatory changes as they become effective*

2. *Maximize affordable housing opportunities*

a. *Develop self-sufficiency opportunities for participants*

b. *Complete conversion to Voucher leases*

c. *Process incremental and special Voucher allocations*

d. *Review Voucher payment standards and assess need for increases to ensure access to units*

e. *Develop resident groups for strong neighborhoods*

3. *Ensure Program Integrity*

4. *Improve and maintain internal and external education in order to fulfill the Agency's mission*

a. *Continue to work with agencies to provide services*

b. *Seek to strengthen links between BHA and the County of Alameda*

c. *Look at opportunities to increase participation between agencies for self-sufficiency*

activities, including child care and youth activities

Annual PHA Plan
PHA Fiscal Year 2002
[24 CFR Part 903.7]

i. Annual Plan Type:

Standard Plan

Streamlined Plan:

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

Troubled Agency Plan

ii. Executive Summary of the Annual PHA Plan –*Not required per instructions*

[24 CFR Part 903.7 9 (r)]

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

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

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

Table of Contents

Page #

Annual Plan

i. Executive Summary	-----	N/A
ii. Table of Contents		
1. Housing Needs	-----	7
2. Financial Resources	-----	13
3. Policies on Eligibility, Selection and Admissions	-----	14
4. Rent Determination Policies	-----	21

5.	Operations and Management Policies -----	24
6.	Grievance Procedures -----	26
7.	Capital Improvement Needs -----	26
8.	Demolition and Disposition -----	28
9.	Designation of Housing -----	29
10.	Conversions of Public Housing -----	29
11.	Homeownership -----	31
12.	Community Service Programs -----	32
13.	Crime and Safety -----	34
14.	Pets (Inactive for January 1 PHAs) -----	36
15.	Civil Rights Certifications (included with PHA Plan Certifications) -----	36
16.	Audit -----	36
17.	Asset Management -----	37
18.	Other Information -----	37

Attachments

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

Required Attachments:

- Admissions Policy for Deconcentration (Att. A)
- FY 2001 Capital Fund Program Annual Statement (Att. B)
- Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)
- PHA Management Organizational Chart
Description in PHA Plan text
- X Progress on Goals (Att. C)
- X Resident Advisory Board membership (Att. D)
- X PH Conversion Analysis (Att. E)
- X PH Pet Policy (Att. F)
- X Section 8 Homeownership Capacity (Att. G)
- X PHA response to PH Resident Survey (Att. H)

Optional Attachments:

- FY 2000 Capital Fund Program 5 Year Action Plan
- Public Housing Drug Elimination Program (PHDEP) Plan
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- Other
 - Section 8 Project Basing (Att. I)
 - Minutes of Town Hall Meetings (Att. J)
 - PHA Response to Town Hall Comments (Att. K)
 - Comments of Individual RAB Members (Att. L)
 - PHA Response to Individual RAB Members' Comments (Att. M)

Supporting Documents Available for Review

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans

X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI))) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
X	Public housing grievance procedures check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
N/A	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
N/A	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
N/A	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
N/A	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition

N/A	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
N/A	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
N/A	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
X	Policies governing any Section 8 Homeownership program check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
N/A	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
X	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
X	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U. S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
N/A	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

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

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

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-a bility	Supply	Quality	Access-i bility	Size	Loca-tio n
Income <= 30% of AMI	7,529	5	5	3	N/A	4	4
Income >30% but <=50% of AMI	4,233	5	5	3	N/A	3	4
Income >50% but <80% of AMI	3,380	5	5	3	N/A	3	4
Elderly	5,422	4	4	3	N/A	3	N/A
Families with Disabilities	6,081	5	N/A	N/A	N/A	N/A	N/A
White	44,047	5	N/A	N/A	N/A	N/A	N/A
Asian/Pac Islander	3,801	5	N/A	N/A	N/A	N/A	N/A
Hispanic	5,420	5	N/A	N/A	N/A	N/A	N/A
Black	18,591	5	N/A	N/A	N/A	N/A	N/A

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

Consolidated Plan of the Jurisdiction/s – *County of Alameda*

Indicate year: 2000

U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset

American Housing Survey data

Indicate year:

Other housing market study

Indicate year:

Other sources: (list and indicate year of information)

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

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

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
Section 8 tenant-based assistance			
Public Housing			
Combined Section 8 and Public Housing			
Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	8,590		
Extremely low income <=30% AMI	7,755	90%	
Very low income (>30% but <=50% AMI)	781	9%	
Low income (>50% but <80% AMI)	54	1%	
Families with children	4,935	57%	
Elderly families	867	10%	
Families with Disabilities	1,673	19%	
Race/ethnicity American Indian	87	1%	
Race/ethnicity Asian	427	5%	
Race/ethnicity Black	5,560	65%	
Race/ethnicity Hispanic	306	4%	
Race/ethnicity White	884	10%	
Race/ethnicity Jewish	1	0%	
Race/ethnicity Other	699	8%	
Race/ethnicity No response	626	7%	
Characteristics by Bedroom Size (Public Housing Only)	NOT AVAILABLE		
1BR			
2 BR			

3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed? No Yes If yes: How long has it been closed ? 5 months Does the PHA expect to reopen the list in the PHA Plan year? No Yes Does the PHA permit specific categories of families onto the waiting list, even if generally closed? No Yes			

Housing Needs of Families on the Waiting List			
Waiting list type: (select one) Section 8 tenant-based assistance Public Housing Combined Section 8 and Public Housing Public Housing Site-Based or sub-jurisdictional waiting list (optional) If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	1,875		
Extremely low income <=30% AMI	1,869	99.7%	
Very low income (>30% but <=50% AMI)	4	.2%	
Low income (>50% but <80% AMI)	2	.1%	
Families with children	1,400	75%	
Elderly families	132	7%	
Families with Disabilities	132	7%	
Race/ethnicity American Indian	4		
Race/ethnicity Asian	6		
Race/ethnicity Black	161		
Race/ethnicity Hispanic			
Race/ethnicity White	53		
Race/ethnicity Jewish			
Race/ethnicity Other			
Race/ethnicity No response	1,651		
Characteristics by Bedroom Size (Public Housing Only)			
1BR	Not Applicable		
2 BR	Not Applicable		
3 BR	1,510		
4 BR	365		
5 BR	Not Applicable		
5+ BR	Not Applicable		

Is the waiting list closed? No Yes

If yes:

How long has it been closed ? 30 months

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

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

C. Strategy for Addressing Needs

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

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

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

Select all that apply

Employ effective maintenance and management policies to minimize the number of public housing units off-line

Reduce turnover time for vacated public housing units

Reduce time to renovate public housing units

Seek replacement of public housing units lost to the inventory through mixed finance development

Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources

Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction

Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required

Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration

Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program

Participate in the Consolidated Plan development process to ensure coordination with broader community strategies

Other (list below)

Pursue Section 8 project basing

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

Select all that apply

Apply for additional section 8 units should they become available

Leverage affordable housing resources in the community through the creation of mixed - finance housing

Pursue housing resources other than public housing or Section 8 tenant-based assistance.

Other:

Pursue a program of "Shared housing" for Section 8 tenants.

Pursue Section 8 project basing.

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

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

Select all that apply

Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing

Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance

Employ admissions preferences aimed at families with economic hardships

Adopt rent policies to support and encourage work

Other: (list below)

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

FY 2002 Annual Plan Page11

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

Select all that apply

Employ admissions preferences aimed at families who are working

Adopt rent policies to support and encourage work
Other: (list below)

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

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

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

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

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

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

Select if applicable

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

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

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

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

(2) Reasons for Selecting Strategies

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

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

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal

public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2002 grants)		
a) Public Housing Operating Fund	\$ 96,773	
b) Public Housing Capital Fund	\$ 148,185	
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance	\$13,876,559	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	\$ 25,000	
g) Resident Opportunity and Self-Sufficiency Grants	\$ 54,469	
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
RHCP annuity	\$ 20,744	RHCP operations
2. Prior Year Federal Grants (unobligated funds only) (list below)		
3. Public Housing Dwelling Rental Income	\$ 240,900	PH operations
(Note: includes RHCP rent)		
4. Other income (list below)		
	\$	
miscellaneous charges	\$	
4. Non-federal sources (list below)		
Total resources	\$14,462,630	

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

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

(1) Eligibility

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

When families are within a certain number of being offered a unit:

When families are within a certain time of being offered a unit: *3 months*

Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

Criminal or Drug-related activity
Rental history
Housekeeping
Other (describe)

- c. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
d. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
e. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

(2)Waiting List Organization

- a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)
Community-wide list
Sub-jurisdictional lists
Site-based waiting lists
Other (describe)
- b. Where may interested persons apply for admission to public housing?
PHA main administrative office
PHA development site management office
Other: *PHA local office*
- c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**
1. How many site-based waiting lists will the PHA operate in the coming year?
 2. Yes No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists?
 3. Yes No: May families be on more than one list simultaneously
If yes, how many lists?
 4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?
PHA main administrative office
All PHA development management offices
Management offices at developments with site-based waiting lists
At the development to which they would like to apply
Other (list below)

(3) Assignment

- a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)
One
Two
Three or More
- b. Yes No: Is this policy consistent across all waiting list types?
- c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

- a. Income targeting:
Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?
- b. Transfer policies:
In what circumstances will transfers take precedence over new admissions? (list below)

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

c. Preferences

1. Yes No: Has the PHA established preferences for admission to public housing (other than date and time of application)?
(If “no” is selected, skip to subsection **(5) Occupancy**)
2. Which of the following admission preferences does the PHA plan to employ in the coming year?
(select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

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

Other preferences: (select below)

Working families and those unable to work because of age or disability
Veterans and veterans’ families
Residents who live and/or work in the jurisdiction
Those enrolled currently in educational, training, or upward mobility programs
Households that contribute to meeting income goals (broad range of incomes)
Households that contribute to meeting income requirements (targeting)
Those previously enrolled in educational, training, or upward mobility programs
Victims of reprisals or hate crimes
Other preference(s) (list below)
Person in family disabled

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

1 Date and Time

Former Federal preferences:

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

Other preferences (select all that apply)

- 4 Working families and those unable to work because of age or disability
- 4 Veterans and veterans’ families
- 3 Residents who live and/or work in the jurisdiction
Those enrolled currently in educational, training, or upward mobility programs
Households that contribute to meeting income goals (broad range of incomes)

- 2 Households that contribute to meeting income requirements (targeting)
Those previously enrolled in educational, training, or upward mobility programs
Victims of reprisals or hate crimes
- 4 Other preference(s):
Person in family disabled

4. Relationship of preferences to income targeting requirements:

The PHA applies preferences within income tiers

Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

The PHA-resident lease

The PHA's Admissions and (Continued) Occupancy policy

PHA briefing seminars or written materials

Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

At an annual reexamination and lease renewal

Any time family composition changes

At family request for revision

Other (list)

(6) Deconcentration and Income Mixing

a. Yes No: Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete.

b. Yes No: Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments? If no, this section is complete.

Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B.

Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(1) Eligibility

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

Criminal or drug-related activity only to the extent required by law or regulation

Criminal and drug-related activity, more extensively than required by law or regulation

More general screening than criminal and drug-related activity (list factors below)

Other (list below)

b. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

c. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

Criminal or drug-related activity

Other (describe below)

(2) Waiting List Organization

- a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

None

Federal public housing

Federal moderate rehabilitation

Federal project-based certificate program

Other federal or local program (list below)

- b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

PHA main administrative office

Other (list below)

(3) Search Time

- a. Yes No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

When a household is actively seeking housing or to accommodate a disabled household.

(4) Admissions Preferences

- a. Income targeting

Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

- b. Preferences

1. Yes No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)

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

Former Federal preferences

Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property

Disposition – *also see EPP definition below*)

Victims of domestic violence

Substandard housing

Homelessness (*see EPP definition below*)

High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

Working families and those unable to work because of age or disability

Veterans and veterans' families

Residents who live and/or work in your jurisdiction

Those enrolled currently in educational, training, or upward mobility programs

Households that contribute to meeting income goals (broad range of incomes)

Households that contribute to meeting income requirements (targeting)

Those previously enrolled in educational, training, or upward mobility programs

Victims of reprisals or hate crimes

Other preference(s):

Families where at least one family member is disabled

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Date and Time

Former Federal preferences

- 3 Involuntary Displacement
- 3 Victims of domestic violence
- ☐ Substandard housing
- 3 Homelessness
- 3 High rent burden

Other preferences (select all that apply)

- 3 Working families and those unable to work because of age or disability
- 3 Veterans and veterans' families
- 2 Residents who live and/or work in your jurisdiction
 - Those enrolled currently in educational, training, or upward mobility programs
 - Households that contribute to meeting income goals (broad range of incomes)
 - Households that contribute to meeting income requirements (targeting)
 - Those previously enrolled in educational, training, or upward mobility programs
 - Victims of reprisals or hate crimes
- 1 Other preference(s) (list below)

Emergency Prioritization Program (immediate risk of homelessness, displaced from public housing by BHA.)

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- Date and time of application
- Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for "residents who live and/or work in the jurisdiction" (select one)

- This preference has previously been reviewed and approved by HUD
- The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

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

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

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

- Through published notices
- Other (list below)

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

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

(1) Income Based Rent Policies

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

a. Use of discretionary policies: (select one)

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

---or---

The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

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

2. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

c. Rents set at less than 30% than adjusted income

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

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

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)

For the earned income of a previously unemployed household member

For increases in earned income

Fixed amount (other than general rent-setting policy)

If yes, state amount/s and circumstances below:

Fixed percentage (other than general rent-setting policy)

If yes, state percentage/s and circumstances below:

For household heads

For other family members

For transportation expenses

For the non-reimbursed medical expenses of non-disabled or non-elderly families

Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

Yes for all developments

Yes but only for some developments

No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

For all developments

For all general occupancy developments (not elderly or disabled or elderly only)

For specified general occupancy developments

For certain parts of developments; e.g., the high-rise portion

For certain size units; e.g., larger bedroom sizes

Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

Market comparability study
Fair market rents (FMR)
95th percentile rents
75 percent of operating costs
100 percent of operating costs for general occupancy (family) developments
Operating costs plus debt service
The "rental value" of the unit
Other (list below)

f. Rent re-determinations:

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

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

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

(2) Flat Rents

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

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

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B.

Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(1) Payment Standards

Describe the voucher payment standards and policies.

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

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

The cost of rental housing units in Berkeley is substantially higher than rents allowed by HUD. BHA is unable to maintain the 98 percent lease-up rate necessary for high performer status. The lack of units available within the FMR, local landlords' natural aversion to increased paperwork, the apparent disincentive in light of statewide Costa-Hawkins legislation, and HUD's regulatory policy that allows owners to opt-out of the Section 8 Program, all contribute to this low lease-up rate. The approved exception payment standard allows BHA to house people who have been issued Section 8 vouchers and increase the number of units available to these residents by increasing the amount of rent that can be paid on a per voucher basis.

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

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

- c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)
 FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
 Reflects market or submarket
 To increase housing options for families
 Other (list below)
- d. How often are payment standards reevaluated for adequacy? (select one)
 Annually
 Other (list below)
- e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)
 Success rates of assisted families
 Rent burdens of assisted families
 Other (list below)

(2) Minimum Rent

- a. What amount best reflects the PHA's minimum rent? (select one)
 \$0
 \$1-\$25
 \$26-\$50
- b. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

5. Operations and Management

[24 CFR Part 903.7 9 (e)]

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

A. PHA Management Structure

Describe the PHA's management structure and organization.
 (select one)

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

The City of Berkeley follows a City Manager form of government. An elected nine-member City Council, along with two resident/participant commissioners, sits as the Housing Authority Board of Commissioners. The City Manager oversees all City operations, including the Housing Authority Executive Director who manages all housing authority programs. Within his department, Section 8 and Public Housing managers, respectively, directly supervise the staff in those programs.

B. HUD Programs Under PHA Management

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

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing	61	
Section 8 Vouchers	1392	
Section 8 Certificates		
Section 8 Mod Rehab	98	

Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs(list individually)		
Shelter + Care	136	

C. Management and Maintenance Policies

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

- (1) Public Housing Maintenance and Management: (list below)

Public Housing Admissions and Continued Occupancy Policy (rev. 2002)

Preventative Maintenance Plan and Resident Handbook

- (2) Section 8 Management: (list below)

Section 8 Administrative Plan (rev. 2002)

6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)]

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

A. Public Housing

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

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)
 PHA main administrative office
 PHA development management offices
 Other (list below)

B. Section 8 Tenant-Based Assistance

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

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)
 PHA main administrative office
 Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

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

A. Capital Fund Activities

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

(1) Capital Fund Program Annual Statement

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

Select one:

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

-or-

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

(2) Optional 5-Year Action Plan

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

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

b. If yes to question a, select one:

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

-or-

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

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

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

- Yes No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:
2. Development (project) number:
3. Status of grant: (select the statement that best describes the current status)
 - Revitalization Plan under development
 - Revitalization Plan submitted, pending approval
 - Revitalization Plan approved
 - Activities pursuant to an approved Revitalization Plan underway

- Yes No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
If yes, list development name/s below:

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

*The rehabilitation of the Berkeley Housing Authority (BHA)-owned public housing units began in 2001. The cost of the project has been estimated at \$2.2 million. As a means of financing the improvements, BHA has submitted an application for a \$1.4 million HUD Section 108 loan guarantee, which was approved by the Board on December 18, 2001. Per HUD staff, the HUD 108 loan processing time as well as other HUD approvals for the financing of the repairs of the public housing should be complete and funds to be available in 6 to 8 months. **As part of the 108 Loan application, BHA has requested HUD's authorization to the BHA to grant a security interest in its public housing project, in accordance with Section 516 of the Quality Housing and Work Responsibility Act of 1988. The security interest will be pledged in accordance with the requirements of the 108 loan.** In order to allow the progress of the work on the BHA units to continue, staff is recommending that the Board accept the Redevelopment Agency's offer for an interim loan made at the Agency meeting of June 11, 2002.*

The interim loan to the BHA will be at no-interest and will require no payments until the 108 loan is received. Upon receipt of the 108 loan, the total \$600,000 borrowed from the Agency's Savo Island project will be replaced and returned to the Housing Trust Fund account.

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

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

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

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

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

Demolition/Disposition Activity Description
1a. Development name: 1b. Development (project) number:
2. Activity type: Demolition Disposition
3. Application status (select one) Approved Submitted, pending approval Planned application
4. Date application approved, submitted, or planned for submission: (DD/MM/YY)
5. Number of units affected: 6. Coverage of action (select one) Part of the development Total development
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:

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

[24 CFR Part 903.7 9 (i)]

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

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

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

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

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

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

Please see ATTACHMENT E

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

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

2. Activity Description

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

Conversion of Public Housing Activity Description
1a. Development name:
1b. Development (project) number:
2. What is the status of the required assessment? Assessment underway Assessment results submitted to HUD Assessment results approved by HUD (if marked, proceed to next question) Other (explain below)
3. Yes No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)
4. Status of Conversion Plan (select the statement that best describes the current status) Conversion Plan in development Conversion Plan submitted to HUD on: (DD/MM/YYYY) Conversion Plan approved by HUD on: (DD/MM/YYYY) Activities pursuant to HUD-approved Conversion Plan underway
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one) Units addressed in a pending or approved demolition application (date submitted or approved: Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: □□□□□) Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: □□□□□) Requirements no longer applicable: vacancy rates are less than 10 percent Requirements no longer applicable: site now has less than 300 units Other: (describe below)

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

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

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

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

1. Yes No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any

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

2. Activity Description

Yes No:

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

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

B. Section 8 Tenant Based Assistance

1. Yes No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

Yes No:

Will the PHA limit the number of families participating in the section 8 homeownership option?

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

- 25 or fewer participants
- 26 - 50 participants
- 51 to 100 participants
- more than 100 participants

b. PHA-established eligibility criteria

Yes No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (l)]

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

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

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

If yes, what was the date that agreement was signed?

07/01/1999

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

Client referrals

Information sharing regarding mutual clients (for rent determinations and otherwise)

Coordinate the provision of specific social and self-sufficiency services and programs to eligible families

Jointly administer programs

Partner to administer a HUD Welfare-to-Work voucher program

Joint administration of other demonstration program

Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

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

Public housing rent determination policies

Public housing admissions policies

Section 8 admissions policies

Preference in admission to section 8 for certain public housing families

Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA

Preference/eligibility for public housing homeownership option participation

Preference/eligibility for section 8 homeownership option participation

Other policies (list below)

b. Economic and Social self-sufficiency programs

Yes No:

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

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or section 8 participants or both)
<i>CalWorks</i>	<i>60</i>	<i>Specific criteria</i>	<i>PHA main office</i>	<i>PH & S8</i>

(2) Family Self Sufficiency program/s

a. Participation Description

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2000 Estimate)	Actual Number of Participants (As of: DD/MM/YY)
Public Housing		
Section 8	65	30 (as of 10/31/01)

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

C. Welfare Benefit Reductions

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

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

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

Currently suspended per HUD instructions.

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

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

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

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

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

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

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

Information from Coordinating City Services

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

Ward Street

Sacramento Street

Martin Luther King Jr. Way

Francisco

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

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

Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities

Crime Prevention through Environmental Design

Activities targeted to at-risk youth, adults, or seniors

Volunteer Resident Patrol/Block Watchers Program

Other (describe below)

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

Ward Street

Sacramento Street

Martin Luther King Jr. Way

Francisco

C. Coordination between PHA and the police

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

Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan

Police provide crime data to housing authority staff for analysis and action

Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)

Police regularly testify in and otherwise support eviction cases

Police regularly meet with the PHA management and residents

Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services

Other activities (list below)

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

Ward Street

Sacramento Street

Martin Luther King Jr. Way

Francisco

D. Additional information as required by PHDEP/PHDEP Plan

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

Yes No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?

Yes No: Has the PHA included the PHDEP Plan for FY 2001 in this PHA Plan?

To be submitted separately if and when required

Yes No: This PHDEP Plan is an Attachment. (Attachment Filename: ____)

14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

Please See ATTACHMENT I

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

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

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

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

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

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

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

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
Attached at Attachment _
Provided below:
The Section 8 RAB membership unanimously supports the development of a downpayment assistance program in conjunction with the Section 8 Homeownership Program, particularly when needed to allow participation by extremely low-income families.
3. In what manner did the PHA address those comments? (select all that apply)
Considered comments, but determined that no changes to the PHA Plan were necessary.
The PHA changed portions of the PHA Plan in response to comments

List changes below:

Other: (list below)

The PHA included procedures in the newly-adopted Section 8 Administrative Plan's Homeownership Program to provide for the use of downpayment assistance when available and necessary to assist towards purchases.

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

1. Yes No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)

2. Yes No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

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

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

b. Eligible candidates: (select one)

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

c. Eligible voters: (select all that apply)

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

NOTE: Resident Board members are: Pinki Payne (term expired April 2000) and Helen Wheeler (term expired October 2000; resigned recently); Ms. Payne is still serving until new commissioners are appointed shortly.

C. Statement of Consistency with the Consolidated Plan

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

1. Consolidated Plan jurisdiction: *County of Alameda*

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.

The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.

The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.

Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

Other: (list below)

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

Operating a Family Self-Sufficiency Program

Working with the City to preserve at-risk affordable housing where possible

Working with organizations to further resident groups

D. Other Information Required by HUD

Use this section to provide any additional information requested by HUD.

The Berkeley Housing Authority's definitions for "substantial deviation" and "significant amendment or modification" are as follow:

Substantial deviations or significant amendments or modifications are defined as discretionary changes in the plans or policies of the housing authority that fundamentally change the mission, goals, objectives, or plans of the agency and which require formal approval of the Board of Commissioners.

Attachments

Use this section to provide any additional attachments referenced in the Plans.

ATTACHMENT A Public Housing Deconcentration Plan

The following is contained in the BHA's Admissions and Continued Occupancy Policy, Chapter 5, Section VIII.

“BHA’s analysis of its family (general occupancy) developments to determine concentrations of poverty did not indicate the need for measures to promote deconcentration of poverty or income mixing. The BHA will analyze the concentrations at least annually during the Agency Plan review process.

The policy and process for managing and promoting the deconcentration of poverty in the public housing complexes is founded on the premise there are distinct social and agency benefits to be derived from promoting and maintaining affordable housing developments which are occupied by families that have a range of incomes and that are not concentrated by very low-income families. This premise is recognized not only as an agency policy and goal, but as a requirement of law.

Deconcentration and income mixing for the BHA results in the formation of more stable and cohesive resident communities. Working families become positive role models for other families in the community who still rely on public assistance. The increased rental revenue also reduces the BHA's dependence on the federal government.

Deconcentration Efforts

The BHA will achieve deconcentration of poverty and income-mixing at the developments by bringing higher income families into the lower income complexes. Each year the BHA will conduct an analysis of tenant income and income mix date within the complex. If the analysis shows a mix of tenant incomes that are predominately higher, the complex will be designated a "higher income complex." It will be designated a "lower income complex" if the tenant income mix is predominately lower.

The BHA will not take any adverse action toward any family member that chooses not to accept occupancy of an offered unit. The skipping of a family on the waiting list to reach another family in order to implement the policy under this section shall not be considered an adverse action and shall not be contestable.

The BHA has set a flat rent for each public housing unit. The BHA will post the flat rents at the central office. The rents will be incorporated in this policy upon approval by the Board of Commissioners.

Implementation of the BHA's deconcentration efforts will not impose or require any specific income or racial quota for these developments."

Annual Statement/Performance and Evaluation Report – ATTACHMENT B Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Par
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Name:	BERKELEY HOUSING AUTHORITY		Grant Type and Number Capital Fund Program: CA39P05850102 Capital Fund Program Replacement Housing Factor Grant No:		Federal FY of Grant: 2001-2002
	Original Annual Statement Performance and Evaluation Report for Period Ending: Reserve for Disasters/ Emergencies Revised Annual Statement (revision no:) Performance and Evaluation Report				
o.Summary	by Development Account		Total Estimated Cost		Total Actual Cost
			Original	Revised	Obligated Expended
Total non-CFP Funds					
1406 Operations	169,285				
1408 Management Improvements					
1410 Administration					
1411 Audit					
1415 liquidated Damages					
1430 Fees and Costs					
1440 Site Acquisition					
1450 Site Improvement					
1460 Dwelling Structures					
1465.1 Dwelling Equipment—Nonexpendable					
1470 Nondwelling Structures					
1475 Nondwelling Equipment					
1485 Demolition					
1490 Replacement Reserve					
1492 Moving to Work Demonstration					
1495.1 Relocation Costs					
1498 Mod Used for Development					
1502 Contingency					
Amount of Annual Grant: (sum of lines 2-19)	169,285				
Amount of line 20 Related to LBP Activities					
Amount of line 20 Related to Section 504 Compliance					
Amount of line 20 Related to Security					
Amount of line 20 Related to Energy Conservation Measures					

ATTACHMENT C

Progress on Agency Plan Goals

PHA Goal: Improve the quality of assisted housing

Increase customer satisfaction:

- 1) Distributed material outlining agency protocol with respect to customer services.
- Conducted team building sessions with staff in an effort to improve public relations.
- Convened meetings with property owner associations to obtain input from landlord perspective.

2) Renovate or modernize public housing units

- Completed a comprehensive inspection of all BHA-owned public housing units.
- Commenced major rehab of 75 units of BHA-owned property (61 LIPH and 14 State funded units), based on inspection findings.
- In process of applying for a Section 108 loan (\$1,400,000) to complete final phases of major rehab project.

PHA Goal: Increase assisted housing choices

1) Conduct outreach efforts to potential voucher landlords

- Convened meetings with property owner associations to improve relations between BHA and landlords.

Prepared and distributed informational material regarding calculating rent, performing rent reasonableness, inspection process.

2) Increase voucher payment standards

- Agency request to HUD to increase payment standards approved twice: March 30, 2000 and November 1, 2000.

PHA Goal: Streamline operations to improve customer service

1) Review operations to keep up with needs:

- Contracted the services of Baker Street Associates to undertake a comprehensive analysis of agency operations.
- Performed in-house analysis of organization and conceived of a reorganization change concept.
- Presented reorganization change concept to BHA board which it approved.
- Met with local union to discuss on-going organization needs and issues.

2) Review hardware and software computer systems to keep up with program requirements and regulation change

- Converted to new MLS software system that is compliant with federal regulations including 50058 input and tracking
- Obtained the commitment of Information Technology staff to provide on-going technical assistance and troubleshooting

3) Implement regulatory changes as they become effective.

- Staff has been assigned to monitor regulations issued by HUD in order to adjust to regulatory changes as they occur.

PHA Goal: Maximize affordable housing opportunities

1) Develop self-sufficiency opportunities for participants.

- Established Section 8 and Public Housing Resident Councils to improve participant input into BHA operations

Moving forward with Section 8 Shared Housing and Homeownership Programs (Agency admin plan amended to incorporate these program components)

Adopted Family Self-Sufficiency and CalWorks Plans that detail assistance available

2) Complete conversion to Voucher leases

- 100% completed

3) Review Voucher payment standards and assess need for increases to ensure access to units

- Agency submitted request to HUD for increase in payment standard that was approved on two occasions: March 2001 and Nov 2000.

4) Develop resident groups for strong neighborhoods

- Established Section 8 and Public Housing Resident Councils.

- Subsequently established Section 8 and Public Housing Resident Advisory Boards.

PHA Goal: Ensure Program Integrity

- Instituted Quality control of recertifications and inspections
- Issued work protocols to ensure consistent application of federal regulations and local policies
- Hired a Senior Housing Assistant Supervisor to oversee operations and eligibility units.

PHA Goal: Improve and maintain internal and external education in order to fulfill the Agency's mission

1) Continue to work with agencies to provide services

- Housing Rights, Inc./AHAP to provide 3 town hall meetings with public re: Annual Plan

2) Seek to strengthen links between BHA and the county

- BHA to participate in Consolidated Plan process

3) Look at opportunities to increase participation between agencies for self-sufficiency activities, including child care and youth activities

- Adopted Family Self-Sufficiency and CalWorks Plans that detail assistance available

ATTACHMENT D

Membership of the Resident Advisory Board

The following persons were appointed to the RAB by the BHA Board of Commissioners:

Public Housing RAB Membership

1. Felicia Wyrick
2. Rose Flippin
3. Keith Carlisle
4. Sheila Akins
5. Mary Lightfoot

Section 8 RAB Membership

1. Regina Bess
2. Gary Brown
3. Earnest Darden
4. Carroll Huff
5. Edward Joseph
6. Alicia Nelson (alternate)

ATTACHMENT E

PH Voluntary Conversion Initial Assessment

Component 10 (B) Voluntary Conversion Initial Assessments

1. *How many of the PHA's developments are subject to the Required Initial*

Assessments?

The Berkeley Housing Authority has 61 public housing units on scattered sites. All sites are subject to the assessment requirements.

2. *How many of the PHA's developments are not subject to the Required Initial Assessments based on exemptions (e.g., elderly and/or disabled developments not general occupancy projects)?*

There are no exempted sites.

3. *How many Assessments were conducted for the PHA's covered developments?*

The Berkeley Housing Authority has not completed the assessments.

4. *Identify PHA developments that may be appropriate for conversion based on the Required Initial Assessments:*

Developme nt Name	Number of Units
Scattered sites	61

5. *If the PHA has not completed the Required Initial Assessments, describe the status of these assessments.*

Housing Authority staff is currently designing its study plan for review by the Board of Commissioners prior to implementation, as instructed.

ATTACHMENT F Public Housing Pet Policy

NOTE: This is taken from the draft ACOP (rev. 2002)

XVIII. PETS

This policy does not apply to animals that are used to assist persons

with disabilities. Assistance animals are allowed in all public housing facilities with no restrictions other than those imposed on all tenants to maintain their units and associated facilities in a decent, safe, and sanitary manner and to refrain from disturbing their neighbors.

A. *Approval*

Residents must have the prior approval of the BHA before moving a pet into their unit. Residents must request approval on the Authorization for Pet Ownership Form that must be fully completed before the BHA will approve the request.

Tenants must sign a "Pet Agreement" and will pay the required security deposit at the time the agreement is signed.

B. *Types and Number of Pets*

The BHA will allow only domesticated dogs, cats, birds, and fish in aquariums in units. All dogs and cats must be spayed or neutered.

Only one (1) pet per unit allowed.

Any animal deemed to be potentially harmful to the health or safety of others, including attack or fight trained dogs, will not be allowed.

No animal may exceed thirty pounds in weight or approximately 12 inches in height to the shoulders.

C. *Inoculations*

In order to be registered, pets must be appropriately inoculated against rabies and other conditions prescribed by local ordinances.

D. *Pet Deposit*

A pet deposit of \$100.00 is required at the time of registering a pet after BHA approval. The deposit is refundable when the pet or the family vacate the unit, less any amounts owed due to damage beyond normal wear and tear.

E. *Financial Obligation of Residents*

Any resident who owns or keeps a pet in their dwelling unit will be required to pay for any damages caused by the pet. Also, any pet-related insect infestation in the pet owner's unit will be the financial responsibility of the pet owner and the BHA reserves the right to exterminate and charge the resident.

F. Nuisance or Threat to Health or Safety

The pet and its living quarters must be maintained in a manner to prevent odors and any other unsanitary conditions in the owner's unit and surrounding areas.

Repeated substantiated complaints by neighbors or BHA personnel regarding pets disturbing the peace of neighbors through noise, odor, animal waste, or other nuisance will result in the owner having to remove the pet or move him/herself.

G. Designation of Pet areas

Pets must be kept in the owner's apartment or on a leash at all times when outside (no outdoor cages may be constructed). Pets will be allowed only in designated areas on the grounds of the projects. Pet owners must clean up after their pets and are responsible for disposing of pet waste.

H. Visiting Pets

Pets that meet the size and type criteria outlined above may visit the projects/buildings where pets are allowed for up to two weeks without BHA approval. The tenant who accepts a visiting pet for up to two weeks is required to inform all other tenants in the building complex of the arrangement, including type of pet and duration of visit. Tenants who have visiting pets must abide by the conditions of this policy regarding health, sanitation, nuisances, and peaceful enjoyment of others. If visiting pets violate this policy or cause the tenant to violate the lease, the tenant will be required to remove the visiting pet.

The BHA must approve all visiting pets that reside in a unit in excess of two weeks.

I. Removal of Pets

The BHA, or an appropriate community authority, shall require the removal of any pet from a project if the pet's conduct or condition is determined to be a nuisance or threat to the health or safety of other occupants of the project or of other persons in the community where the project is located.

The Berkeley Housing Authority has the capacity to operate a Section 8 Homeownership Program because its implementation plan includes the following criteria:

Financing for purchase of a home under the Section 8 Homeownership Program will:

- a) be provided, insured or guaranteed by the State or Federal government;
- b) comply with secondary mortgage market underwriting requirements; or
- c) comply with generally accepted private sector underwriting standards.

ATTACHMENT H
PHA Response to Public Housing Resident Satisfaction Survey Results

NOTE: Housing Authority staff will be hosting a PH Resident Council meeting to specifically

address these issues in the near future.

1. *Maintenance and Repair (score: 56%)*

The Housing Authority has begun extensive rehabilitation of all units in response to years of deferred maintenance, as well as normal wear and tear. Prioritization scheduling has been based on severity of health and safety needs. This Agency Plan also contains information required by HUD for permission to allow the use of PH property as security against a Section 108 loan to fund completion of the more extensive repairs. Please see Response #6, Neighborhood Appearance, for more details regarding planned improvements to PH properties.

2. *Communication (score: 55%)*

The current PHA administration has made communication among its staff, clients and the community at large a top priority. Input is consistently sought from the PH Resident Council and training, materials and staff support is being increased to that entity. PHA staff has been instructed that customer service, including perception of service, is extremely important in meeting the mission of the agency, and the employees are being evaluated on their delivery. The PHA also has plans to improve its internet website, offering updated information to its residents and other public on agency programs and actions as well as housing information in general.

The PHA computer software system utilized to track PH units does not have the capability of printing address labels for the households. Staff intends to input this information into its word processing software so that each household can be notified of any important programs or changes that might affect PH residents.

4. *Safety (score: 63%)*

As evidenced by the goals contained in the PHA's Five Year Agency Plan, resident safety has been a great concern. The PHA has successfully pursued and utilized PHDEP funding to establish cooperative relationships among PHA staff, PH residents and the city's Police and Public Safety departments. The Agency continues to work with city building officials, area landlords and community activists towards abatement of neighborhood health and safety nuisances, such as abandoned vehicles, drug dealing and substandard housing. Current and scheduled improvements to PH units incorporate safety features such as improved lighting and secured doors and windows as well.

5. *Services (score: 57%)*

Because the PHA operates only 61 scattered site PH units, it is not feasible to establish community and childcare centers on the individual sites. However, staff continues to seek, in cooperation with the PH Resident Council, opportunities to expand agency services to its clients. Staff will also work on a plan allowing residents to take advantage of the Family Self-Sufficiency program on the same basis as for the Section 8 families.

The PHA also is coordinating the provision of quality childcare services for its PH residents through the City. The City of Berkeley provides 207 slots or childcare positions for low-income families through the Berkeley Community Action Agency utilizing General Fund money. The City provides over \$500,000 in funds to eight non-profit organizations that provide childcare. There are a very good variety of opportunities for childcare including

licensed day care, which provide care in the provider's home and covers off hours such as weekends and over nights. This type of child care is important for low income families that often are working in jobs that do not fall into the usual 8:00 – 5:00 Monday through Friday pattern of employment.

Families can either apply directly to one of the childcare centers that receive subsidies or apply to an alternative payment program such as Berkeley Albany Licensed Day Care Operators or BANANAS Inc. The alternative payment program establishes eligibility of the family based on residence, income and special need. The family then can take the subsidy to any childcare provider they choose.

The direct subsidies go to childcare centers that serve special needs. The Bay Area Hispano Institute for Advancement offers a bi-lingual Spanish/English preschool program and after school program. The program not only helps children prepare for entering an English speaking school but it trains parents in parenting techniques and helps them in participating in the school. The Ala Costa Center serves developmentally disabled children. Every child has a special work plan to help them develop skills in self-sufficiency. The program is open throughout the year, not merely during school, to help parents maintain employment by taking care of these special needs children. Ephesians' Children's Center not only provides preschool and after school programs but is an organizing force in the target area community offering earthquake training and preparation and participating in neighborhood watch meetings.

All of the agencies that receive subsidies are monitored by City of Berkeley staff for licensing compliance, firm capability and participant eligibility.

6. *Neighborhood Appearance (score: 63%)*

The Housing Authority is planning a demonstration program at its Martin Luther King and Rose Streets location that includes exterior painting and the installation of new landscaping. By the end of summer the agency also intends to issue a Request for Proposals for private contractors to expand these exterior improvements to all PH locations. PHA staff continues to review all improvements through the PH Resident Council prior to final approval.

ATTACHMENT I

Project-based Section 8 Vouchers

The Berkeley Housing Authority has committed its resources to the development and permanent retention of affordable housing units within the jurisdiction. As evidence of its commitment, the Housing Authority had adopted the following goals and strategies in this Agency Plan:

Five-Year Plan

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

PHA Goal: Expand the supply of assisted housing

Objectives: Leverage private or other public funds to create additional housing opportunities;
Acquire or build units or developments;
Support individual affordable housing projects proposed within the City.

PHA Goal: Increase assisted housing choices

Objectives: Conduct outreach efforts to potential voucher landlords;
Increase voucher payment standards;
Implement public housing or other homeownership programs;
Convert public housing to vouchers;
Achieve 100% utilization of Section 8 funding.

Annual Plan: PHA Fiscal Year 2002

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

- d) Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction;
- e) Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration;
- g) Coordinate with City; manage housing programs;
- h) Support efforts of local non-profit housing developers and advocates.

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

- a) Pursue housing resources other than public housing or Section 8 tenant-based assistance;
- b) Provide technical and financial assistance to local non-profit developers.

Consistent with and in support of these adopted goals and strategies, the Berkeley Housing Authority intends to project base up to **360** of its available Section 8 voucher allocation. **Units which qualify under project base must be within the City limits of Berkeley.** It has determined that project basing is necessary for the following

reasons:

1. Although the Section 8 voucher utilization rate is somewhat improved, in the recent past the rate had been as low as 68 percent;
2. The supply of affordable units, particularly available to voucher holders, continues to be very limited;
3. Project-basing is needed to assure the long-term availability of units;
4. Project-basing provides a financial incentive to developers of affordable housing;
5. Project-basing can be used as a financial guarantee of viability to funding sources for affordable housing development.

The Housing Authority will immediately initiate the process, including amendment of its policies and procedures, to enact this program. It intends to allow project basing in any census tract within Berkeley city limits where poverty does not exceed ten percent.

ATTACHMENT J

Minutes of PHA Town Hall Meetings

Public Comment on PHA Annual Plan
April 16, 17 & 18, 2002

Housing Rights, Inc. is proud to have held three "Town Hall" meetings for the purpose of soliciting feedback from BHA clients. The meetings were held in part as a follow-up to a series of meetings that were held over a year ago. Those meetings were well attended, did not have BHA staff in attendance and allowed some very frustrated clients to express a great deal of that frustration which came from their relationship with the BHA. With a new administration and effort by BHA to improve some key areas (customer service, staff training) the emotional level of our most recent Town Halls was very different. Different also was that a top BHA administrator attended all three meetings and each of them were an integral part of the group discussion.

Thirty-two different people attended (for the previous meetings approximately 75 different people were in attendance).

Below is a summary of the three group discussions as well as a list of the comments (paraphrased) from each of the meetings. We have also created a list of suggestions for the BHA including activities that HRI would like to undertake through AHAP (the Affordable Housing Advocacy Project).

SUMMARY:

First and most obvious is that the BHA does not have at this time a way by which to communicate with its clients. The new software program is not capable of creating mailing labels. This means that: RB (Resident Advisory Board) members were chosen from the few clients who knew that they could apply. People who attended the Town Halls were primarily those who have attended AHAP meetings in the past and therefore are on our mailing list, or who happened to see the announcement of the meetings in the local newspapers. This means that a very small percentage of clients will ultimately have the opportunity to participate in the planning process, be informed about BHA activities and understand their own relationship with the BHA (given that there have been both regulatory and policy changes such as the use of Vouchers in shared living situations).

Following are the general topic areas of the group discussions:

Customer Service. Some attendees have experienced an improvement in this area. Phone calls have been returned and people are treated better. However, there was a general consensus that more improvement is needed in this area.

Staff Responsibilities. Attendees reported seeking help from BHA staff for problems with landlords and either receiving no help or being told that that is not the role of the BHA staff.

Inspections. Attendees reported a great deal of confusion regarding inspections. What is being inspected, what happens when repairs need to be made, and who's responsible for making them?

Rent Control. There is general confusion regarding the impact Rent Control and related laws have on Section 8 contracts and tenants in Berkeley. For example, it was reported that a particular landlord didn't understand Section 8 or rent control, so when he couldn't raise rent to make needed repairs he sold the building instead.

Help with search. Some people wait years to get their Section 8 only to find that they can't use it. They need help with their search.

Communication. Attendees expressed a need for more information. For example: What happens to the tenants when building sold?

SUGGESTIONS:

As quickly as possible update the BHA mailing list and be prepared to communicate with ALL BHA clients regarding the Plan and administrative, policy and regulatory changes. Improved communication with BHA clients is critical.

Suggestions made by attendees ranged from the simple to the more complex requiring system-wide changes:

Please put the rental listings on the web. Make sure the listings are accurate.

Develop a handout for Landlords explaining Section 8 and why they should become involved (we understand that this was actually being done as we met).

Collect and distribute tips to tenants regarding searching for a place to live and what resources are available to them.

Conduct an aggressive Landlord outreach program.

Provide workshops on 'Tips on how to search for a new home,' 'How to be a good tenant,' etc.

Provide a complaint line or access to someone who can help solve problems between landlords and tenants and BHA and its clients.

Provide clear, understandable information on the relationship of the Rent Board and the laws they enforce and BHA housing.

We heard stories about people (in particular people with disabilities) receiving help after they contacted BHA administration. This made us concerned about all the people who may lose their Section 8 because they didn't know to "go to the top" for help. Help should be available to everyone equally. This means well trained staff and clear guidelines that everyone knows about and understands.

Public Comment:

Comment: If you have serious problems with your LL it doesn't seem as if the HA is helpful enough.

Comment: It was stated that people with disabilities claim they are having a hard time getting enough extension to find housing.

It was commented by HA staff that they recently changed from time to a flat 6-month period, and if voucher holder had disabilities that prevented them from finding a place they can apply for additional time.

Comment: Clients agreed that the front office staff at BHA seems to be doing better overall, but there are still some instance of staff not being customer friendly at times.

It was commented by BHA staff that they have been having customer service training and they are working on making the BHA a more customer friendly place.

Comment: It was suggested that there might need to be one person at the HA to act as a mediator or one stop for issues or problems that clients may have with the HA.

BHA staff commented that they are working on having an ombudsman to serve clients when they have issues or problems that need that type of help. It was stated that they plan on having the ombudsman

as an employee of the BHA.

Comment: It was commented that the public might perceive an ombudsman who is an employee of the HA as not being neutral but slanted towards the HA rather than the client. It was agreed that they do not need that type of service.

Comment: A client who recently had an inspection stated that the HA inspector removed her window bars but could not put them back, leaving the tenant vulnerable in a high crime area. The tenant eventually paid a \$20 fee to have someone put them back for her. She wants to know who's responsibility was it. Hers or the HA inspector?

Comment: We need more LL outreach.

Comment: Workshops should be offered to tenants to increase LL participation (possibly a 3-day workshop).

Comment: There needs to be more clarity on what an inspection is and what it includes.

Comment: The new inspection and yearly renewal procedure, of having one day for the inspection and other day for an appointment at the office for your yearly update is seen by working clients as tedious and unnecessary. They don't think it should be necessary for them to miss two days of work.

It was commented by the HA staff that working and disabled clients could request special accommodations, to have them both done at one time.

Comment: There needs to be more help with the search process. There are some problems with the list not always being updated and accurate.

HA staff stated that there are some improvements in lease-ups.

Comment: Good tenants could be introduced to LLs at property owners meetings.

Comment: A simple and informative flyer to take to the LL when voucher holder is searching for housing is necessary.

Comment: The HA should be more of an advocate in some cases.

Comment: HA needs more trained staff.

Comment: The few knowledgeable staff have no time to help solve problems or answer questions.

Comment: Who will deal with LL attitude problems?

Comment: What can be done to influence repairs, which are not being done regularly enough (in some cases)?

Comment: Some clients feel inspectors are pushovers.

Comment: When clients are referred to East Bay Community Law Center for problems as tenants, some clients feel that the help at EBCLC is too limited, and that they don't get enough help in a lot of cases.

Comment: Some clients feel HQS are not enforceable. No one makes landlords live up to HQS obligations.

Comment: The landlords need more of an education process about the program and their responsibilities as well as tenant responsibilities.

Comment: Tenants need more education about available services.

Comment: There are HUGE information gaps about services and other information about BHA. There needs to be some way to link information for services, housing availability, etc.

It was stated by BHA staff that this might be the last year for a yearly plan because of the small size of BHA.

Comment: It was stated that in light of the fact that this might be the last year for a yearly plan that the Tenant Union is even more important and that we should concentrate on forming it.

Comment: We need a copy of Guidelines of what the law prescribes.

Comment: In some cases the LL needs the HA as an advocate.

Comment: Some clients feel that the Rent Board and the HA is not tenant friendly enough to help in a lot of cases. Most clients feel they are not helpful enough and there is not enough info. There are some questions that cannot be clarified by the HA or the Rent Board.

Comment: There needs to be better handouts to explain the program to folk.

Comment: Suggestion of tenants having a resume'.

Comment: We need a better supply of affordable housing in Berkeley.

Comment: The HA needs to coordinate with the City of Berkeley on a comprehensive Affordable Housing Plan.

Comment: Too many LLs don't understand the program.

ATTACHMENT K
PHA Response to Town Hall Comments

Most of the comments received did not address the Agency Plan but rather stated concerns with the daily operations of both the Section 8 and Public Housing Programs. With this Agency Plan, the PHA provides for amendments to the Section 8 Administrative Plan and the Public Housing Admissions and Continued Occupancy Policy, respectively, that will both address most of these concerns and improve overall efficiency of these programs. Further, PHA staff will continue to work with clients and the community at large to improve functions as the need arises.

ATTACHMENT L
Submitted Written Comments from Individual Members of the
Section 8 Resident Advisory Board

Gary Brown:

The Home Ownership Program is all about choices. We need to give low-income people as many options as possible. This is about improving people's lives, including amending the waiting list."

Earnest Darden:

"I'm writing this proposal at the last minute so to speak to allow your special consideration to include this in the annual plan. Persons with special needs will be excluded from participation in the program (homeownership) if it is determined by the lender that these persons need to have a down payment in order to receive a homeownership loan. I propose that a special grant fund be set up by the city in order to assist these persons who must have a down payment before they can participate in the homeownership program. This can be done by asking for special grants from Fannie Mae and various foundations. Since I may not be one of the ones chosen next year to the advisory board I felt it was of the utmost importance to make this point at the possible end of my service. Whether you agree or not I ask that this proposal be an attachment to the two thousand two two thousand three annual plan."

Edward Joseph:

"Having reviewed the PHA Annual Plan Update I am compelled to say the following: 1) That I was not able to review the BHA's PHA annual plan and Administrative in a timely way as they were not present to us as promised. 2) That I have not been informed about my inquiry regarding the connection of the BHA Annual PHA Plan and the Administrative Plan. 3) That the BHA's Housing Quality Standards have not been reformed. That is as there is much need for reform."

Alicia Nelson:

"The Section 8 Home Ownership Program was approved on May 21st 2002. I suggest that we pursue the expediency to have HUD implement this program as soon as possible.

I will be hosting a live television show airing on Channel 25 and 78 at the Berkeley Community Media in Berkeley, on June 5th at 7 p.m. This show will be in support of the Homeownership Program and to inform more people in the community. On the show will be Mayor Shirley Dean, Berkeley, CA, Alvita White, Project Coordinator, Larry Mimms, Assistant Vice President and Manager of Community Re-Investment Resources at Washington Mutual Bank, Rick Mattessich, Manager Berkeley Housing

Authority, Elsie Brown, Staff Attorney, National Housing Law Project.

Another issue I'm concerned with is helping severely low income people with the percentage rate for a down payment on a home."

ATTACHMENT M
PHA Response to RAB Individual Members' Comments

As a result of last year's Agency Plan process, the PHA Board of Commissioners recently adopted an amendment to the Section 8 Administrative Plan providing for implementation of a Homeownership Program. The policies and procedures include cooperation with a local non-profit organization experienced in homeownership programs, including the pursuit of downpayment assistance. The Section 8 RAB's emphasis on the need for additional financial assistance beyond monthly Section 8 subsidy was strongly stated and incorporated into the body of this Annual Plan.

It was confusing at times to the RAB membership as to when goals and policies expressed in the PHA Annual Plan crossed over into implementation through the Section 8 Administrative Plan and the Public Housing Admissions and Continued Occupancy Policy. Efforts were made by staff to provide the RAB membership with pertinent excerpts from those supporting documents when appropriate during Agency Plan discussions.